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# MIDTERM EVALUATION OF THE ARTISANAL GOLD MINING PROGRAM CONSIDERATIONS FOR SUSTAINABILITY AND REPLICABILITY

August 2018

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# MIDTERM EVALUATION OF THE ARTISANAL GOLD MINING PROGRAM

## CONSIDERATIONS FOR SUSTAINABILITY AND REPLICABILITY

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## ACRONYMS AND ABBREVIATIONS

|              |   |
|--------------|---|
| ANM          | National Mining Agency  |
| ARE          | Special Reserve Area  |
| BioREDD+     | USAID/Colombia Biodiversity-Reduced Emissions from Deforestation and Forest Degradation Program |
| CAR          | Autonomous Regional Corporation   |
| CC           | Community Council   |
| CDCS         | Country Development Cooperation Strategy  |
| CNC          | National Consulting Center  |
| CORANTIOQUIA | Autonomous Regional Corporation of Central Antioquia  |
| CORNARE      | Autonomous Regional Corporation of Negro and Rio Nare   |
| DANE         | National Administrative Department of Statistics  |
| EIA          | Environmental Impact Assessment   |
| GOC          | Government of Colombia  |
| IR           | Intermediate Results  |
| KII          | Key Informant Interview   |
| MADS         | Ministry of the Environment and Sustainable Development   |
| MME          | Ministry of Mines and Energy  |
| ONG          | Non-Governmental Organization   |
| PNR          | National Plan for Ecological Restoration, Rehabilitation and Recovery of Degraded Areas         |
| PTO          | Work and Project Program - <i>Program de Trabajos and Obras</i>                                 |
| Q            | Evaluation Question   |
| RRI          | Comprehensive Rural Reform  |
| SG-SST       | Occupational Health and Safety Management System  |
| UPM          | Mining Production Unit  |
| SENA         | National Learning Service   |
| SIMCI        | Illicit Crop Satellite Monitoring System  |
| SOW          | Scope of Work   |
| TOC          | Theory of Change  |

## EXECUTIVE SUMMARY

Since the end of 2015, USAID has been supporting the Colombian government through the Oro Legal program (Artisanal Gold Mining Activity), implemented by Chemonics International, with a total budget of almost USD 20 million and five years of execution. This program seeks to improve the effective capacity of the government to regulate and administer gold mining activities, promote responsible mining and alternative livelihoods and, simultaneously, rehabilitate the territories degraded by illegal mining.

The Oro Legal program has two objectives: the first is centered on supporting mining sector institutions and organizations to improve and/or implement the regulation of gold mining in the target regions, thereby reducing the negative environmental and social impacts of this activity. The second looks to enhance the capacity of the authorities, the community and the private sector to address the environmental degradation caused by unauthorized gold mining. Activities include: legalization and formalization of illegal mining; institutional capacity building and policy strengthening; promotion of improved mining practices, particularly the elimination of mercury; rehabilitation of degraded mining land, and promotion of sustainable alternatives to mining when it is unfeasible. Oro Legal works with a wide-range of stakeholders including the Government of Colombia (GOC), non-governmental entities, ethnic and rural communities, associations, and the private sector.

Oro Legal is one of just a handful of mining projects within USAID's global portfolio and, as such, offers a rich environment for learning and potential replication. The purpose of this mid-term evaluation is to identify actions that could be taken over the remaining two years of implementation to encourage sustainability and replicability.

### Peace

The Oro Legal program supports Strategic Objectives 3 and 4 of USAID'S country strategy for Colombia (CDCS), and Chapters 1 and 4 of the Peace Agreement. The Activity is highly relevant to USAID's broader goals to support the peace process, sustainable growth of licit economies, and strong institutions in Colombia. Oro Legal's target municipalities in Antioquia and Choco are characterized by a scarce state presence, high levels of generalized informality/illegality, and the presence of criminal groups. Given these conditions and the remote location of many mining operations, illicit crops are pervasive in these areas, and the same illegal groups are involved in both activities. Indeed, many observers estimate that illegal gold is fast replacing coca as the main illicit activity in many parts of Colombia. In rural areas of Colombia where there are limited economic alternatives compounded by the need to identify alternatives to coca in these areas, the Activity demonstrates the feasibility of assisting miners to formalize their activity as a licit economic alternative, complemented by value chains for honey and annatto. In addition, by helping to develop agreements between informal and title-holding miners, the Activity helps to resolve conflicts that exist between them.

