



Integrated watershed management of the Putumayo-I?? river basin

Part I: Project Information

GEF ID

10531

Project Type

FSP

Type of Trust Fund

GET

CBIT/NGI

CBIT No

NGI No

Project Title

Integrated watershed management of the Putumayo-I?? river basin

Countries

Regional, Brazil, Colombia, Ecuador, Peru

Agency(ies)

World Bank

Other Executing Partner(s)

Wildlife Conservation Society

Executing Partner Type

CSO

GEF Focal Area

Multi Focal Area

Taxonomy

Chemicals and Waste, Focal Areas, Mercury, Artisanal and Scale Gold Mining, Waste Management, Forest, Forest and Landscape Restoration, Amazon, Biodiversity, Mainstreaming, Tourism, Fisheries, Extractive

Industries, Protected Areas and Landscapes, Productive Landscapes, Community Based Natural Resource Mngt, Terrestrial Protected Areas, Biomes, Wetlands, Tropical Rain Forests, Rivers, Climate Change, Climate Change Adaptation, Community-based adaptation, Climate Change Mitigation, Agriculture, Forestry, and Other Land Use, International Waters, Pollution, Nutrient pollution from all sectors except wastewater, Persistent toxic substances, Nutrient pollution from Wastewater, Freshwater, River Basin, Learning, Transboundary Diagnostic Analysis and Strategic Action Plan Preparation, Influencing models, Demonstrate innovative approach, Transform policy and regulatory environments, Strengthen institutional capacity and decision-making, Convene multi-stakeholder alliances, Stakeholders, Type of Engagement, Information Dissemination, Consultation, Participation, Partnership, Civil Society, Academia, Non-Governmental Organization, Community Based Organization, Local Communities, Communications, Behavior change, Public Campaigns, Awareness Raising, Education, Strategic Communications, Beneficiaries, Private Sector, Individuals/Entrepreneurs, Large corporations, Indigenous Peoples, Gender Equality, Gender results areas, Knowledge Generation and Exchange, Access to benefits and services, Capacity Development, Access and control over natural resources, Participation and leadership, Gender Mainstreaming, Women groups, Capacity, Knowledge and Research, Theory of change, Indicators to measure change, Adaptive management, Knowledge Exchange, Knowledge Generation

Rio Markers

Climate Change Mitigation

Climate Change Mitigation 1

Climate Change Adaptation

Climate Change Adaptation 1

Submission Date

12/23/2021

Expected Implementation Start

7/1/2022

Expected Completion Date

7/1/2027

Duration

60In Months

Agency Fee(\$)

1,155,963.00

A. FOCAL/NON-FOCAL AREA ELEMENTS

Objectives/Programs	Focal Area Outcomes	Trust Fund	GEF Amount(\$)	Co-Fin Amount(\$)
IW-3-6	Enhance water security in freshwater ecosystems through enhanced regional and national cooperation on shared freshwater surface and groundwater basins	GET	9,174,312.00	70,411,277.00
CW-1-2	Strengthen the sound management of agricultural chemicals and their wastes, through better control, and reduction and/or elimination	GET	3,669,725.00	19,311,690.00
Total Project Cost(\$)			12,844,037.00	89,722,967.00

B. Project description summary

Project Objective

To strengthen the enabling conditions for the participant countries to manage the shared freshwater ecosystems of the Putumayo- I?? basin in the Amazon region To be measured by: ? Regional knowledge management strategy providing relevant information for decision making towards conservation and sustainable natural resource use ? Action plan agreed for shared management of the basin designed and operational ? Share of targeted subproject beneficiaries with improved livelihood conditions

Project Component	Component Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing(\$)	Confirmed Co-Financing(\$)
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Project Component	Component Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing(\$)	Confirmed Co-Financing(\$)
Governance and capacity for informed decision making on IWRM	Investment	<p>To strengthen governance and capacity for informed decision making on IWRM</p> <p>To be measured by:</p> <ul style="list-style-type: none"> - Research processes for the recovery of traditional knowledge that supports IWRM (4) - Trained beneficiaries participating in community monitoring of project activities (150) - Level of engagement in IWLEARN through participation and delivery of key products (4) - Regional working groups established and/or strengthened in operation (6 with 45% women and 25% IP and other minorities) - Feasibility analysis of 	<ul style="list-style-type: none"> - Knowledge management system designed - IWRM related knowledge shared (IWLearn through participation and delivery of key product) - Basin-scale analyses and scenarios that articulate a shared vision - Basin level strategic plan agreed and aligned to a common vision - Legal and policy frameworks and planning instruments strengthened for IWRM 	GE T	4,304,851.00	31,370,582.00

Project Component	Component Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing(\$)	Confirmed Co-Financing(\$)
Management interventions towards shared IWRM	Investment	<p>To enhance key management interventions towards shared IWRM</p> <p>To be measured by:</p> <ul style="list-style-type: none"> - Index on contamination early warning system designed and operational in pilot sites (4) - Quantity of Mercury reduced (3 tons) - Pilot sites adopting and implementing the strategy for the control and monitoring of water pollution by mercury / other contaminants (4) - Fisheries management plans implemented (5) - Priority species populations exploited at sustainable levels within 	<ul style="list-style-type: none"> - Action plan for regional prevention and control measures strengthened - Early warning system implemented in pilot sites - Mitigation, recovery, remediation and restoration pilots designed and in place - Sustainable management plans designed for prioritized species - Endangered/vulnerable and migratory species moved to more sustainable levels in the basin - Pilot regional value chains for fisheries and other natural resource implemented 	GET	6,083,778.00	49,868,437.00

Project Component	Component Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing(\$)	Confirmed Co-Financing(\$)
Project Management, Communications, Monitoring and Evaluation	Technical Assistance	To strengthen project coordination, communication, management and M&E Indicators included are: - Direct beneficiaries disaggregated by gender as co-benefit of GEF investment (6,300 with 45% women) - Grievances registered related to delivery of project benefits that are addressed (100%)	- Communication strategy designed and implemented - Timely submission of reports	GET	1,843,787.00	4,207,309.00
				Sub Total (\$)	12,232,416.00	85,446,328.00
Project Management Cost (PMC)						
			GET	611,621.00	4,276,639.00	
			Sub Total(\$)	611,621.00	4,276,639.00	

Project Management Cost (PMC)

Total Project Cost(\$)

12,844,037.00

89,722,967.00

C. Sources of Co-financing for the Project by name and by type

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Amount(\$)
Recipient Country Government	Amazon State Government-Brazil	Public Investment	Investment mobilized	8,624,916.00
Recipient Country Government	Ministry of Environment and Sustainable Development - Colombia	In-kind	Recurrent expenditures	58,237.00
Recipient Country Government	CORPOAMAZON?A - Colombia	In-kind	Recurrent expenditures	1,808,156.00
Recipient Country Government	CORPOAMAZON?A - Colombia	Public Investment	Investment mobilized	2,309,079.00
Recipient Country Government	National Natural Parks Unit - Colombia- Colombia	In-kind	Recurrent expenditures	777,549.00
Recipient Country Government	SINCHI Amazon Institute of Scientific Research	In-kind	Recurrent expenditures	460,611.00
Recipient Country Government	Minister of Environment and Sustainable Development (via the REM Vision Amazonia Program financed by NICFI- KFW- GIZ-UK (Defra)) - Colombia	Grant	Investment mobilized	1,000,000.00
Recipient Country Government	Autonomous Decentralized Provincial Government of Sucumbios - Ecuador	In-kind	Recurrent expenditures	5,193,814.00
Recipient Country Government	Public Research Institute for Aquaculture and Fisheries (IPIAP) - Ecuador	In-kind	Recurrent expenditures	2,750,000.00

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Amount(\$)
Recipient Country Government	National Biodiversity Institute (INABIO) - Ecuador	In-kind	Recurrent expenditures	1,000,000.00
Recipient Country Government	Ministry of Environment - Peru	In-kind	Recurrent expenditures	187,533.00
Recipient Country Government	Regional Government of Loreto - Per?	Public Investment	Investment mobilized	30,901,036.00
Recipient Country Government	Ministry of Agrarian Development and Irrigation - Special Project for the Integral Development of the Putumayo River Basin (PEDICP)	Public Investment	Investment mobilized	5,223,133.00
Recipient Country Government	National Service for Natural Protected Areas - Per?	In-kind	Recurrent expenditures	159,860.00
Civil Society Organization	Instituto del Bien Comun	In-kind	Recurrent expenditures	1,430,000.00
Civil Society Organization	Amazon Scientific Innovation Center Association (Cincia)	In-kind	Recurrent expenditures	1,300,000.00
Civil Society Organization	Wildlife Conservation Society	In-kind	Recurrent expenditures	6,775,000.00
Civil Society Organization	World Wildlife Fund Colombia	In-kind	Recurrent expenditures	1,920,000.00
Civil Society Organization	World Wildlife Fund Colombia	Grant	Investment mobilized	1,280,000.00

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Amount(\$)
Civil Society Organization	Gordon and Betty Moore Foundation	Grant	Investment mobilized	744,000.00
Civil Society Organization	Frankfurt Zoological Society - Peru	Grant	Investment mobilized	330,000.00
Civil Society Organization	Frankfurt Zoological Society - Peru	In-kind	Recurrent expenditures	110,000.00
Other	National Business Association of Colombia (ANDI)	In-kind	Recurrent expenditures	1,080,043.00
Other	European Space Agency (ESA)	Other	Investment mobilized	1,000,000.00
GEF Agency	World Bank - Colombia	Loans	Investment mobilized	2,300,000.00
GEF Agency	World Bank - Brazil	Loans	Investment mobilized	11,000,000.00
Total Co-Financing(\$)				89,722,967.00

Describe how any "Investment Mobilized" was identified

The government agencies of the four countries involved in the project, the World Bank and the executing agency (WCS) have identified sources of co-financing from other existing country/regional initiatives that can contribute to the different project activities. The participatory design process allowed for the involvement of organizations with whom it was possible to identify synergies and cofinancing opportunities. It is worth noting that even though not included in the table, all of the participant countries are part of the GEF financed Amazon Sustainable Landscape Program with activities and cofinancing that aligns and complements this proposed project. Some of the investment mobilized secured includes the following: (i) Colombia Multipurpose Cadaster Project financed by the United Kingdom, Department for Business, Energy & Industrial Strategy (BEIS), implemented by the WB. The capacity building activities designed by this project in matters related to land rights will complement the proposed project's efforts to increase the abilities of environmental authorities to promote conservation and sustainable development in protected areas and their buffer zones; (ii) for Colombia, the REDD Early Movers (REM) Vision Amazonia project financed by NICFI- KFW-GIZ-UK (Defra) will cofinance supporting activities that will

complement sustainable development in the Putumayo region; (iii) First Amazonas Fiscal and Environmental Sustainability Programmatic DPF which will support the Brazilian State of Amazonas to strengthen its fiscal sustainability and enhance its institutional capacity for forest conservation and green growth. With support from this loan, the State enacts a Prevention and Control plan that sets out roles and responsibilities, procedures and instruments for coordinated enforcement by federal, state and community agencies. This plan will not only strengthen the State's capacity in the I?? basin, but will also enhance institutional capacity for dialogue and collaboration with neighboring countries; (iv) the Gordon and Betty Moore Foundation will support the regional process towards the Putumayo Biological and Cultural Corridor that the project aims to scaled up. This process also includes a rapid social and biological inventory in the lower I??, which will complement the project's first component; (v) The Special Project for the Integral Development of the Putumayo River Basin (PEDICP) seeks to strengthen integration of the Putumayo region and its border area with Colombia, and promote the development of cross-border markets. The proposed project will build on and scale up these efforts to promote regional value chains.; (vi) building on the partnership between the WB and the European Space Agency (ESA), the team was able to secure support from its Sustainable Development programs (EO4SD, GDA, EO Clinic) in using satellite Earth Observation derived services and analytics for water resources, environmental monitoring, and natural resources management for the shared basin as well as cross-cutting knowledge management. Finally, the team is in conversations with organizations (e.g. Interamerican Development Bank and Conservation International) who are currently drafting proposals to the Green Climate Fund and if approved, could become additional opportunities for collaboration and parallel cofinancing.