### Governance

**Policy Reform:** The institutional and policy context for gold mining in Colombia is characterized by a complex regulatory framework and onerous bureaucracy with competing agendas and varied perspectives across different levels and sectors of government. Mining formalization procedures are costly and fraught with long approval delays that can extend for years and pose significant barriers and disincentives for miners to formalize. The Activity is working to create a more enabling and efficient policy and regulatory conditions for formalization of gold mining with practical proposals to reduce transaction costs of preparation and approval of required mine operational plans and environmental impact assessments and to expand pathways for formalization to underpin replication. This effort, if successful, would be one of the most important impacts and legacies of Oro Legal to influence the mining sector writ large above and beyond the support to the mining formalization projects.

**Institutional Capacity:** Managing institutional relations with the government has been challenging. Qualitative feedback from key informants suggests that Oro Legal maintains close relations with the Ministry of Mines and Energy (MME) and has forged strong working relationships with local governments, particularly municipalities in Bajo Cauca, Antioquia. On the other hand, collaboration with the Ministry of Environment and Sustainable Development (MADS), departmental governments, particularly the Mining Secretariat of Antioquia, and regional environmental authorities has been weaker. This may reflect the competing agendas and perspectives noted above, high staff turnover, and varying institutional capacity. The Activity should dedicate effort to work more closely with national and regional environmental authorities in order to build institutional capacity. A stakeholder mapping exercise should be conducted to prioritize the entities and entry points that are most relevant for the success of the Activity and its replication and expansion.

### **Mining Formalization**

The heart of Oro Legal is its mining formalization effort. In developing its mining formalization portfolio, Oro Legal identified a universe of more than 600 mines spread over a wide geographic area and has focused on developing formalization models that can be replicated more broadly. Qualitative and quantitative methodologies were deployed in the evaluation, including surveys of 326 Oro Legal beneficiaries. Beneficiaries highly value Oro Legal: 95% of miners interviewed are satisfied with the support received from Oro Legal across various technical areas; 84% report that this support has enabled them to better manage their operations; and 87% of miners report a reduction in mercury because of Oro Legal. This latter figure is particularly relevant given that as of July 2018, the use of mercury in mining is illegal in Colombia.

### **Environmental Rehabilitation**

**Antioquia:** Oro Legal manages two different models for rehabilitation of areas degraded by past informal mining in Antioquia and Chocó, reflecting the diverse socio-economic realities and ecosystems in each region. In Antioquia, the model is built on reforestation with *Acacia mangium*, underpinned by legally binding contracts between beneficiaries, private investors and municipal governments. The model has driven down the costs of rehabilitation to approximately US\$ 2,000/ha and generates a modest economic return of 8% to 11% over a 30-year investment horizon, which includes three harvests of wood. The expansion of the model will depend on substituting Activity subsidies with other funding and investment. It is recommended that all contracts be revised by Oro Legal to guarantee community participation and stakeholder commitments to adequately manage plantations so that expected financial returns can be realized.

**Choco:** In Chocó, rehabilitation is based on natural and assisted regeneration of areas using native tree species, underpinned by long-term agreements with governance boards of Afro-Colombian Community Councils (CCs). The model entails delimitation of large blocks of remnant primary and secondary forest within the community territory where past illegal mining was prevalent, and reintroduction of mining is a risk. Local environmental monitoring brigades are formed and trained to prevent new encroachment by illegal miners and carry out replanting where natural regeneration is poor. The model has brought down cost of rehabilitation to about US\$ 35/ha but is dependent on the protection by environmental brigades over the long-term. Oro Legal should work with CCs to identify a long-term financing mechanism for the brigades, for example a payment for environmental services scheme that captures economics benefits or value of reduced contamination, better water quality, and biodiversity conservation. Also, an early detection and reporting protocol should be developed between CCs, department environmental authorities, police and army to prevent or mitigate encroachment into these conservation areas.

## Licit Economic Alternatives

**Honey:** For communities where legal mining is not an economically or environmentally feasible option, the Activity supports honey production in Antioquia and annatto production in Choco. Selection of these value chains was based on market evaluations undertaken at the start of the Activity, which identified significant domestic and international demand for both products and strong market growth. Honey production does not require land tenure and offers a viable economic outlet for landless mining families, which is commonly the case in rural Antioquia. The financial viability of honey and apiculture derivatives has attracted private and public sector investment in a portfolio of eight projects that will potentially increase total national production capacity by 10% to 15%. The positive response by stakeholders is reflected an 89% average satisfaction with Oro Legal support across 12 evaluation criteria. In addition to continuing technical support for expansion, Oro Legal should place a greater emphasis on marketing, taking full advantage of buoyant demand as reflected in current high prices received by producers.

**Annatto:** In contrast to honey production, Oro Legal's support to annatto in Chocó is a high risk-high reward venture, justified in large part by the historic absence of successful productive projects to alleviate poverty and reduce pressure on fragile ecosystems in Chocó. Over 70 percent of beneficiaries are satisfied with Oro Legal support and a majority is optimistic about annatto as a viable economic alternative to illegal mining. Adjustments moving forward include clustering production to facilitate plantation more efficient establishment, technical assistance, harvest and post-harvest operations. Creation of a new commercial entity to allow CCs to participate across the entire value chain should be a priority. Oro Legal should also work with CCs on a more rigorous monitoring protocol to ensure that sound production and environmental practices are applied.

## Conclusion

Oro Legal has been effective in achieving its objectives, making a notable contribution to USAID's broader goals to support the peace process, sustainable growth of licit economies, and strong institutions in Colombia. Oro Legal has played an important role in demonstrating through field projects how small-scale gold mining can contribute to development of local licit economies and improved environmental management in Colombia. Oro Legal has successfully developed a portfolio of projects for formalization, economic alternatives, and value chains in Antioquia and Choco that demonstrate models for cost-effective and technical feasible approaches. However, the challenge remains to effectively harness the field projects to influence the gold mining sector as a whole for sustainable change and wider replication. To achieve this, it is recommended that the Activity explicitly focus on sustainability and replicability of the models over the remaining two years of implementation, including: 1) documentation and dissemination of approaches, methodologies employed, and lessons learned, 2) policy support to enable wider scale formalization of mines, 3) increased effort on institutional capacity building, 4) efforts to identify sustainable sources of financing, including incentives from sales from value chains and legal gold, and 5) efforts to identify means of sustainable technical assistance upon completion of the Activity.

## INTRODUCTION

Since the end of 2015, USAID has been supporting the Colombian government through the Oro Legal program (Artisanal Gold Mining Activity), implemented by Chemonics International, with a total budget of almost USD 20 million and five years of execution. This program seeks to improve the effective capacity of the government to regulate and administer gold mining activities, promote responsible mining and alternative livelihoods and, simultaneously, rehabilitate the territories degraded by illegal mining.

The Oro Legal program has two objectives: the first is centered on supporting mining sector institutions and organizations to improve and/or implement the regulation of gold mining in the target regions, thereby reducing the negative environmental and social impacts of this activity. The second looks to enhance the capacity of the authorities, the community and the private sector to address the environmental degradation caused by unauthorized gold mining.

## CONTEXT

The gold mining sector in Colombia suffers from a situation of generalized illegality. The large majority of the almost 68 metric tons of gold produced in Colombia in 2016 were extracted by illegal and informal actors, which has caused generalized deforestation and mercury contamination, threatened public health, and cost the government tens of millions of dollars in lost tax revenue. It should be remembered that in Colombia, small mining companies with fewer than 21 employees account for 94% of total nationwide mining operations, of which 61% correspond to operations without titles (illegal mining). As a result, addressing the problem of illegal mining has become a major concern in the implementation of the Colombian peace process.

Gold mining in Colombia has increased by more than 300% since 2006, and illegal and informal mining is a growing challenge. The scale of mining has grown more quickly than the capacity of institutions to adequately regulate and control these activities. Illegal mining is part of the criminal economy, which also includes illegal coca cultivation, land appropriation, logging, wildlife trafficking, human trafficking, extortion and money laundering by criminal organizations.

According to the Government of Colombia, illegal gold mining has replaced drug trafficking as the main source of income for organized crime, armed groups and unlawful actors. This is feeding violence, since there is a strong link between the criminal organizations responsible for illicit coca crops and those involved in the illegal gold mining. At a national level, 38% of the territory that is affected by illegal mining is also affected by illegal coca cultivation. The percentage ranges from 30% to 35% in Antioquia and Chocó.<sup>1</sup>

These realities have placed mining activities at the center of the debate on issues related to security, the environment and economic development; and managing illegal mining has become a priority for the national government, more so in the post-conflict stage. For this reason, the four strategic objectives of USAID's support for the Government of Colombia's implementation of the Peace Agreement signed with the FARC includes the development of the Oro Legal Program to confront the challenges posed by the illegal mining of gold.<sup>2</sup>

The Oro Legal program is implemented in 22 municipalities in Colombia – 12 in the department of Antioquia and 10 in the department of Chocó. These departments constitute the second and twenty-sixth largest economies in the country, contributing 13.9% and 0.4% to the national GDP in 2016, respectively. Despite this difference, the two departments share a common problem: illegal mining and

<sup>1</sup> <https://www.elespectador.com/noticias/judicial/el-60-de-mineria-de-oro-cielo-abierto-ilegal-colombia-articulo-640381>.