D. Trust Fund Resources Requested by Agency(ies), Country(ies), Focal Area and the Programming of Funds

Agency	Trust Fund	Country	Focal Area	Programming of Funds	Amount(\$)	Fee(\$)	Total(\$)
World Bank	GE T	Regional	International Waters	International Waters	9,174,312	825,688	10,000,000.00
World Bank	GE T	Regional	Chemicals and Waste	Mercury	3,669,725	330,275	4,000,000.00
Total Grant Resources(\$)					12,844,037.00	1,155,963.00	14,000,000.00

E. Non Grant Instrument

NON-GRANT INSTRUMENT at CEO Endorsement

Includes Non grant instruments? **No**

Includes reflow to GEF? **No**

F. Project Preparation Grant (PPG)

PPG Required **false**

PPG Amount (\$)

PPG Agency Fee (\$)

Agency	Trust Fund	Country	Focal Area	Programming of Funds	Amount(\$)	Fee(\$)	Total(\$)
Total Project Costs(\$)					0.00	0.00	0.00

Core Indicators

Indicator 7 Number of shared water ecosystems (fresh or marine) under new or improved cooperative management

	Number (Expected at PIF)	Number (Expected at CEO Endorsement)	Number (Achieved at MTR)	Number (Achieved at TE)
Shared water Ecosystem	Amazon	Amazon		
Count	1	1	0	0

Indicator 7.1 Level of Transboundary Diagnostic Analysis and Strategic Action Program (TDA/SAP) formulation and implementation (scale of 1 to 4; see Guidance)

Shared Water Ecosystem	Rating (Expected at PIF)	Rating (Expected at CEO Endorsement)	Rating (Achieved at MTR)	Rating (Achieved at TE)
Amazon	4	4		
Select SWE				<input type="checkbox"/>

Indicator 7.2 Level of Regional Legal Agreements and Regional management institution(s) (RMI) to support its implementation (scale of 1 to 4; see Guidance)

Shared Water Ecosystem	Rating (Expected at PIF)	Rating (Expected at CEO Endorsement)	Rating (Achieved at MTR)	Rating (Achieved at TE)

Indicator 7.3 Level of National/Local reforms and active participation of Inter-Ministerial Committees (IMC; scale 1 to 4; See Guidance)

Shared Water Ecosystem	Rating (Expected at PIF)	Rating (Expected at CEO Endorsement)	Rating (Achieved at MTR)	Rating (Achieved at TE)
Amazon	1	3		
Select SWE				<input type="checkbox"/>

Indicator 7.4 Level of engagement in IWLEARN through participation and delivery of key products(scale 1 to 4; see Guidance)

Shared Water Ecosystem	Rating (Expected at PIF)	Rating (Expected at CEO Endorsement)	Rating (Achieved at MTR)	Rating (Achieved at TE)

Shared Water Ecosystem	Rating (Expected at PIF)	Rating (Expected at CEO Endorsement)	Rating (Achieved at MTR)	Rating (Achieved at TE)
Amazon	1	4		
Select SWE				<input type="checkbox"/>

Indicator 8 Globally over-exploited fisheries moved to more sustainable levels

Metric Tons (Expected at PIF)	Metric Tons (Expected at CEO Endorsement)	Metric Tons (Achieved at MTR)	Metric Tons (Achieved at TE)
	150.00		

Fishery Details

8. Globally over-exploited fisheries moved to more sustainable levels. Expected target: to be determined in year 1. Preliminary estimate target: 150 tons, but baseline and targets to be confirmed in year 1. This preliminary estimate considers the landing records and the yields in some of the most important areas for fisheries in the Putumayo-Ic? basin, such as Puerto Legu?zamo in Colombia and El Estrecho in Per?, the increase of riverine population in the past years, the average of tons of fish caught per fishing agreement in neighboring basins in the Amazon and, the fishing techniques used according to prioritized species. Migratory species have been shown to be the most important group of fishes in commercial fisheries in the Amazon, and for many if not most indigenous riparian populations as well. The two main migratory fish groups exploited for human consumption are the transnational continental-scale species that migrate from as far as the Amazon estuary to near or in the Andean foothills to spawn, and those species that make shorter migrations restricted mostly to the Putumayo-I???and?other tributaries of the?western?Amazon. In addition, non-migratory species have increased their importance in fisheries of the Putumayo-I??, such as the?Arawana (*Osteoglossum bicirrhossum*) and the Pirarucu or Paiche (*Arapaima gigas*). Although anecdotal information suggests that the populations of these species in the Putumayo-I?? are under pressure, evidenced by reports of smaller catches and smaller sizes of individuals captured (e.g. Expert researcher from SINCHI Research Institute- Dr. Edwin Agudelo P. Comm.), their actual status throughout the basin is unknown. Therefore, during the first year of the project the Project will implement methodologies to quantify the stock status of these species in the Putumayo-I??, and the extent to which overfishing has occurred (baseline). The studies will allow to establish targets and fine tune a quantitative indicator that properly reflect how these species can remain at sustainable levels of exploitation or are moved to more sustainable levels if already seriously overexploited. Indicators

will include impact level (stock status) and the stressor (overfishing). These studies will involve: For non-migratory fish-species (e.g. Arawana -*Osteoglossum bicirrhosum* and the Pirarucu or Paiche -*Arapaima gigas*), as well as for species that perform relatively large-scale but local migrations (e.g. Bocaquichico -*Prochilodus nigricans*), mean and median capture size for the various species in key areas of the basin (e.g. major landing centers), including known major community-based fishery sites. Mean and median size distribution is known to be a good indicator of the population structure for fish species and indicates to what extent young fish are being overexploited. Rapid assessments of selected fisheries could reveal whether catches consist mostly of immature or mature fish. For continental-scale migratory species, including the dorado (*Brachyplatystoma rousseauxii*), the most important species of this group and whose migrations from the estuary to the far western Amazon have been extensively investigated. Nearly the entire stock of this species exploited in fisheries of the far western Amazon consists of adult fish since the young size classes are only found downstream and their nursery is in the Amazon River estuary or nearby. Since nearly all dorado in the R^o Putumayo would be adult fish, body length data could indicate to what extent the species has been overexploited locally. For example, if the catch consists mostly of new recruits (3-4 yrs old) and few older fish (>4 years), then it has probably been overfished in the R^o Putumayo. Likewise, if there are few new recruits arriving from downstream, then it would be possible to identify recruitment failure and thus overfishing downstream of the R^o Putumayo. Therefore, during the first year the Project will conduct studies that will allow for comparisons compare with other large tributaries, such as the Peruvian Ucayali, Caquet^o and Madre de Dios, or Colombian Caquet^o to contribute to a more regional strategy for managing the species. An innovative method independent of fishery data that would provide a strong statistical control for all groups is larvae sampling coupled with DNA assays in the R^o Putumayo channel. This method has been adopted by various research groups in the Amazon and has proved promising and relatively inexpensive to implement. Depending on the exact methodology employed, this method can measure larval presence and density at various depths in the river channel and at various sampling times during the year. The seasonal presence and densities of the various fish species could be compared to those already established in other Andes-Amazon rivers as an indicator of exploitation levels.

Indicator 9 Reduction, disposal/destruction, phase out, elimination and avoidance of chemicals of global concern and their waste in the environment and in processes, materials and products (metric tons of toxic chemicals reduced)

Metric Tons (Expected at PIF)	Metric Tons (Expected at CEO Endorsement)	Metric Tons (Achieved at MTR)	Metric Tons (Achieved at TE)
3.00	3.00	0.00	0.00

Indicator 9.1 Solid and liquid Persistent Organic Pollutants (POPs) removed or disposed (POPs type)

POPs type	Metric Tons (Expected at PIF)	Metric Tons (Expected at CEO Endorsement)	Metric Tons (Achieved at MTR)	Metric Tons (Achieved at TE)
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Indicator 9.2 Quantity of mercury reduced (metric tons)

Metric Tons (Expected at PIF)	Metric Tons (Expected at CEO Endorsement)	Metric Tons (Achieved at MTR)	Metric Tons (Achieved at TE)
3.00	3.00		

Indicator 9.3 Hydrochlorofluorocarbons (HCFC) Reduced/Phased out (metric tons)

Metric Tons (Expected at PIF)	Metric Tons (Expected at CEO Endorsement)	Metric Tons (Achieved at MTR)	Metric Tons (Achieved at TE)
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Indicator 9.4 Number of countries with legislation and policy implemented to control chemicals and waste (Use this sub-indicator in addition to one of the sub-indicators 9.1, 9.2 and 9.3 if applicable)

Number (Expected at PIF)	Number (Expected at CEO Endorsement)	Number (Achieved at MTR)	Number (Achieved at TE)
4	4		

Indicator 9.5 Number of low-chemical/non-chemical systems implemented, particularly in food production, manufacturing and cities (Use this sub-indicator in addition to one of the sub-indicators 9.1, 9.2 and 9.3 if applicable)

Number (Expected at PIF)	Number (Expected at CEO Endorsement)	Number (Achieved at MTR)	Number (Achieved at TE)
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Indicator 9.6 Quantity of POPs/Mercury containing materials and products directly avoided

Metric Tons (Expected at PIF)	Metric Tons (Expected at CEO Endorsement)	Metric Tons (Achieved at MTR)	Metric Tons (Achieved at TE)
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Indicator 11 Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment

	Number (Expected at PIF)	Number (Expected at CEO Endorsement)	Number (Achieved at MTR)	Number (Achieved at TE)
Female	2,040	2,835		
Male	1,960	3,465		
Total	4000	6300	0	0

Provide additional explanation on targets, other methodologies used, and other focal area specifics (i.e., Aichi targets in BD) including justification where core indicator targets are not provided

7.3 Level of national/local reforms and active participation of inter-ministerial committees.

Expected target: rating level of 3 which corresponds to ?National/local reforms in preparation, Inter-ministerial committees (IMCs) functional. Component 1 aims to inform policy, legal and institutional reforms and investments as part of the design and pilot implementation of a strategic regional plan for the basin. The process will involve the establishment and strengthening of thematic working groups that will have representation of multiple ministries in relevant sectors, as well as other key government and civil society stakeholders. The project will also establish a regional steering committee with representatives from the four country ministries. A key project outcome will be the strategic action plan for the basin which will involve regulatory reforms and joint management agreements.

7.4 Level of engagement in IWLEARN through participation and delivery of key products. Expected target: rating level 4 which includes: (i) an active website in line with IW: Learn guidance, (ii) strong participation in training/twinning events and production of at least one experience note and one results note, and (iii) active participation of project staff and country representatives at international waters conferences and the provision of spatial data and other data points via project website. By the end of the project a link to the project site (an initial website has been designed to facilitate virtual consultations) will be placed within the IWLEARN platform, and the team will be part of the community to share lessons learned and potential innovative solutions. The knowledge management system that will be implemented by the project will incorporate/connect the IWLEARN platform.

8. Globally over-exploited fisheries moved to more sustainable levels. Expected target: to be determined in year 1. Preliminary estimate target: 150 tons, but baseline and targets to be confirmed in year 1. This preliminary estimate considers the landing records and the yields in some of the most important areas for fisheries in the Putumayo-Ic? basin, such as Puerto Legu?zamo in Colombia and El Estrecho in Per?, the increase of riverine population in the past years, the average of tons of fish caught per fishing agreement in neighboring basins in the Amazon and, the fishing techniques used according to prioritized species. Migratory species have been shown to be the most important group of fishes in commercial fisheries in the Amazon, and for many if not most indigenous riparian populations as well. The two main migratory fish groups exploited for human consumption are the transnational continental-scale species that migrate from as far as the Amazon estuary to near or in the Andean foothills to spawn, and those species that make shorter migrations restricted mostly to the Putumayo-I???and?other tributaries of the?western?Amazon. In addition, non-migratory species have increased their importance in fisheries of the Putumayo-I??, such as the?Arawana (*Osteoglossum bicirrhosum*) and the Pirarucu or Paiche (*Arapaima gigas*). Although anecdotal information suggests that the populations of these species in the Putumayo-I?? are under pressure, evidenced by reports of smaller catches and smaller sizes of individuals captured (e.g. Expert researcher from SINCHI Research Institute- Dr.

Edwin Agudelo P. Comm.), their actual status throughout the basin is unknown. Therefore, during the first year of the project the Project will implement methodologies to quantify the stock status of these species in the Putumayo-I??, and the extent to which overfishing has occurred (baseline). The studies will allow to establish targets and fine tune a quantitative indicator that properly reflect how these species can remain at sustainable levels of exploitation or are moved to more sustainable levels if already seriously overexploited. Indicators will include impact level (stock status) and the stressor (overfishing).?These studies will involve: For non-migratory fish-species (e.g. Arawana -?Osteoglossum bicirrhossum?and the Pirarucu or Paiche -?Arapaima gigas), as well as for species that perform relatively large-scale but local migrations (e.g. Bocaquichico -?Prochilodus nigricans),?mean and median capture size for the various species in key areas of the basin (e.g. major landing centers), including ?known major community-based fishery sites. Mean and median size distribution is known to be a good indicator of the population structure for fish species and indicates to what extent young fish are being overexploited. Rapid assessments of selected fisheries could reveal whether catches consist mostly of immature or mature fish. For cContinental-scale migratory species, including the dorado (Brachyplatystoma rousseauxii),?the most important species of this group and whose migrations from the estuary to the far western Amazon have been extensively investigated. ??Nearly the entire stock of this species exploited in fisheries of the far western Amazon consists of adult fish since the young size classes are only found downstream and their nursery is in the Amazon River estuary or nearby. Since nearly all dorado in the R?o Putumayo would be adult fish, body length data could indicate to what extent the species has been overexploited locally. For example, if the catch consists mostly of new recruits (3-4 yrs old) and few older fish (>4 years), then it has probably been overfished in the R?o Putumayo. Likewise, if there are few new recruits arriving from downstream, then it would be possible to identify recruitment failure and thus overfishing downstream of the R?o Putumayo. Therefore, during the first year the Project will conduct studies that will allow for comparisons compare with other large tributaries, such as the Peruvian Ucayali, Caquet? and Madre de Dios, or Colombian Caquet? to contribute to a more regional strategy for managing the species. An innovative method independent of fishery data that would provide a strong statistical control for all groups is larvae sampling coupled with DNA assays in the R?o Putumayo channel. This method has been adopted by various research groups in the Amazon and has proved promising and relatively inexpensive to implement. Depending on the exact methodology employed, this method can measure larval presence and density at various depths in the river channel and at various sampling times during the year. The seasonal presence and densities of the various fish species could be compared to those already established in other Andes-Amazon rivers as an indicator of exploitation levels. 9.2. Quantity of Mercury reduced. Expected target: 3 metric tons. To determine a core indicator for measuring the reduction of mercury in the basin the team, in consultation with government representatives, used estimates of ASGM (legal and illegal) in the basin, and the average amount of mercury being used for gold extraction. This approach is based on

information from local government agencies that monitor and are able to track the presence of miners. The information collected by government agencies could be an underestimation as mining is illegal in most of the basin so the information is not fully available. In the Putumayo-Ica basin gold is extracted by amalgamation of alluvial deposits. In this type of extraction, the common mercury to gold ratio is around 1.3:1, that is, one point three units of mercury are used for each unit of gold. According to information from local government agencies, between 50 to 80 kilograms of gold are extracted per month in the Colombian portion of the Putumayo basin. Considering the average production scenario, 780 kg of gold per year are extracted in the Colombian portion of the basin. Using the 1.3:1 mercury gold ratio, this means around 1,014 kg of mercury are used to extract 780 kg gold, roughly one metric ton, just in the Colombian side of the basin. Governments agreed on the assumption that the same amount of gold is extracted in the Peruvian side of the basin, and that half of this amount is produced in the Ecuadorian and Brazilian sides. Therefore, the estimated total mercury used from ASGM in the basin per year is 3,042 kg of mercury. Through the pilot implementation of the regional strategy for the control of water pollution by mercury that will include capacity building, promotion of best practices, strengthening joint efforts for prevention, control and enforcement, and small scale bioremediation pilots, the project can potentially contribute to the avoidance of at least 20% of the total amount of mercury used for ASGM per year - 608 kg of mercury per year- for a total of 3,040 kg, or three metric tons avoided, at the end of the 5-year project. As consulted by experts working in the region, tracking results will be monitored in areas with the highest accumulation of mercury and considering the multiple matrices: air, sediments, groundwater and biota (macroinvertebrates and fish for consumption- markets). Water was not selected because finding high concentration of mercury in water is rare due to the mobility of the element in aquatic ecosystems. Water monitoring is common in tailing pools of mining areas, nevertheless, in the Putumayo-Ica basin ASGM (and many other parts of the Amazon) is highly mobile and such pools are frequently flushed down, avoiding the accumulation of large amounts of mercury in a single place.

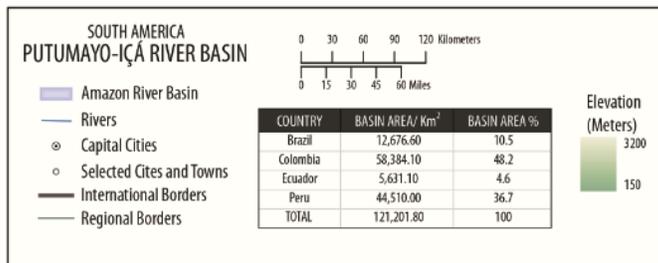
9.4 Number of countries with legislation and policy implemented to control chemicals and waste. Expected target: 4 countries. The legislation is already in place in the four countries (Peru, Colombia, Ecuador, Brazil). Through regional agreements and project activities, the project aims to support the implementation of such legislation in specific sites across the Putumayo basin.

11. Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment Expected target: Total: 6,300. This indicator captures the number of individual people who receive targeted support (monetary and non-monetary) from the GEF project and/or who use the specific resources that the project maintains or enhances. It includes farmers, indigenous people and members of organizations and public agencies that will directly benefit from the project.

Part II. Project Justification

1b. Project Map and Coordinates

Please provide geo-referenced information and map where the project interventions will take place.



This map was produced by the Cartography Unit of the World Bank Group. The boundaries, colors, denominations and any other information shown on this map do not imply, on the part of the World Bank Group, any judgment on the legal status of any territory, or any endorsement or acceptance of such boundaries.
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The coordinates of the most extreme cardinal points of the basin are presented in the table below.

POINT	DECIMAL DEGREES		DEGREES, MINUTES AND SECONDS	
	Latitude	Longitude	Latitude	Longitude
North	1.321788	-76.904442	1° 19' 18.438" N	76° 54' 15.990" W
East	-3.082378	-67.931109	3° 04' 56.561" S	67° 55' 51.991" W
South	-3.740711	-70.156109	3° 44' 26.561" S	70° 09' 21.991" W
West	0.435122	-77.470275	0° 26' 6.439" N	77° 28' 12.990" W

2. Stakeholders

Please provide the Stakeholder Engagement Plan or equivalent assessment.

Stakeholder Engagement Plan is uploaded in the GEF portal

In addition, provide a summary on how stakeholders will be consulted in project execution, the means and timing of engagement, how information will be disseminated, and an explanation of any resource requirements throughout the project/program cycle to ensure proper and meaningful stakeholder engagement

A Stakeholder Engagement Plan (SEP) was developed, reviewed, and cleared by WB's specialists, available in [English \(https://cuencaputumayoica.com/wp-content/uploads/2021/07/Putumayo-Ica-SEP-English.pdf\)](https://cuencaputumayoica.com/wp-content/uploads/2021/07/Putumayo-Ica-SEP-English.pdf), Spanish and Portuguese and posted as part of the consultation/socialization process in the project's website (www.cuencaputumayoica.com). The plan complies with the need to: (i) establish a systematic approach to allow the project to identify, build and maintain a constructive relationship with key stakeholders, especially with project-affected parties; (ii) assess the level of stakeholder interest in and support for the project, and establishes a mechanism to incorporate their views in project design and environmental and social performance; (iii) 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 describe the necessary means for such participation; and, (iv) ensure that adequate, accessible, timely, understandable and appropriate information on environmental and social risks and impacts is disclosed to stakeholders. Project preparation has been done mostly virtually due to the COVID-19 related travel restrictions. Consultations have been done virtually (webinars, virtual meetings, radio messaging and a [website \(https://cuencaputumayoica.com/\)](https://cuencaputumayoica.com/), among others). Face to face meetings will be implemented progressively depending on the COVID-19 status and will follow biosecurity measures. The table below includes the key categories of stakeholders benefiting by the project in the four participating countries. WCS will sign interinstitutional agreements with some of the institutions to facilitate implementation of activities and involvement in the project's governance structures.

Sector	Country	Organizations	Role
Leading authorities for the project	Brazil	Secretary of the Environment of the State of Amazonas in Brazil (SEMA-AM)	Key actors in the formulation of policies and regulations, and in strategic issues such as land use, planning and watershed management, promoting coordination with sectoral policies and programs. They will integrate the project's Regional Steering Committee. Note: Although SEMA-AM is a subnational institution, it has been assigned as the lead agency for project design and implementation together with the Ministries of Environment of the other three countries.
	Colombia	Ministry of Environment and Sustainable Development of Colombia (Minambiente)	
	Ecuador	Ministry of Environment, Water and Ecological Transition of Ecuador (MAATE)	
	Peru	Ministry of Environment of Peru (MINAM)	

Sector	Country	Organizations	Role
National/Subnational public institutions	Brazil	National Water and Sanitation Agency (ANA) and Secretary of the Amazon and Environmental Services (of the Ministry of Environment - MMA); Secretary of Rural Production of Amazonas State (SEPROR); Executive Secretariat of Fisheries and Aquaculture of the Amazon (SEPA) / SEPROR; Environmental Protection Institute of the Amazonas State in Brazil; The Secretary for Economic Development, Science, Technology and Innovation of the Amazonas State (SEDECTI); Center for the Development and Integration of the Amazonas State Border Strip (NIFFAM) - SEDECTI	Support integration of Project activities in line with regional priorities. Participation in regional and local policies and initiatives. Support in the development and implementation of cross-border actions. Support in the generation of information and knowledge. Beneficiaries of some of the project's interventions. Representatives from some of these institutions will become members of the project's Technical Committee providing guidance, orientation and supporting the project implementation unit in the activities' planning, and will sign interinstitutional agreement with WCS.
	Colombia	Corporation for the Sustainable Development of the Southern Amazon of Colombia (Corpoamazona); Ministry of Mining and Energy; National authority of aquaculture and fisheries (AUNAP)	
	Ecuador	National Biodiversity Institute (INABIO); National Fisheries Institute (INP)	
	Per?	The National Water Authority (ANA); Peruvian Amazon Research Institute (IIAP); Geophysical Institute of Peru (IGP)	
Authorities with special territorial jurisdiction: Natural protected areas	Brazil	Chico Mendes Institute for Biodiversity Conservation (ICMBio)	Identification and implementation of activities for the effective management of strategic conservation areas. Beneficiaries of some of the project's interventions. Will be members of the project's Technical Committee
	Colombia	National Natural Parks of Colombia (PNN)	
	Per?	National Service of Natural Areas Protected by the State (SERNANP)	

Sector	Country	Organizations	Role
Research institutions		National Institute of Amazonian Research (INPA, Brazil); University of the Amazon state, Brazil (UEA); The Colombian Amazon Institute for Scientific Research (SINCHI, Colombia); Public research Institute in Aquaculture and Fisheries (IPIAP, Ecuador);	Technical support for the Project activities. Will be part of the thematic working groups and participate in several activities.
NGOs	Brazil	Instituto Socioambiental (ISA); Mamiraua Institute	Provide knowledge and experience in the region Could participate implementing activities as recipients of competitive contracts or subprojects (some of which in alliance with local communities and public institutions).
	Colombia	Foundation for Conservation and Sustainable Development (FCDS), Amazon Conservation Team (ACT), Fundaci?n GAIA, Tropenbos,	
	Ecuador	Naturaleza y Cultura Internacional (NCI); Hivos; Altr?pico; Sobrevivencia Cof?n Foundation	
	Per?	Center for the development of the Indigenous people of the Amazon (CEDIA), Instituto del Bien Com?n (IBC), Amazon Scientific Innovation Center Association (CINCIA); Rainforest Foundation,	
	International	The Field Museum of Chicago, Frankfurt Zoological Society (FZS), Conservation International (CI), The Nature Conservancy (TNC), WWF	

Sector	Country	Organizations	Role
Authorities at the local level		<p>Brazil: municipalities of Amatur?, Benjamin Constant, Santo Ant?nio do I??, S?o Paulo de Oliven?a, Tabatinga e Tonantins</p> <p>Colombia: El Encanto, La Chorrera, Leticia, Puerto Alegre?a, Puerto Arica, Puerto Nari?o, Santander (Araracuara), Tarapac?, C?rdoba, Funes, Ipiales, Potos?, Puerres, Pasto, Col?n, Mocoa, Orito, Puerto As?s, Puerto Caicedo, Puerto Legu?zamo, San Francisco, San Miguel, Santiago, Sibundoy, Valle del Guamu?z, Villagarz?n</p> <p>Ecuador: parroquias of El dorado de cascales, Santa Rosa de Sucumbios, Sevilla, Cuyabeno, Puerto Libre, Dureno, General Farfan, Jambeli, Nueva loja, Pacayacu, Santa Cecilia, Palma Roja, Puerto Bolivar, Puerto el Carmen del Putumayo, Puerto Rodr?guez, Santa Elena, Rosa Florida</p> <p>Peru: within Loreto Regional Government districts of Putumayo, Rosa Panduro, Teniente Manuel Clavero, Yaguas.</p>	<p>Municipalities listed in the table, but state/provincial governments will be involved too.</p> <p>Support in the implementation of project activities</p> <p>Beneficiaries of some of the project's interventions</p>
Local communities		Indigenous people, Afro-descendants, farmers, fishermen and their organizations and associations.	Main project beneficiaries
Private sector Associations and organizations		Productive sectors (ej. ANDI ? Colombia, among others)	Will participate in the working groups and activities leading to improved practices to reduce water contamination and other sources of degradation. Will also support activities promoting sustainable value chains.

Select what role civil society will play in the project:

Consulted only;

Member of Advisory Body; Contractor; Yes

Co-financier; Yes

Member of project steering committee or equivalent decision-making body;

Executor or co-executor; Yes

Other (Please explain)

3. Gender Equality and Women's Empowerment

Provide the gender analysis or equivalent socio-economic assesment.

A gender action plan has been designed by the project team and is included in the CEO Endorsement request package. This plan intends to: (i) Contribute to the deepening of knowledge and the development of innovative strategies to deal with the inequalities observed between men and women in the basin; (ii) Identify and address gender gaps in terms of participation and leadership in decision-making processes, access to opportunities, rights, incomes and benefits, and control and use of resources; (iii) Design and incorporate affirmative actions aimed at reducing gender inequalities across the components of the Project; (iv) Use participatory methods to guarantee equal opportunities for women and men to participate and contribute to project design and implementation; (v) Identify opportunities to empower women to support project success and sustainability. Specific gender sensitive project activities at component level are listed in the following table.

Components and outcomes	Gender sensitive activities
Component 1. Strengthen governance and capacity for informed decision making on IWRM.	<ul style="list-style-type: none">- Invitations to participate in the project activities will be directed equally, to men and women of communities.- A cultural and gender approach will be included in assessing traditional knowledge and into the IWRM, assuring women's participation in events for scientific and traditional knowledge exchanges. It includes to consider conditions particular to women and restrictions for travel, or gaps in literacy or educational level.- The project will tailor training and assistance to women needs and interests.- Women's traditional knowledge and practices that have allowed the survival of their communities' identity, specifically in some practices like medicine, care and upbringing, among others, will be recognized.- Specialized knowledge indigenous women have related to the cultivation and production of food, seeds and medicinal plants will be recovered.- A gender-balanced governance structure will be promoted, including the participation of women as community monitors.

Components and outcomes	Gender sensitive activities
Component 2. Enhance key management interventions towards shared IWRM.	<ul style="list-style-type: none"> - The participation of women's organizations based on a bottom-up approach starting with women's empowerment processes in the communal and local level will be promoted. - A gender approach will be used to analyze land tenure, use and control over the natural resources and value chains in order to document inequality and women's contributions in different activities. - Women will be the beneficiaries of subprojects and of the improvement of chagras and food security. - Explore new and unforeseen opportunities emerging for digital commerce in some areas that could open doors for women to learn new skills and diversify their livelihood base. - In order to reduce gender gaps in natural resource management, specific women's initiatives and community-based initiatives promoting the participation of women will be encouraged and supported.
Component 3. Project Management, Monitoring and Evaluation.	<ul style="list-style-type: none"> - To promote gender equality and women empowerment across the project, the project's team will receive training about gender and natural resources management at the beginning of implementation. - The GAP will be presented to partners, associates, consultants and local communities since the beginning of the project, and when hiring its personnel. - The communication strategy will take into account gender considerations. - Community communication will be participatory, inclusive and sensitive to gender and cultural issues, and will seek to train assistance to beneficiaries in communication techniques and tools to better convey their activities and processes. - Some indicators in the results framework will be evaluated by gender. - Documenting people's participation, by sex, in meetings as well as in the economic incentives provided will be key part of the project monitoring plan.

Does the project expect to include any gender-responsive measures to address gender gaps or promote gender equality and women empowerment?

Yes

Closing gender gaps in access to and control over natural resources; Yes

Improving women's participation and decision making Yes

Generating socio-economic benefits or services or women Yes

Does the project's results framework or logical framework include gender-sensitive indicators?

Yes

4. Private sector engagement

Elaborate on the private sector's engagement in the project, if any.