<sup>2</sup> Country Development Cooperation Strategy 2014-2018 A Path to Peace. June 13, 2014.

illicit crops. According to the Illicit Crop Satellite Monitoring System (SIMCI), the “coincidence of coca crops with illegal mining increased by 4% between 2014 and 2016, from 38% to 42%.”<sup>3</sup>

Indicators in the municipalities in which the Oro Legal program has intervened show the need for targeted interventions in this post-conflict stage.

According to information from the National Administrative Department of Statistics (DANE),<sup>4</sup> the 12 municipalities in which the program is being developed in Antioquia have more than twice as many inhabitants than the 10 municipalities in Chocó. However, these municipalities in Antioquia represent only 7% of the departmental population, while the 10 municipalities in Chocó represent 42% of the departmental population. Furthermore, the municipalities in Antioquia contribute 5% to the department’s Gross Domestic Product (GDP), while the municipalities in Chocó contribute 61%. As a result, the Oro Legal program’s annatto cultivation activities in Chocó can serve as pillars of departmental development. In contrast, the production of honey and Acacia in Antioquia will not have a major influence on the department’s economy and development.

Although it is not the purpose of this evaluation to analyze the regional development indicators of the intervention municipalities in each department, some of these reflect the characteristics of each department and, therefore, the contributions of the Oro Legal program to rural development<sup>5</sup> and to the implementation of the Peace Agreement signed between the Government of Colombia and the FARC.

Following are a summary of the main context indicators of the program’s target municipalities, which provides a simple and reliable basis for describing them, and a map of the municipalities’ locations.

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<sup>3</sup> Colombia: Exploitation of Alluvial Gold. United Nations Office on Drugs and Crime. June 2016, cited by El Tiempo, June 20, 2018.

<sup>4</sup> DANE. Indicator: Total Population. Unit: Number of inhabitants. Date: 2017. Retrieved from: <http://www.dane.gov.co>.

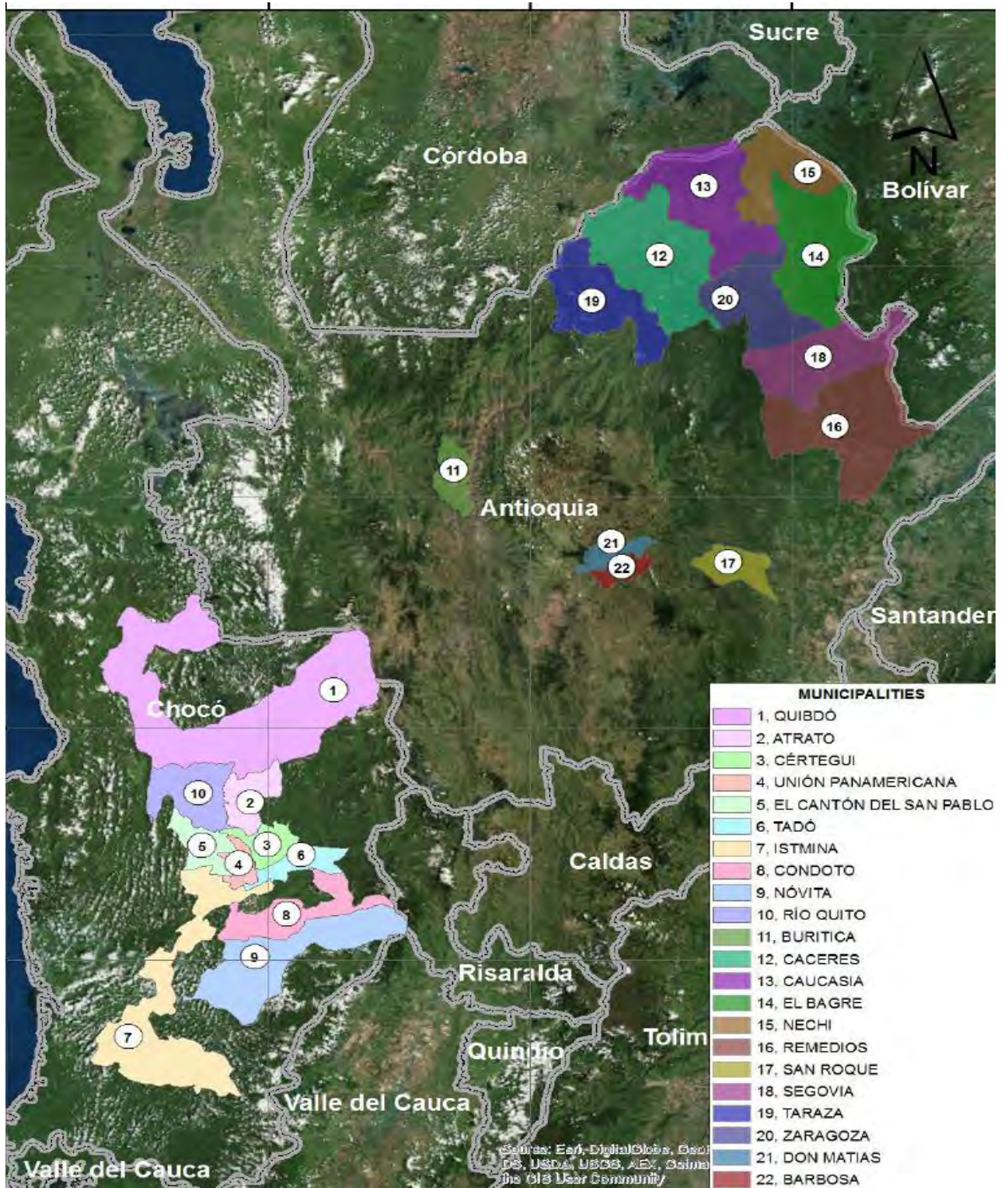
<sup>5</sup> The Ministry of Agriculture and Rural Development (MADR) defines Rural Development as the design and implementation of policy instruments with a territorial approach, which promote the management of rural public assets, the development of productive capacities, the generation of income, and the regulation of rural ownership and productive use of the soil.