The Project will engage the private sector by supporting community producer organizations and working with companies whose business is linked with the basin's natural resources use.

Within component 1, relevant private sector representatives will be invited to participate in the relevant thematic groups that will serve as discussion platforms to build the shared vision and where the strategic plan for the basin will be designed. This will foster dialogue and collaboration with productive community organizations and bring private sector perspective into the forum.

For component 2, the Project provide technical assistance to private sector companies involved with activities that could lead to water contamination in order to generate agreements and promote sustainable best practices. For the design and piloting of an early warning system, the private sector will play a crucial role as project partner. The system will trigger communication with local and regional emergency attention agencies, indicating the need to initiate contingency plans and, above all, prioritize attention to local communities located along the affected areas. To successfully implement this approach, the project will work with private companies providing technical assistance to improve their contingency plans.

Also, as part of the Project's component 2, the strengthening of productive value chains, via subprojects, will involve various private stakeholders with specific roles: (i) local private producer organizations as key beneficiaries (with special emphasis to strengthen women led organizations); (ii) private investors, providing capital and knowledge on business development, entrepreneurship and marketing; (iii) private research institutions, offering scientific knowledge; (iv) regional environmental authorities aligning project activities with their Green Business programs that establish alliances with potential private buyers; and, (v) other local NGOs and private institutions that will share lessons learned from similar experiences in the region. The project will develop market analysis to assess the feasibility of selected products to connect to markets with a differential price that reflects their origin and sustainable practices. The analysis, with guidance from private sector partners, will involve the identification of potential challenges and opportunities, and innovations to improve access to markets. During project preparation, the team identified potential private companies interested in marketing goods at a premium price that recognizes and encourage sustainable practices. One of the companies identified is Natura, the largest Brazilian multinational cosmetics company, which uses mainly local Amazonian products like Castanha (*Bertholletia excelsa*), Açaí (*Euterpe oleracea*), Ucuuba (*Virola Surinamensis*), Patau (*Oenocarpus bataua*), camu camu (*Myrciaria dubia*), and involves local communities in its value chains. Natura has initiatives in some areas of the Brazilian Amazon within the Putumayo-I? basin and hopes to expand its operations to Peru, Ecuador and Colombia. Its participation will be key for the commercialization of NTFPs in the area.

Private community producer organizations will also benefit from the market place and courses led by environmental authorities like Colombian Corpoamazonia, to strengthen their capacity to establish business with the private sector under fair trade agreements. This include consumer e-commerce networks and direct buyers of specialty products, which in some markets are registering an increase in demand, as an increasing number of urban consumers are favorable to fair trade and support of local and organic markets. The project will also establish market alliances with local and capital city restaurants that promote sustainability and direct linkage with local origin products.

As part of the fisheries management plans, the Project will provide support to private local community organizations to design and develop business plans and feasibility analysis giving them the tools to reach private investors willing to support sustainable value chains of natural resources.

The Colombian Private Sector National Association (ANDI) participated during the project design to identify areas of common interest between the project and their environmental objectives. They have identified the basin as a priority area due to its high biodiversity value and committed to provide funding to the project.

Finally, the Project, in collaboration with GEF GOLD projects, will seek to establish alliances with private gold companies in joint efforts to ensure gold traceability, responsible sourcing, and support awareness related to the negative impacts of mercury use.

5. Environmental and Social Safeguard (ESS) Risks

Provide information on the identified environmental and social risks and potential impacts associated with the project/program based on your organization's ESS systems and procedures

Overall Project/Program Risk Classification*

PIF	CEO Endorsement/Approval	MTR	TE
High or Substantial			

Measures to address identified risks and impacts

Elaborate on the types and risk classifications/ratings of any identified environmental and social risks and impacts (considering the GEF ESS Minimum Standards) and any measures undertaken as well as planned management measures to address these risks during implementation.

A. Environmental and Social Risk Classification (ESRC) Substantial

Environmental Risk Rating Substantial

The objectives of the project are environmental and social and the impacts are considered positive, as biodiversity

conservation efforts will be coupled with measures to secure sustainable natural resource use through governance

strengthening and improving knowledge on water and NR use and management. The project will also mitigate and

prevent water pollution from mercury and other contaminants, reducing negative impacts from pollution in health

and income generation. Despite these environmentally positive objectives, the environmental risk has been rated

Substantial, due to (i) the distant and vulnerable sites (sensitive areas) where the project will be developed; (ii) the

complexity and variety of organizations and institutions present in the area, including various national, provincial

and local governments, environmental authorities, national protected areas administrations, indigenous authorities,

national and international companies, and NGOs, all of which produce different kinds of information; (iii) the

potential pilot remediation methods for mercury within the affected areas under Subcomponent 2.1, which may

require a good degree of expertise to avoid collateral environmental damages in the contaminated sites and along

the transportation and disposal areas; (iv) WCS is recognized by its institutional capacity to manage the project, it

lacks prior experience with remediation techniques and ESF implementation, also WCS will work with public

entities that have experience in this type of bioremediation; (v) the contextual risks related to the characteristic

periodic flood regime of the Amazon Region and climate change effects (e.g. extreme floods, fires, drought periods);

and (vi) the potential risks of non-sustainable NR use in activities under Subcomponent 2.2. These risks and impacts

are temporary and/or reversible, at a local level, and can be mitigated through a series of activities included in an

Environmental and Social Management Framework (ESMF). Risks are expected to be lower in magnitude as

compared to the mercury pollution levels present and future threats. The specific technique to be applied has not

been selected yet, and the sub-projects under Subcomponents 2.1 and 2.2 will only be selected during project

implementation. The selected techniques for subcomponent 2.1 will be those that: (i) minimize ordinary waste and

hazardous waste production of the remediation alternative; (ii) do not consider remediation of mercury by

cyanidation; (iii) demonstrate to be safe for habitants and domestic animals in the treated areas, as well as for

personnel applying them; (iv) avoid activities relating to, or in preparation for, exploitation of any plant or animal

species use in the remediation techniques that involve the significant conversion or degradation of natural or critical

habitats; (v) avoid the introduction or promotion of invasive species not native; (vi) avoid significant conversion or

degradation of critical or other natural habitats; once these sub-projects area selected, the environmental risk will

be subject of a new evaluation. To address and mitigate potential risks, the implementing agency is drafting a ESMF

based on the WB's Environmental and Social Standards (ESS) to provide (a) a characterization of potential contextual

risks and environmental and social risks and impacts of all project activities; (b) identification of applicable national

legislation of the four countries; (c) generic management and mitigation measures for likely impacts associated with

the project activities, particularly regarding NR productive activities and the pollution bioremediation activities that

will require criteria to select specific methods that minimize environmental risks; (d) implementation arrangements,

structural organization, capacity-building measures, and budget; (e) the environmental control and follow-up

measures for the project. The ESMF will consider the WB's Environmental, Health, and Safety Guidelines.

Social Risk Rating Substantial

Social Risks has been identified as Substantial under the World Bank's ESF. The project activities are designed to

generate positive results for the population's well-being and natural resources conservation. The project will also

generate social benefits in critical areas for the survival of local communities such as food security, health, the

recovery of traditional knowledge, and at the same time, it will have an impact on better practices for conserving

biodiversity and ecosystem resilience over generations. The Project will not finance infrastructure or activities with

adverse impacts on physical, cultural, and/or archaeological sites or that lead to resettlement, involuntary

displacement, or restrictions affecting communities' livelihoods during implementation. Despite the above,

substantial social risks have been identified as follows: (i) Illegal armed groups and threats to social and

environmental leaders continue in some project areas, particularly in Colombia. Conflict and social unrest are not

new to the region and despite difficult circumstances, projects on the ground have been implemented and

outcomes have been achieved. That said, criminal activities involved in drug trafficking and illegal mining do create

challenges to project implementation; (ii) uncontrolled increasing population seeking new opportunities to earn

economic income in the area; iii) the variety of organizations and institutions with a presence in the area (national,

regional and local governments, international and local NGOs, indigenous peoples, social organizations, among

others), presents a complexity to promote dialogue and joint action; and (iv) the vulnerability of social groups

(especially indigenous peoples and women) may increase after the Covid-19 pandemic. In terms of mitigation

measures, the Project will use a highly participatory approach that emphasizes community consensus and

participation in managing the basin's resources. The ESMF will pay particular attention to the impacts and benefits

for indigenous peoples and vulnerable social groups, particularly women, and specific measures to reduce identified

gender gaps, the needs of the most vulnerable, and indicators to monitor them will be proposed. WCS has a long

history in this region and is recognized by local communities, which is why it is expected to have the capacity to

manage and prepare the necessary instruments to mitigate social risk: a Indigenous Peoples Planning Framework, a

Process Framework, a Stakeholder Engagement Plan and a Gender Plan which includes activities to address existing

gender gaps and risks related to sexual exploitation and abuse and sexual harassment SEA/SH). The project

implementation arrangements also include governance structures with participation of different institutions both

public and private that will support informed and inclusive decision making and adaptive management.

Supporting Documents

Upload available ESS supporting documents.

Title	Module	Submitted
Appraisal ESRS	CEO Endorsement ESS	

ANNEX A: PROJECT RESULTS FRAMEWORK (either copy and paste here the framework from the Agency document, or provide reference to the page in the project document where the framework could be found).

Results Framework

COUNTRY: Latin America
Integrated watershed management of the Putumayo-I?? river basin

Project Development Objectives(s)

To strengthen the enabling conditions for the participant countries to manage the shared freshwater ecosystems of the Putumayo- I??

basin in the Amazon region

Project Development Objective Indicators

RESULT_FRAME_TBL_PDO

Indicator Name	PBC	Baseline	Intermediate Targets				End Target
			1	2	3	4	
Enabling conditions to manage the shared freshwater ecosystems in the basin							
Regional knowledge management strategy providing relevant information for decision making towards conservation and sustainable natural resource use (Number)		0.00	1.00	2.00	3.00	4.00	4.00
Action plan agreed for shared management of the basin designed and operational (Number)		0.00	1.00	2.00	3.00	4.00	5.00
Share of targeted subproject beneficiaries with improved livelihood conditions (Percentage)		0.00	0.00	0.00	50.00	70.00	70.00

PDO Table SPACE

Intermediate Results Indicators by Components

RESULT_FRAME_TBL_1
0

Indicator Name	PBC	Baseline	Intermediate Targets				End Target
			1	2	3	4	
Governance and capacity for informed decision making on IWRM							
Research processes for the recovery of traditional knowledge that supports IWRM (Number)		0.00	0.00	2.00	4.00	4.00	4.00
Trained beneficiaries participating in community monitoring of project activities (Number)		0.00	60.00	80.00	100.00	150.00	150.00
Level of engagement in IWLEARN through participation and delivery of key products (Number)		1.00	2.00	3.00	4.00	4.00	4.00
Regional working groups established and/or strengthened in operation (Number)		0.00	2.00	4.00	6.00	6.00	6.00
Women actively participating in the working groups (Percentage)		0.00	40.00	40.00	45.00	45.00	45.00
Indigenous people and other ethnic minorities in the working groups and other decision-making bodies (Percentage)		0.00	20.00	20.00	25.00	25.00	25.00
Feasibility analysis of regional basin governance structure validated by participant countries (Yes/No)		No	No	No	Yes	Yes	Yes
Management interventions towards shared IWRM							

RESULT_FRAME_TBL_1
O

Indicator Name	PBC	Baseline	Intermediate Targets				End Target
			1	2	3	4	
Index on contamination early warning system designed and operational in pilot sites (Number)		0.00	1.00	2.00	3.00	4.00	4.00
Quantity of Mercury reduced (tons) (Number)		0.00	1.00				3.00
Pilot sites adopting and implementing the strategy for the control and monitoring of water pollution by mercury / other contaminants (Number)		0.00	0.00	2.00	4.00	4.00	4.00
Fisheries management plans implemented (CRI, Number)		0.00	2.00	3.00	5.00	5.00	5.00
Priority species populations exploited at sustainable levels within the basin (Number)		0.00	0.00	2.00	3.00	4.00	4.00
Natural Resources product regional value chains developed or strengthened (Number)		0.00	1.00	2.00	4.00	4.00	4.00
Project Management, Communications, Monitoring and Evaluation							
Direct beneficiaries disaggregated by gender as co-benefit of GEF investment (Number)		0.00	1,000.00	2,500.00	5,000.00	6,300.00	6,300.00
Women direct beneficiaries as co-benefit of GEF investment (Percentage)		0.00	40.00	40.00	45.00	45.00	45.00
Grievances registered related to delivery of project benefits that are addressed (Percentage)		0.00	90.00	100.00	100.00	100.00	100.00

ANNEX B: RESPONSES TO PROJECT REVIEWS (from GEF Secretariat and GEF Agencies, and Responses to Comments from Council at work program inclusion and the Convention Secretariat and STAP at PIF).

GEF-7 World Bank Appraisal Stage: GEF datasheet

Annex B. Response to Project Reviews

Integrated watershed management of the Putumayo-I?? river basin (P172893)

Comments were received from the GEFSEC on March 27th, 2020 (included in the GEF Review Sheet https://www.thegef.org/sites/default/files/web-documents/10531_MFA_PIF_Review.pdf). Further comments were submitted on April 9th 2020.

The table below includes the comments received at concept stage, the responses provided and further responses that are reflected in the appraisal stage project documents. The table also includes the comments and responses from GEF Council members provided in June, 2020.

1. GEFSEC Comments

Comments	Task Team Response submitted at Concept stage (previous to approval of the work program on June 2020)	Task team response at appraisal stage
Is the project/program aligned with the relevant GEF focal area elements in Table A, as defined by the GEF 7 Programming Directions?		

This project is not consistent with the approach that the GEF is taking to address the ASGM sector. The GEF focuses on an upstream approach to mercury management in the ASGM sector, while GEF funds can help to develop plans for remediation of mercury contaminated sites we cannot use GEF resources for site clean up. This project should focus on an upstream coordinated approach between the four countries to prevent illegal gold mining that uses mercury in the watershed.

The project will not work directly with mining operations, formalize the ASGM sector or provide access to finance to afford mercury free equipment. Countries see this project as a unique opportunity to pilot a jurisdictional collaborative approach that responds to the specific context of the region and addresses the drivers and impacts of water contamination (including mercury) from upstream to downstream the basin.

Despite not following the GOLD GEF program, the project will contribute to ?under C&W agenda: Program 1. Industrial Chemicals Program (Chemicals used/emitted from/in processes and products) ? this sub-component of the C&W strategy addresses Reduction and elimination of mercury from the Artisanal and Small Scale Gold Mining Sector? as stands in the GEF Programming directions.

This collaborative jurisdictional approach will inform adaptation of laws and regulations, promote harmonization of procedures and protocols, and strengthen enforcement to reduce mercury contamination and its impacts on the environment and health. This approach and intervention will also inform the countries Minamata National Action Plans

The Project Appraisal Document (PAD) and Project Information Document (PID) contains further clarification of the project approach towards ASGM as described in the project description section (section II) and the annex 2. The project will respond to the GEF7 emphasis in facilitating the reduction of chemicals through stronger alignment with the shift to sustainable production and consumption and a multi sector-based approach. The project will support governments joint efforts to promote best practices and control emissions from contaminants released from legal activities, control and enforce regulations against illegal practices, and mitigate their impacts. The project brings added value to the Chemicals and Waste GEF portfolio, supporting with complementary interventions those financed via GEF GOLD program currently ongoing in three of the four participant countries. Project interventions will support the countries to jointly address the environmental threat coming from mercury contamination in the basin before it reaches higher levels that would require larger investments to repair environmental damage and would cause further social/health negative impact. Integrated with the International Waters focal area, the project will support a shared vision and action plan for the basin, strengthening the capacity of the countries to advance towards sustainable management through proper land and water use planning for the basin. This approach considers that, given the basin?s environment and physical cultural importance and tangible cultural heritage, mining activity remains largely restricted and when in use of mercury, remains illegal. The project will also work with vulnerable downstream communities who consume mercury-contaminated fish and drink contaminated water, despite not mining themselves. Addressing the challenge of illegal mining in the basin, even via improved information and capacity building, adds complexity to the project, but responds to the region?s context, takes the opportunity of the existing political commitment and builds capacity towards a long term

<p>This project should consider taking a landscape and jurisdictional approach for ASGM management in the Putumayo. The GOLD+ project will demonstrate a jurisdictional approach and this project would benefit from a similar approach.</p>	<p>The project benefits from having the CW focal area linked with an IW focal area so that the landscape regional approach is immersed in the expected basin management. As indicated in the PCN, the project will promote communication and exchange of knowledge with the existing GOLD projects in Colombia, Ecuador and Peru for those matters that are relevant for the particular context of the basin.</p> <p><i>Question cleared on: April 9th, 2020)</i></p>	<p>See comment above related to the projects alignment and complementarity with the GEF GOLD portfolio. During project preparation after concept stage, the project team has reached to team members in charge of PLANETGOLD and GOLD+ programs understanding the differences but finding opportunities for knowledge sharing and collaboration within the scope of each intervention.</p> <p>The project's approach builds on a regional, national and subnational jurisdictional/landscape approach which aims to reconcile competing social, economic and environmental objectives through participation by a full range of stakeholders across sectors, and in this case, stakeholders across borders.</p>
<p>Colombia, Peru and Ecuador all participate in the GEF GOLD Program, however there are no demonstrations specifically in the Putumayo Basin within those projects, therefore the activities of this project should very closely coordinate with the GOLD Program child projects, including policies and regulation and knowledge sharing and communications.</p>	<p>See the two comments before. As confirmed by the focal points from each of the countries, expected actions in the Putumayo do not align with GEF GOLD approach that calls for the formalization of the activity, providing access to finance for small gold miners, among others. That said, collaboration with the teams working in these projects will be promoted to ensure knowledge sharing and communication.</p> <p><i>Question cleared on: April 9th, 2020)</i></p>	<p>See comment above. Despite this project not sharing the rationale from the GOLD program (promoting formalization of the activity), there are opportunities for complementarity.</p>

<p>Mercury monitoring, which is included in component 3, is not currently being funded through the GEF. The Minamata Convention is still working on the approach for global mercury monitoring, thus this is ineligible for GEF funding until guidance is provided by the convention.</p>	<p>Thanks for clarification on this. While guidance is provided, the project will support capacity building of the institutions in charge of implementing the Minamata Convention. The component description will be adjusted to remove what the representatives from the GEFSEC clarified cannot be financed under Chemicals and Waste focal area.</p> <p><i>Question cleared on: April 9th, 2020)</i></p>	<p>The project will require analysis and diagnostics of the biological status of the river systems in pilot sites of the basin. The analysis will include the dynamic of water (including pollution levels, pollution drivers, commercial flows and environmental, and socioeconomic impacts). The analysis will allow not only provide an increased understanding of the basin beyond national jurisdictions, but also the identification of priority sites to pilot shared management strategies. To comply with M&E requirements, the project will track the results of the pilot activities, and in terms of measuring mercury levels, methodologies will be aligned with the guidelines to monitor mercury according to the Minamata Convention.</p> <p>This explanation is included in the Annex 2 of the PAD in the description of the Subcomponent 1.1. Traditional and scientific knowledge, and the PID .</p>
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<p>GEBS of 1 ton mercury is low considering the GEF funding requested.</p>	<p>The team together with the participant countries will address this comment, adjust the component approach and aim for a higher target in the order of 3 tons. As the emphasis will be geared towards enforcement and harmonization of policies, an increase of reduced mercury shall be expected. Besides this subindicator, the project will remain committed to Core subindicator 9.4. Number of countries with legislation and policy implemented to control chemicals and waste. The legislation is already in place in the four countries (Peru, Colombia, Ecuador, Brazil), but through regional agreements, the project aims to promote the implementation of such legislation in specific sites across the Putumayo basin.</p>	<p>During preparation, further information and analysis led to the estimation of mercury reduction target of 3 tons. This target is already included in the core indicators of the GEF.</p>
<p>International waters.</p>		

The concept has a much stronger alignment between the Amazon river Basin Strategic Action Programme Priorities and the suggested component activities.

Furthermore, in the current submission, it is not possible to understand what the tangible deliverables will be from the component descriptions. The component descriptions are too generic and lack identifying outcomes and outputs.

The latest version of the PCN provides more details and show how the project is aligned with the GEF-financed Regional Strategy for Integrated Water Resources Management in the Amazon Basin, particularly in regard to Strategic Actions: Reducing the vulnerability of bioaquatic ecosystems of the Amazon Basin; and Supporting the strengthening of institutional and management frameworks to improve water resources management. The project will collaborate with the GEF-financed Implementation of the Strategic Action Programme (SAP) to ensure Integrated and Sustainable Management of the Transboundary Water Resources of the Amazon River Basin Considering Climate Variability and Change. The project will support some of the priority regional transboundary problems identified in the SAP that are relevant to this basin, and its associated actions including: water pollution by implementing a regional water quality monitoring system and protecting, managing and monitoring aquifers; deforestation by conserving and using water resources sustainably in the headwaters and lowlands; and the need to support legal and institutional frameworks to improve water

The PAD and a separate Annex called 'Strategic Action Plan and project activities' included in the Endorsement Package includes details on how project activities contribute to some of the transboundary problems and strategic actions that are mentioned in the SAP. One of the main project outcomes is the design and agreement of an action plan for the Putumayo-I?? basin based on diagnostic knowledge collected through project activities and in line with a common vision. The project will build on the SAP regional effort and add value by grounding its implementation to the shared Putumayo-I?? basin, providing analysis and supporting investments for specific particularities and needs. The project results will in turn inform similar efforts in other Amazon basins.

The section D 'Results Chain' and the annex 2 of the project appraisal documents include a detailed project description based on a theory of change that includes outcomes and outputs for each of the project components and subcomponents. PID also includes project description.

Please note this is a SAP implementation project, hence stress reduction results are expected. The current component descriptions seems to indicate that focus is on knowledge management. Surely, KM is important, but as SAP implementation projects focus on delivering results on the ground, that will minimize the environmental stress on the ecosystem.

KM is the focus of the project's component 1. This knowledge will support concrete implementation and actions in all the other project components. The project also aligns with SAP's knowledge management component and the information gathered for the Putumayo-Ica will feed into the regional platform. In addition, the project aims to deliver results on the ground for this particular basin. The project will support joint actions to enhance water security in freshwater ecosystems through enhanced regional and national cooperation on shared freshwater surface and groundwater basins, thus aligning to the IW focal area. Among other activities, component 4 will support the development of the business case, processing techniques to add value to products and services and marketing strategies.

Based on further characterization and analysis of specific sites, the project will suggest and promote alternative agrotechnology systems for terraced vegetable gardens and fisheries which is among the activities included in the SAP.

*Question cleared on:
April 9th, 2020)*

As described in the Project Description section of the PAD and the PID, the project's main objective to strengthen the enabling conditions for the countries to work collectively to manage the freshwater ecosystems of the basin will be achieved via specific interventions to strengthen governance and capacity towards informed decisions for integrated water resources management. Enabling conditions will be rooted in a data/information/knowledge management strategy that will collect, compile, analyze and disseminate relevant knowledge for the basin's integrated water resources management. This strategy will build on information collected for the Amazon basin via the TDA and SAP, but focusing on specific and relevant for the Putumayo-Ica basin.

Progress towards enabling conditions will be measured by an agreed strategic action plan for the basin, as well as the implementation of pilot on-the-ground activities in priority sites, demonstrating strengthened capacity and decision making towards integrated management. Results from these pilots will have the potential to be upscaled to other areas of the Putumayo-Ica basin and potentially to other Amazon basins. On the ground activities include: (i) early warning system that will improve the response capacity of local population and law enforcement entities to water pollution; (ii) small scale mitigation, remediation and restoration actions; (iii) implementation of subprojects to incentivize the sustainable production of fish and non timber forest products; (iv) alternative livelihood activities promoting food security (e.g. local agricultural plots, small fish farms with native species among others).

<p>The project submission in general lack description on the relationship between the Amazon SAP and this proposed set of investments.</p>	<p>See comment above <i>Question cleared on: April 9th, 2020)</i></p>	<p>See responses above</p>
<p>The proposal need to further elaborate on the transboundary fisheries. The proposed executing agency presented interesting data on this, during preparatory meetings and transboundary fisheries was identified as one of the priorities, but in the submitted version transboundary fisheries is only mentioned very briefly.</p>	<p>Following the request, Annex 5 of the PCN includes further information <i>Question cleared on: April 9th, 2020)</i></p>	<p>A separate annex document ?Integrated Water Resource Management to sustain Amazon fisheries? has been included as part of the endorsement package.</p>
<p>Are the components in Table B and as described in the PIF sound, appropriate, and sufficiently clear to achieve the project/program objectives and the core indicators?</p>		

No table B is provided (GEF Data Sheet is to be submitted, according to the GEF/WB harmonization policies), so impossible to assess, however, it is clear that the proposal need to carefully assess the core indicators and identify what the project will deliver.

More comments will be provided on this, when it becomes more clear the alignment between suggested activities, the Amazon SAP Priorities (<https://iwlearn.net/resolveuid/a1df4c4c-49c4-4f7c-b4f4-29a31ee23a14>) and specific deliverables. The brief component descriptions do not provide enough information to understand what will be the tangible outcomes and outputs from the investment.

The GEF template for the concept stage GEF Data Sheet now includes outcomes and key outputs in Table B. In addition, the theory of change included in the annex indicates preliminary outputs at the concept stage. Furthermore, preliminary key results are indicated in the PCN with initial outcome indicators. The list of indicators is provided in Para 25 of the PCN.

Project activities will be further refined to ensure that the targets for all the applicable GEF core indicators will be achieved. These indicators will be monitored throughout the project.

During the next preparation stages, this will be further developed with key stakeholders. Detailed activities, aligned with those suggested by the SAP will be determined in the project appraisal document, budget and procurement strategy.

Question cleared on: April 9th, 2020 with a note ?however, as agency indicates in the responses below. It is important that the activities and output indicators are further refined during project preparation.?

GEF CEO endorsement data sheet includes Table B with the Project outcomes to be tracked by the indicators in the Results Framework (included in the PAD) and Core indicators. Furthermore, a detailed theory of change included in the PAD presents details of the project outputs and outcomes.

Are the indicative expected amounts, sources and types of co-financing adequately documented and consistent with the requirements of the Co-Financing Policy and Guidelines, with a description on how the breakdown of co-financing was identified and meets the definition of investment mobilized?

Partly, the WB documents uploaded, seems to be only reflecting on the GEF financing, hence it appears that this investment is 100% financed from GEF resources. However, the portal entry indicates a range of co-financing entries, where as most are public recurrent financing. Please investigate if the proposed financing can be aligned with upcoming IBRD financing or other financing that will be dedicated to implement the activities identified, to ensure a higher likelihood that identified financing will not disappear during project preparation period.

The co-financing presented is expected contribution from the country governments, showing commitment from different institutions. Although many investments have already been committed to the Amazon Sustainable Landscape Program national projects, two IBRD operations were identified from Colombia and Brazil.

Current ratio is over 1:8.

Further cofinancing will be discussed during next phases of project preparation. Potential cofinanciers are conducting program planning and new opportunities that would match the timeline of this project will be assessed.

Letters of cofinancing will be secured during appraisal stage and for GEF CEO Endorsement request.

Question cleared on: April 9th, 2020)

Co-financing was discussed in each of the participant countries from public, civil society and bilateral cooperation during appraisal stage. The complete list of co-financing is included in the GEF datasheet. Letters of cofinancing have been included in the package. This includes both recurrent expenditures and investment mobilized.

The amount (\$88.9M) is lower than what was committed at concept stage. Current ratio is almost 1:7. Impacts from the COVID19 pandemic creating a health and economic crisis caused a re-shift in some of the government budgets away from conservation activities. In addition, some of the funds that could potentially be presented as cofinancing and which in fact will complement efforts, were already included as cofinancing for other GEF projects in the Amazon region. Electoral processes and changes in governments also limited the possibility for some public institutions to commit to funding.

Cofinancing materialized could potentially increase. The team established dialogue with several institutions that are presenting proposals for future projects (for example with GCF) that most likely will allow for coordinated actions.

Is the proposed GEF financing in Table D (including the Agency fee) in line with GEF policies and guidelines? Are they within the resources available from

Both focal areas require additional information is provided on what the investment will deliver. Further, for CW, considerable changes needs to be carried out in the documents.

In addition to the explanation above, more specific information will be provided after further preparation and socialization stages with key stakeholders. Required changes will be made and reflected in the next project document. The PIF and the Decision notes are recording these changes, as discussed with the GEF Sec.

*Question cleared on:
April 9th, 2020)*

The PAD and its annexes as well as the PID include information about the specific project activities for each component and subcomponent and which integrate both focal areas. This description incorporates improvements suggested in quality enhancement review meetings, as well as assessments by WB specialists.

Are the identified core indicators in Table F calculated using the methodology included in the correspondent Guidelines?

<p>No, please reassess the impacts estimated, as discussed on CW financing. Moreover, please re-estimate, if indeed the project will only be able to have 2000 people benefit from this investment, it seems VERY low. Furthermore, the submitted information does not provide details on delivery of results, it is not possible to assess if all core indicators correctly reflect on impact. eg, as the demonstration activities have not been described to a level where it is possible to understand what they will achieve.</p>	<p>Impact under C&W financing is difficult to assess at this stage due to low capacity in the participating countries. The team will appreciate guidance from the GEFSEC as to how measure the impact</p> <p>Additional information will be provided after further preparation and socialization stages with key stakeholders. This will allow us to better reflect on the GEF subindicators. Even more so, the results framework to be included in the project appraisal document will provide other outcome indicators besides GEF core ones.</p> <p>On the number of beneficiaries: this is a watershed with low population density, mostly consisting of indigenous communities. That said, the number of beneficiaries will be revised during project preparation stage.</p> <p><i>Question cleared on: April 9th, 2020)</i></p>	<p>Targets for the core indicators have been identified by the team and discussed with the country representatives and executing agencies, ensuring realistic and achievable values. Section F of the GEF Datasheet includes a description of how the targets were estimated. In addition to the core GEF indicators, the result framework included in the PAD (section VII) presents additional outcome indicators.</p> <p>Specific project activities and more granular data collection, allowed a better estimation of the project direct beneficiaries to be 6,300 including indigenous communities, campesino communities, local institutions and governance agencies, academic and research centers and NGOs. A larger number of beneficiaries will benefit from the knowledge management strategy and the studies and communication pieces produced. This however is hard to estimate and measure. Achieving the objective of enabling the conditions for shared watershed management between the four countries will generate indirect benefits for all the basin inhabitants.</p>
<p>Is the project/program properly tagged with the appropriate key words as requested in table G?</p>		
<p>No, considering this project is proposed to take place in part of the Amazon Basin, it seems that the project should not tag ABNJ, please reconsider</p>	<p>Taxonomy annex was adjusted, thank you for guidance</p> <p><i>Question cleared on: April 9th, 2020)</i></p>	<p>Taxonomy annex was included in the package.</p>
<p>Has the project/program described the global environmental / adaptation problems, including the root causes and barriers that need to be addressed?</p>		

<p>Partly, the alignment with the ministerial endorsed SAP and its priorities needs to be much strengthened. Furthermore, in order to respond to this question, it is also essential that the project description includes more clear outcome and output indicators, pertaining to the two focal areas.</p>	<p>The project will be further detailed providing with activities which will be aligned to what has been broadly described in the SAP (and indicated in Annex 2 of the PCN). Concept level outcomes and outputs are included in the PCN and their indicators are to be developed in the next preparation stage to be reviewed for CEO Endorsement.</p> <p><i>Question cleared on: April 9th, 2020)</i></p>	<p>As project preparation progressed, the team was able to elaborate with more details the project description that responds to specific threats, root causes and barriers that the project's scope can address. A description of the theory of change is incorporated in the annex 2 of the project document and the PID.</p> <p>See comment above related to alignment of the project and the Amazon basin SAP.</p>
<p>Does the proposed alternative scenario describe the expected outcomes and components of the project/program?</p>		
<p>No, please add more detail on component outcomes in the GEF data sheet</p>	<p>The PCN provides a concept stage description of the project's outcomes and components that complements the tables included in the GEF data sheet. Also, the Theory of Change provided in Annex 3 should provide a relevant level of details.</p> <p><i>Question cleared on: April 9th, 2020)</i></p>	<p>The GEF datasheet has been updated to specify the outcomes and outputs for each project component. Additional information is presented in the annex 2 of the PAD ?Detailed project description? which includes the ToC that shows how project activities contribute to outputs and midterm and long term outcomes. PID also includes project description.</p>
<p>Is the project/program aligned with the focal area and/or impact program strategies?</p>		

Partly, it will be easier to assess when descriptions have been elaborated upon. and above comments addressed.

Agree. The project description at the concept stage will be further elaborated in the future and the team will appreciate the GEFSEC guidance and support during the coming process

*Question cleared on:
April 9th, 2020)*

A project description is included in the section called "Project description" of the PAD and in the annex 2 as well as the PID.

Section I.C. *Relevance to Higher Level Objectives* in the PAD also describes alignment of the project with the GEF focal areas.

Is the incremental / additional cost reasoning properly described as per the Guidelines provided in GEF/C.31/12?

No, the uploaded information, nor the uploaded documents, include incremental reasoning, please provide

The PCN document section on Economic analysis includes reference to GEF incremental cost reasoning. In addition to that, see the explanation below. Full economic analysis, assessment of the GEF incremental cost and additionally will be provided in the Project Appraisal Document.

GEF funding will add incremental value to existing actions at the national level and bring it up to the basin landscape level scale. GEF funds will allow to alleviate environmental threats in a high biodiversity basin. Compared to other landscapes in the Amazon, coordinated actions upstream and downstream in the Putumayo-Ica will allow to contain further expansion of threats instead of acting to remediate severe deforestation, degradation and contamination hotspots. GEF funds will be instrumental to bring together institutions and communities from the four countries to jointly act to address issues of key concern such as illegal mining and its impact on the environment and communities' health. Currently, information and knowledge about the region are siloed and thus not available to support holistic decision making by all relevant stakeholders. Water resources planning and management occur mostly sector by sector at national levels. The

The information provided in the previous response has been added to the project documents. In addition, an economic analysis has been developed and the results are presented in the annex 3 of PAD.

Are the project's/program's indicative targeted contributions to global environmental benefits (measured through core indicators) reasonable and achievable? Or for adaptation benefits?

Hard to assess, as the documents, nor uploaded portal information is elaborating on deliverables. Please include, as indicated above.

There is a clear need to continue this development as the project advances its development. The project will benefit from more clear, quantifiable output indicators.

The estimated PIF level core indicators were included reflecting what the countries assessed as achievable. As project preparation is further developed, more information will allow to reflect with better precision on these indicators as well as other outcome level indicators.

Question cleared on: April 9th, 2020 with a note ?yes, but there is a clear need to continue this development as the project advances its development. The project will benefit from more clear, quantifiable output indicators?.

During preparation, information and consultation with key stakeholders allowed a more accurate estimation of the target values for the selected indicators and sub-indicators in a way that they are reasonable and achievable. The details of the targets and their reasoning are presented in the section F of the datasheet and annex F.

Is there potential for innovation, sustainability and scaling up in this project?

This has not been elaborated on in the documents submitted, but it is believed that the investment will be including activities that will be innovative and that this Amazon sub basin investment will be important in relation for long term sustainability of the Amazon basin as a whole and for the Putumayo in particular.

While there have been several projects and initiatives for protected areas systems, mainstreaming of biodiversity and natural resource management, the project will include a suite of investments to be coordinated regionally across the four countries in this basin. Brazil and Ecuador will join innovative efforts of coordinated action, planning, and dialogue between Peru and Colombia towards a shared vision that also aligns with cultural tradition. Aiming to harmonize policies that impact the region and work across countries under a common landscape approach. Under this approach, the project will also align and partner with actions supported by the GEF financed Amazon Sustainable Landscapes program and the national projects in each of the countries.

Promoting knowledge sharing of innovative practices among countries and other partners will raise awareness, commitment and buy in to incorporate the approach. Other innovations will translate as follows:

Technological innovations: The project aims to apply watershed monitoring and planning decision support systems in partnership. In addition, it will develop and use online applications and

The project documents incorporates a better description of the innovative approaches. In addition, to those presented in the concept stage response, during project design and with support from the Disruptive Technology group at the World Bank, new ideas to incorporate technological innovations have been included. A [spatial database](http://www.cuencaputumayoica.com) portal for the basin was prepared to be linked to the webpage of the project (www.cuencaputumayoica.com). The project has been selected as one pilot in the World Bank portfolio to have the executing agency and government partners receive capacity building in remote participatory monitoring methods using tools like Kobotoolbox and the country counterparts are already receiving support from the European Space Agency.

Section III.C. in the PAD includes a description of the elements that contribute to the project's sustainability.

Is the case made for private sector engagement consistent with the proposed approach?

<p>No, as indicated above, the rationale for Private sector engagement need to be expanded upon. Particular it will be interesting to know how the private sector will be part of delivering on the overall SAP priorities, as well as the sub basin activities identified in component descriptions.</p>	<p>The project will engage with different private industries including those involving small subsistence fishermen with traditional techniques and local productivity, and medium-sized private organizations involved with fishing, agriculture, and ecotourism. Private sector engagement will be expanded. The project also expects to benefit from the identification of innovative financing instruments and possible partnerships between governments, civil society, and the private sector, as indicated in the SAP, and in relation to this basin.</p> <p><i>Question cleared on: April 9th, 2020</i></p>	<p>In addition to the response provided in the concept stage, cofinancing support has been secured from the Colombian National Association of the Private Sector (ANDI) The ANDI has identified the Putumayo department as priority area to channel resources from the private sector due to its high conservation value. In addition, the project has identified potential companies, interested in commercializing sustainable produced products with a premium price that recognizes and encourages good practices. Such companies are already sourcing from other areas of the Amazon. One of the companies identified is Natura, the largest Brazilian cosmetics multinational company, that uses mainly Amazon local products (Castanha, Açaí, Ucuuba, Patau, among others) and involve local Amazonia communities in their value chains. Natura has initiatives in some areas of the Brazilian Amazon that are within the Putumayo-I? basin and are looking forward to expand their operation to Peru, Ecuador and Colombia. Their involvement will be fundamental for the commercialization of NTFP in the area.</p> <p>The project, in collaboration with GEF GOLD projects will seek to establish alliances with private gold companies in joint efforts to ensure gold traceability and support awareness related to the negative impacts of mercury use. The GEF appraisal datasheet includes more information in the section about private sector engagement</p>
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Is the proposed ?knowledge management (KM) approach? in line with GEF requirements to foster learning and sharing from relevant projects/programs, initiatives and evaluations; and contribute to the project?s/program?s overall impact and sustainability?

No, please include wording that describes how the project will be allocating 1% of the GEF grant to support IWLEARN activities, such as producing a website following IWLEARN standards, production of at least two experiences Notes and one Results Note, as well ensure participation of at least two project staff and minimum two representative from each country to all IWC conferences that happen during project implementation and other regional or global IWLEARN workshops.

please add the "1% of GEF IW financing will be supporting IWLEARN activities". This seems to be missing.

As indicated in the PCN description of component 1, which has been specifically designed to foster learning and sharing, the project will build on and contribute to the GEF's International Waters Learning Exchange and Resource Network (IW:LEARN) for its project-to-project learning exchanges and to leverage its targeted support for the GEF IW freshwater portfolio and partners. Supporting activities for component 3, the project will also promote communication and exchange of knowledge with the existing GOLD projects in Colombia, Ecuador and Peru for those matters that are relevant for the particular context of the basin. The current output indicated in the theory of change (annex 3) makes reference to the output: "Information, of regional relevance, available through supported platforms to facilitate decision making processes". The team will further develop the description of this output to make it clearer that among these platforms IWLEARN and those related to Chemicals and Waste will be included.

Thanks for the guidance on what the project needs to fund to participate in the IWLEARN according to GEF requirements. As the executing agency develops the

The PAD includes reference to the IWLearn in the detailed description of subcomponent 1.1 included in the annex 2. Involvement with IWLEARN will also be measured with a GEF core indicator.

The project's component 1 has a strong emphasis on information and knowledge including training of local staff and this will also include participation in international IW conferences. In addition, knowledge sharing activities supported by this component will produce information to communicate lessons learned and good practices considering the diverse audience of the basin. As described in component 1, the knowledge management strategy will ensure that information generated by the project will be linked to IWLEARN platform as well as other relevant platforms and webpages. The budget submitted as part of the CEO Endorsement package include the request from GEFSEC to utilize 1% of GEF IW financing to support IWLEARN activities and it has been specified.

2. STAP comments

Comments submitted on May 16, 2020

Comments	Task Team Response submitted on May, 2020	Task team complementary response at Appraisal stage
STAP Overall Assessment and Rating		

<p>Minor. STAP welcomes this World Bank project to support integrated watershed management of the Putumayo- Ic?a? river basin. The regional context is challenging, and political-economic barriers to progress are high, but the project design is well conceived to address these issues. The project objective is clearly defined, planned activities support the objective and outcomes give good indication of preliminary means of verification for anticipated results. Despite the challenging political and economic context, the project design seems to be well conceived to address these. Still some elements are to be improved.</p> <p>? The PIF is incomplete.</p> <p>? The PID provides summary of screening of environmental and social risks, including institutional complexity, presence of armed groups, and risks associated with potential remediation of heavy metal contamination. However there is inadequate assessment of climate risk (see STAP document on climate risk screen)</p>	<p>Thanks for the comments.</p> <p>Further analysis of risks (including climate related ones) will be conducted in the next stages of project preparation and will be included in the Project Appraisal Document (to be submitted for GEF CEO Endorsement).</p>	<p>The PAD (see section VI ?Key risks?) and appraisal stage PID includes an analysis of environmental and social risks. A climate risk analysis was also conducted and included in the GEF CEO Endorsement package, using the WB climate and disaster risk screening tool.</p>
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<p>STAP acknowledges that on scientific or technical grounds the concept has merit. The proponent is invited to approach STAP for advice at any time during the development of the project brief prior to submission for CEO endorsement.</p>	<p>As part of the project preparation stages, project will go through a technical review point ? Quality Enhancement Review (QER) in WB terms- session before the appraisal and submission to the GEF for CEO Endorsement. STAP comments to this new version will be most welcome.</p>	<p>The project documents with the detailed project description underwent a QER session where it was revised by three WB experts in the topics related to the project (natural resource management, water pollution, and watershed management) that provided comments on the project design. These comments were incorporated into the project design and are reflected in the project documents. A Decision Meeting also received expert comments and recommendations. In addition, the project documents were developed in close collaboration with WCS which is the implementing agency. WCS has a team of technical experts in natural resource conservation and management and has local experience in the Amazon region in the four countries that participate in the project. WCS team led the discussions with the national counterparts to design project activities.</p>
<p>Project justification: general</p>		
<p>The project fully complies with the requirements regarding project description (including environmental and adaptation problems, baseline scenarios, theory of change, delivery of environmental benefits, innovation), stakeholders, gender and knowledge management.</p>	<p>Thank you for the comment.</p>	
<p>Part II: Project justification</p>		
<p>Project Justification: 1. Project Description</p>		

<p><u>3) the proposed alternative scenario with a brief description of expected outcomes and components of the project.</u></p> <p>Theory of change diagram provided in PID, Annex 2, organized by component, linking outputs and intermediate outcomes. Would benefit from identification of causal linkages across components and underlying assumptions. Design indicates appropriate measures for learning and adaptive management.</p>	<p>Thank you for the comment. The team will detail the causal linkages and underlying assumptions between components for the next version of the theory of change diagram.</p>	<p>A theory of change diagram is presented in the PAD and explained in detail in the annex 2 of the PAD and the PID. The diagram shows the causal linkages between activities, outputs, short- term outcomes, mid-term outcomes and long-term outcomes. In addition, the diagram includes critical assumptions that are made in order to achieve the outputs and outcomes.</p>
<p>Project justification: 5. Risks</p> <p>Indicate risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, propose measures that address these risks to be further developed during the project design.</p>		
<p><u>Are identified risks valid and comprehensive and/or specifically for things outside the project?s control? Are there social and environmental risks? Have climate resilience measures been considered?</u></p> <p>PID provides summary of screening of environmental and social risks, including institutional complexity, presence of armed groups, and risks associated with potential remediation of heavy metal contamination.</p> <p>Importance of the region?s ecosystem services in relation to climate change and associated vulnerabilities are noted, but there is inadequate assessment of climate risk.</p>	<p>Based on the STAP document on climate risk screen and WB guidance, the team will assess the risk level of the project and include narrative in the Project Appraisal Document (PAD).</p>	<p>Appraisal project documents present the key risks identified for the project (see section VI ?key risks?).</p> <p>A climate risk assessment has been included in the project package. This was done using the World Bank climate and disaster risk screening tool. An analysis of climate variables for the Putumayo-Ica basin comparing the reference period of 1986-2005 with a future period of 2040-2059 for an RCP 8.5 scenario shows: an increase in the annual average temperature of 2.09 C along the basin; an annual increase in 80 days on average in which the heat index will go over 35 C (the lower basing presenting 150 days increase while the upper basin presenting almost no increase); an annual average increase in precipitation of 62.19 mm; an increase on the dry day sequence of 1 day on average; and an average of 8% increase in the likelihood of encountering severe drought. Due to their magnitude, these results represent moderate climate risks.</p>

Project justification: 6. Coordination -

Outline the coordination with other relevant GEF-financed and other related initiatives

Are the project proponents tapping into relevant knowledge and learning generated by other projects, including GEF projects?

Based on the PID, in some level the project considers relevant knowledge and learning generated by other project including GEF. However, it needs explicit identification of lessons.

In a specific section of Lessons learned in the PAD as well as the technical appraisal, the team will include a more detailed description of the lessons learned from other projects.

Important projects to learn from are the 4 national projects included in the GEF Amazon Sustainable Landscape Program that aims to strengthen biodiversity conservation, reduce deforestation, improve living conditions of local communities, and maintain the integrity of the local, regional, and global ecosystem services that the region provides, including biodiversity, carbon sequestration, and a well-regulated hydrological cycle. Projects share implementing agencies and key stakeholders.

Specifically, for component 1 (knowledge and information), the project will consult the resources and experience in IWlearn network during preparation and implementation and will contribute information to it as well. GEF GOLD project, even with a different approach to support AGSM, will potentially provide lessons for the proposed project.

The Project draws on lessons learned from several WB projects focused on the sustainable management of resources in transboundary basins worldwide^[1] and particularly in the Amazon basin, as well as other GEF-financed projects and those implemented by WCS and government agencies. Given the participatory process for its design, the Project also incorporates lessons and experiences from partners? agencies including research institutions and government agencies who will collaborate with the implementation of project activities. Also lessons have been gathered from the WCS-led Amazon Waters Initiative (AWI)^[2] established to address the threats to the aquatic ecosystems of the Amazon.

Section F ?Lessons learned and reflected in the project design? of the PAD includes references.

In addition, the project?s implementation arrangements include a technical committee composed of representatives from key public institutions with related experience in the basin and who will support the project? team and provide continuous technical assistance.

Project justification: 8. Knowledge management - Outline the ?Knowledge Management Approach? for the project, and how it will contribute to the project?s overall impact, including plans to learn from relevant projects, initiatives and evaluations.

What overall approach will be taken, and what knowledge management indicators and metrics will be used?

PID details plans for a culturally-appropriate knowledge management system.

Component 1 has a strong emphasis on Knowledge Management aiming to enhance management and accessibility of traditional and scientific knowledge and information to support the development of a shared vision for integrated basin management.

This component will be further developed in next steps of project preparation.

Knowledge and information management will be a central element along the project, as an important pillar to create a shared vision of the watershed that will then be turned into an agreed action plan for the watershed to be piloted with concrete interventions with project support.

As described in the project description section of the PAD, the Sub-component 1.1 ?traditional and scientific knowledge aims at enhancing and improving access to the traditional and scientific knowledge for all basin stakeholders, including Indigenous Peoples and women, to support improved decision making and inform collaborative action.

Knowledge management approach will also follow the stakeholder engagement guidelines established in the SEP and will comply with consultation processes with indigenous communities as needed. Indigenous authorities will have a specific role in decision making in terms of the knowledge to be collected, and shared in relation to watershed management.

The participatory process for project design has allowed the team to discuss with key stakeholders other relevant projects in the region and identify opportunities of mutual learning. The working groups to be set under subcomponent 1.2 will allow the dialogue among different institutions in charge of these projects.

Specific knowledge management related indicators (explained in the Results Framework in the PAD) include:

Regional knowledge management strategy providing relevant information for decision making towards conservation and

3. GEF Council comments

Comments - Germany Council member-Comments submitted on June 18, 2020	Task Team Response
<p>Germany would prefer if the proposal could indicate the ways in which the Colombian Ministry of Energy and Mining will be associated with the project as a main stakeholder of the country's mining sector.</p>	<p>The project will design and support the implementation of regional activities for the prevention and control of water pollution from mercury and other contaminants released by legal and illegal activities occurring along the watershed and to be piloted in selected sites. Representatives from sectors involved including Ministries of Energy and Mining from the participant countries will be engaged in the project, through knowledge sharing and capacity building on best practices and innovative technologies.</p> <p>The specific thematic groups to be supported as part of sub-component 1.2 will convene key stakeholders including representatives from other sectors that influence the environmental outcomes for the basin, including ministries and lead agencies involved in Energy and Mining, Agriculture, Infrastructure, among others. Their role and views will be strategic in the basin's diagnostic and establishment of a shared action plan along a common vision.</p> <p>Given the basin's environment and physical cultural importance and tangible cultural heritage, mining activity remains largely restricted and when in use of mercury, remains illegal. The ministries and entities involved in the mining sector will be involved in the discussions as key actors involved with the control of illegal mining and the negative impacts of the use of mercury in ASGM. In addition, they will provide guidance to the project as key responsible parties in the implementation of Minamata convention.</p>

<p>Germany suggests amending the proposal to include further elaboration on how mining companies in the entire project area will be involved during project implementation, as they are the key actors for successfully implementing component 2 (governance of integrated water management) and component 3 (reducing mercury in the gold sector).</p>	<p>Please refer to the previous answer.</p> <p>Mining and energy companies will be involved in the discussions towards a strategic action plan for the basin, establishment of best practices for key sectors that can influence the quality and resilience of the watershed ecosystem services, and campaigns to address the impacts from mercury contamination. The project will jointly identify and support needed activities in the four countries to advance implementation of Minamata related action plans.</p> <p>Given the scope of the project and environmental/cultural context, the project will not support formalization of miners involved with ASGM.</p>
<p>Germany stresses the importance of demonstrating the extent to which the proposal would overlap with the Colombian programme 'Vision Amazonia', which focuses on reducing deforestation (in the Putumayo region, among others), as this is a key factor for successful integrated water resources management.</p>	<p>The project aligns with Amazon Vision (<i>Vision Amazonia</i> in Spanish), the umbrella government program established in 2013 to promote low carbon development in the region. The project design took into consideration the program's pillars and complementarity actions with the project: REDD+ Early Movers Programme (REM) financed by the Kingdom of Norway, the United Kingdom and Germany through KfW.</p> <p>Within the VA pillars complementarity exists in multiple activities, particularly: (i) <i>Forest Governance</i> (support traditional governance structures, promoting enabling legal and market conditions for timber and non-timber forest products value chains); (ii) <i>sustainable sectoral development and planning</i> (mainstreaming environmental criteria in planning instruments and policies from other sectors); (iii) <i>agro-environmental development</i> (sustainable production practices for smallholders farmers and development of supply chains, rural extension services and design of green financial instruments); (iv) <i>environmental governance in indigenous populations</i> (strengthening indigenous organizations and governance structures, recovery/strengthening of traditional production practices); and, (v) <i>enabling activities</i> (dissemination information on forest cover and deforestation).</p> <p>The Colombian team leading the implementation of the Putumayo-REM is involved with the implementation of Vision Amazonia and its REM program, facilitating the identification of complementary actions.</p>
<p>Canada council ? comments submitted on June 30, 2020</p>	<p>Task team responses</p>

<p>We find that outcomes for addressing overfishing, deforestation, and increasing regional governance capacity through improved monitoring and synthesized information, are unclear and should be quantified.</p>	<p>In section "Results chain" of the PAD and in the annex 2 of the same document, as well as the PID, a theory of change (with a graphic representation) has been added providing more information about the scope of the project towards environmental threats and drivers.</p> <p>Deforestation, water pollution and biodiversity loss are main environmental threats that affect the biological, social and ecosystem dynamic of the basin including the availability of the natural resources for local communities (e.g. fish). Some of the drivers of these threats are beyond the project's control. However, the main barriers that the project will address include (i) limited, fragmented and inaccessible information to support decision making for sustainable integrated water resource management; (ii) loss and under representation of traditional knowledge in decision making; (iii) weak governance for joint regional resource management; (iv) insufficient information and implementation models for the mitigation of pollution impacts on freshwater socio-ecosystems and (v) insufficient opportunities, incentives and capacities to develop sustainable and equitable economic activities and value chains.</p> <p>Addressing these barriers will allow for the main project outcome which is to strengthen the enabling conditions for the participant countries to manage the shared freshwater ecosystems of the Putumayo- I?? basin in the Amazon region. The project results framework includes the indicators to track the project development objective as well as the intermediate component level indicators considering the project scope and time/budget restrictions.</p>
<p>United States Council ? comments submitted on July 6th, 2020</p>	<p>Task team response at appraisal stage</p>
<p>The United States requests that this project is circulated to the Council for a four-week review period prior to CEO endorsement</p>	<p>Noted. The team's timeline for the approval of the project will incorporate the 4-week review period from the Council</p>

The activities laid out in the PIF seem in a relatively nascent stage of development, and overall it is unclear how the funding will be spent. What are the on-the-ground activities to be carried out? The project mentions multiple times an intention to address illegal gold mining, fish farming, and best practices in oil, gas, and infrastructure, but without project detail, it is difficult to determine if the activities proposed align with these outcomes.

The project activities have been designed during preparation with the participation with the national and subnational entities to be involved in its implementation. The detailed description of the project activities is presented in the annex 2 of the PAD as well as in the PID.

The proposed project will strengthen the enabling conditions for the Brazil, Colombia, Ecuador and Peru to work collectively to manage the freshwater ecosystems of the Putumayo-I?? basin. Effectively addressing transboundary threats and drivers will require a multi-country, integrated water resources management (IWRM) approach as the proposed project intends. The project objectives will be achieved via specific interventions to strengthen governance and capacity towards informed decisions for integrated water resources management. Enabling conditions will also be rooted in a data management strategy that will collect, compile, analyze and disseminate relevant knowledge for the basin integrated water resources management. Progress towards enabling conditions will be measured by an agreed strategic action plan for the basin that will result from the shared vision towards IWRM, as well as the implementation of pilot on-the-ground activities, demonstrating strengthened capacity and decision making towards integrated management. These pilot activities will include establishment of early warning systems, subprojects for small scale remediation and restoration and sustainable fisheries and non-timber forest products value chains. The project will also be an opportunity to support communities whose livelihoods got impacted by disease and/or the social distancing measures to prevent further spread of COVID19, through employment/livelihood generating activities.

<p>The PIF states that indigenous peoples or communities have not been consulted with during project development, but that they will be as they further develop the project. We find the lack of inclusion of indigenous peoples and communities from the design phase of a project troubling and would like greater clarity moving forward on their consultation.</p>	<p>As part of the World Bank social standard policies, local consultations must be conducted as part of preparation. However, the Covid-19 pandemic has posed a challenge to conduct the socialization processes with local communities. Not all communities living in the Putumayo-Ica basin have access to internet and virtual consultations will limit ample participation. To address this challenge, the project preparation team designed a consultation strategy with indigenous peoples and other local communities as detailed in the Stakeholder Engagement Plan. The strategy includes three stages:</p> <ul style="list-style-type: none"> - Stage 1. Virtually until September 2020 with main public institutions and civil society organizations (and which continues to date by means of the review of the project documents) - Ongoing Stage 2. Virtually from November 2020 to April 2021 targeted to local Indigenous Peoples, Afro descendants, campesino and ribereño communities that have access to virtual media, as well as a broader institutional audience. This phase aims to: inform, build ownership and engagement. The main communication channels in this stage include written communication addressed to leaders, virtual meetings, the project's webpage (www.cuencaputumayoica.com), radio messaging including community radio stations, social media and key platforms in internet related to the project. This virtual consultation remains ongoing as new meetings are being held to present the project and the website has set up a tool to receive feedback. - Stage 3. when the pandemic situation is manageable, local communities will be contacted in face to face workshops to consult the project including the Environmental and Social standards instruments. Face to face meetings will be implemented progressively depending on the COVID-19 status and will follow biosecurity measures. As it is difficult to anticipate the possibility to conduct these consultations, its has been agreed to incorporate such consultations as the initial project activities, as no other activity shall be done with indigenous communities until proper socialization has been conducted in satisfactory terms. Project design at this stage included some flexibility so that detailed actions with communities will be designed with their participation.

[1] Including lessons collected in the 2015 WB's Working Note Watershed Management Portfolio Review (FY1990-FY2015), GEF-financed projects in the Lake Victoria, Volta River basin, Sava and Drina Rivers, among others, and GEF's December 2020, *Evaluation of GEF Interventions in the Artisanal and Small-Scale Gold Mining Sector* Document. The Project design also builds on the experience from the Alliance for the Reduction of Impacts from Gold Mining and their strategies to reduce or eliminate illegal mining and/or its impacts, as well as WCS's work with the Critical Ecosystem Partnership Facility (CEPF) to reduce the impact of mining in the Tropical Andes. Further lessons will be incorporated into the Project's implementation systematized from its own activities, lessons from partners, and as part of the IWLearn platform.

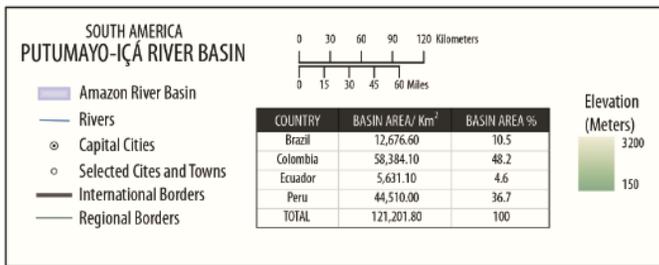
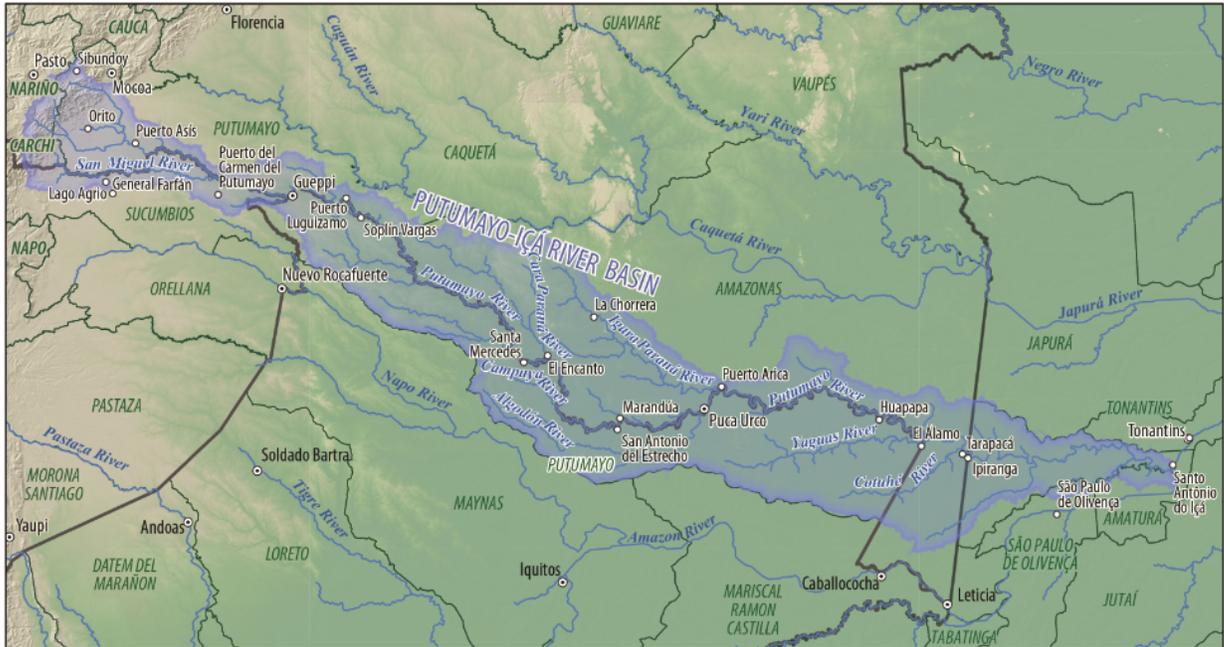
[2] <http://amazonwaters.org/the-initiative/>.

**ANNEX C: Status of Utilization of Project Preparation Grant (PPG).
(Provide detailed funding amount of the PPG activities financing status
in the table below:**

N/A

ANNEX D: Project Map(s) and Coordinates

Please attach the geographical location of the project area, if possible.



This map was produced by the Cartography Unit of the World Bank Group. The boundaries, colors, denominations and any other information shown on this map do not imply, on the part of the World Bank Group, any judgment on the legal status of any territory, or any endorsement or acceptance of such boundaries.

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The coordinates of the most extreme cardinal points of the basin are presented in the table below.

POINT	DECIMAL DEGREES		DEGREES, MINUTES AND SECONDS	
	Latitude	Longitude	Latitude	Longitude
North	1.321788	-76.904442	1° 19' 18.438" N	76° 54' 15.990" W
East	-3.082378	-67.931109	3° 04' 56.561" S	67° 55' 51.991" W
South	-3.740711	-70.156109	3° 44' 26.561" S	70° 09' 21.991" W
West	0.435122	-77.470275	0° 26' 6.439" N	77° 28' 12.990" W

ANNEX E: Project Budget Table

Please attach a project budget table.

Appendix A: Indicative Project Budget Template

Expenditure Category	Detailed Description	Component (USDs)						Sub-Total	M&E	PMC	Total (USDs)	Responsible Entity (Executing Entity receiving funds from the GEF Agency[1])	
		Component 1		Component 2		Component 3							
		Outcome 1.1 Knowledge	Outcome 1.2 IWRM Governance	Outcome 2.1 Pollution/mercury	Outcome 2.2 SM pilots	Outcome 3.1 Committees	Outcome 3.2 Communications						Outcome 3.3 Gender standards
Subprojects to partner/ entity	Sub-projects to conduct basin scales studies and analyses that are relevant for IWRM, including baseline studies.	1,295,450	-	-	-	-	-	1,295,450	-	-	1,295,450	WCS	
	Sub-projects to conduct basin scales studies and analyses that are relevant for IWRM, including recovery and systematization of ancestral knowledge.	301,640	-	-	-	-	-	301,640	-	-	301,640	WCS	
	Sub-projects for the small scale mitigation recovery/mediation and restoration of the environmental liabilities associated with pollution sinks identified in the prioritized sites of the basin	-	-	652,644	-	-	-	-	652,644	-	-	652,644	WCS
	Sub-projects for supporting the development of small alternative livelihood activities that will increase food security (local agricultural plots, chagras, small fish farms with native species and other livelihood alternative activities) to help compensate for the negative effects to their livelihoods as a result of the COVID-19 pandemic	-	-	-	795,907	-	-	-	795,907	-	-	795,907	WCS
	Sub-projects for the development of pilot sustainable management practices and enhance commercial value chains for selected hydrobiological resources in prioritized sites	-	-	700,398	-	-	-	-	700,398	-	-	700,398	WCS
	Sub-projects to promote best practices among key sectors responsible for water pollution. At least one of the sub-projects should be knowledge for improving existing practices.	-	-	475,999	-	-	-	-	475,999	-	-	475,999	WCS
	Sub-projects to design NTPP, fisheries, and turtles management plans	-	-	258,548	-	-	-	-	258,548	-	-	258,548	WCS
	Sub-projects for capacity building activities with communities and key stakeholders.	-	-	159,181	-	-	-	-	159,181	-	-	159,181	WCS
	Sub-projects to conduct joint efforts for prevention and control	-	-	238,772	-	-	-	-	238,772	-	-	238,772	WCS
	Sub-projects to conduct capacity building activities for law enforcement and prosecution	-	-	238,772	-	-	-	-	238,772	-	-	238,772	WCS
Contractual Services – Individual	Individuals under temporary contract to support the systematization and analysis of relevant knowledge, support the design of the strategic action plan for the basin and, promote sectorial agreements towards best practices and territorial planning.	95,564	130,774	-	-	-	-	226,338	77,958	-	304,296	WCS	
Contractual Services – Company	Companies engaged under temporary contract to support the implementation of the early warning system, support basin-scale studies and analyses, provide	103,773	-	209,090	-	2,309	150,886	33,095	488,153	53,091	542,244	WCS	
International Consultants	Logistics support for training, workshops, meetings, including venues, facilitation, materials, and translation services, as applicable.	134,693	49,945	119,031	300,709	348,651	-	81,069	1,034,098	-	1,034,098	WCS	
International Consultants	International consultants specialists in their field to support the implementation of the knowledge management strategy, the pilot sub-projects, among others.	3,682	7,964	6,950	-	-	-	-	18,596	-	18,596	WCS	
Local Consultants	Local consultants to implement activities related to the development of a knowledge strategy, establish and support thematic multisectorial and regional working groups, advance the implementation of relevant multinational agreements, support the promotion of best practices, prevention, control, law enforcement, and prosecution, develop communications materials and support events, among others.	141,249	219,366	113,464	41,646	-	212,365	79,637	807,727	-	807,727	WCS	
Salary and benefits/ Staff costs	Salaries and benefits for all personnel who will be working on the project implementation. These will include technical and administrative staff, including a Project Director, a communications specialist, coordinators and specialists for each major thematic area, as well as social and environmental specialists. The administrative/operational staff will consist of a grants manager, procurement specialist, M&E specialist. Staff delivering on technical outcomes and leading complex regional activities in the four countries (including fisheries, mercury contamination, community governance experts) are allocated to the project components. Amounts include gross salaries, social security charge, and related costs that paid staff will receive for this project. All salary costs are based on the standard offered by the organization to be further refined by market analysis following WB annual budgeting and procurement procedures) and following the minimum requirements required by the countries' labor legislation.	664,436	664,436	634,039	634,039	144,215	190,520	144,215	3,075,900	101,988	460,328	3,638,216	WCS
Travel	International and Domestic travel and transportation (air, terrestrial, and fluvial), as needed, directly related to the major activities.	28,988	4,950	26,854	35,894	144,833	26,280	27,538	295,337	-	-	295,337	WCS
Field Supplies	Field supplies and consumables directly related to implementation of activities associated to the delivery of technical activities, including workshops and training as well as those to conduct M&E.	32,881	32,882	31,400	31,401	8,198	13,054	7,071	156,887	6,814	-	163,701	WCS
Other Operating Costs	Operating Cost required for the administrative management as bank charges, consumables, office supplies and costs (rents, utilities, communications, insurance), among others.	-	-	-	-	-	-	-	-	151,293	-	151,293	WCS
Grand Total	IW Learn (1%)	91,473	-	-	-	-	-	-	91,473	-	-	91,473	WCS
		3,163,634	1,141,217	3,126,055	2,957,723	648,206	593,105	362,625	11,992,565	239,851	611,621	12,844,037	

[1] In exceptional cases where GEF Agency receives funds for execution. Terms of Reference for specific activities are reviewed by GEF Secretariat.

ANNEX F: (For NGI only) Termsheet

Instructions. Please submit a finalized termsheet in this section. The NGI Program Call for Proposals provided a template in Annex A of the Call for Proposals that can be used by the Agency. Agencies can use their own termsheets but must add sections on Currency Risk, Co-financing Ratio and Financial Additionality as defined in the template provided in Annex A of the Call for proposals. Termsheets submitted at CEO endorsement stage should include final terms and conditions of the financing.

ANNEX G: (For NGI only) Reflows

Instructions. Please submit a reflows table as provided in Annex B of the NGI Program Call for Proposals and the Trustee excel sheet for reflows (as provided by the Secretariat or the Trustee) in the Document Section of the CEO endorsement. The Agency is required to quantify any expected financial return/gains/interests earned on non-grant

instruments that will be transferred to the GEF Trust Fund as noted in the Guidelines on the Project and Program Cycle Policy. Partner Agencies will be required to comply with the reflows procedures established in their respective Financial Procedures Agreement with the GEF Trustee. Agencies are welcomed to provide assumptions that explain expected financial reflow schedules.

ANNEX H: (For NGI only) Agency Capacity to generate reflows

Instructions. The GEF Agency submitting the CEO endorsement request is required to respond to any questions raised as part of the PIF review process that required clarifications on the Agency Capacity to manage reflows. This Annex seeks to demonstrate Agencies' capacity and eligibility to administer NGI resources as established in the Guidelines on the Project and Program Cycle Policy, GEF/C.52/Inf.06/Rev.01, June 9, 2017 (Annex 5).