**Table 1. Municipal context indicators for the 22 intervention municipalities of the Oro Legal program in Antioquia and Chocó**

| INDICATOR   | ANTIOQUIA (12 municipalities)  | CHOCÓ (10 municipalities)   |
|---|--|---|
| <b>Population</b>   | 482,028 people<br>7% of the department   | 231,853 people<br>45% of the department   |
| <b>Inhabitants in rural areas</b>                         | 42%  | 24%   |
| <b>Added Value</b>  | \$4.999 trillion pesos<br>5% of the department's added value   | \$1.957 trillion pesos<br>61% of the department's added value   |
| <b>Homicides per thousand inhabitants 2017</b>            | 42   | 41  |
| <b>Change in number of victims (2010- 2017)</b>           | ↓ 13% annual average   | ↓ 476 to 93   |
| <b>Change in number of displaced persons (2010- 2017)</b> | ↑ 15% annual average   | ↓ 29% annual average  |
| <b>Change in has. of coca crops (2010-2016)</b>           | ↑ 37% annual average<br>Tarazá and Cáceres increased the most  | ↓ 54% annual average<br>Istmina and Nóvita decreased the most   |
| <b>Number of has. dedicated to Legal Mining</b>           | ↓ 19,385,575 has.<br>1% annual average 2009-2015   | ↑ 10,716,000 has.<br>13% annual average 2009-2015   |
| <b>Deforestation 2015</b>                                 | 7,463 has. in 2015<br>↓ 3% annual average 2010-2015<br>Remedios and Segovia are the most critical municipalities | 1,716 has. in 2015<br>↑ 61% annual average 2010-2015<br>Nóvita and Rio Quito are the most critical municipalities |
| <b>Health 2016</b>  | 88% coverage, full coverage in Buriticá, San Roque and El Bagre  | 76% coverage, full coverage in Quibdó and Istmina   |
| <b>Education 2016</b>                                     | Primary education coverage: 93%<br>Basic education coverage: 91%<br>Transitional education coverage: 56%         | Primary education coverage: 75%<br>Basic education coverage: 75%<br>Middle education coverage: 24%                |

**Source:** Municipal Population/GDP: DANE (2017 Projection); Homicides: National Police; Victims/Displaced Persons: Victims' Registry (RUV); Coca Crops: United Nations Office on Drugs and Crime (UNODC); Legal Mining: National Mining Agency (ANM); Deforestation: Institute of Hydrology, Meteorology and Environmental Studies (IDEAM); Basic and Middle Education Student Enrollment System (SIMAT), Ministry of National Education; Ministry of Health and Social Protection.

Figure 1. Oro Legal Municipalities



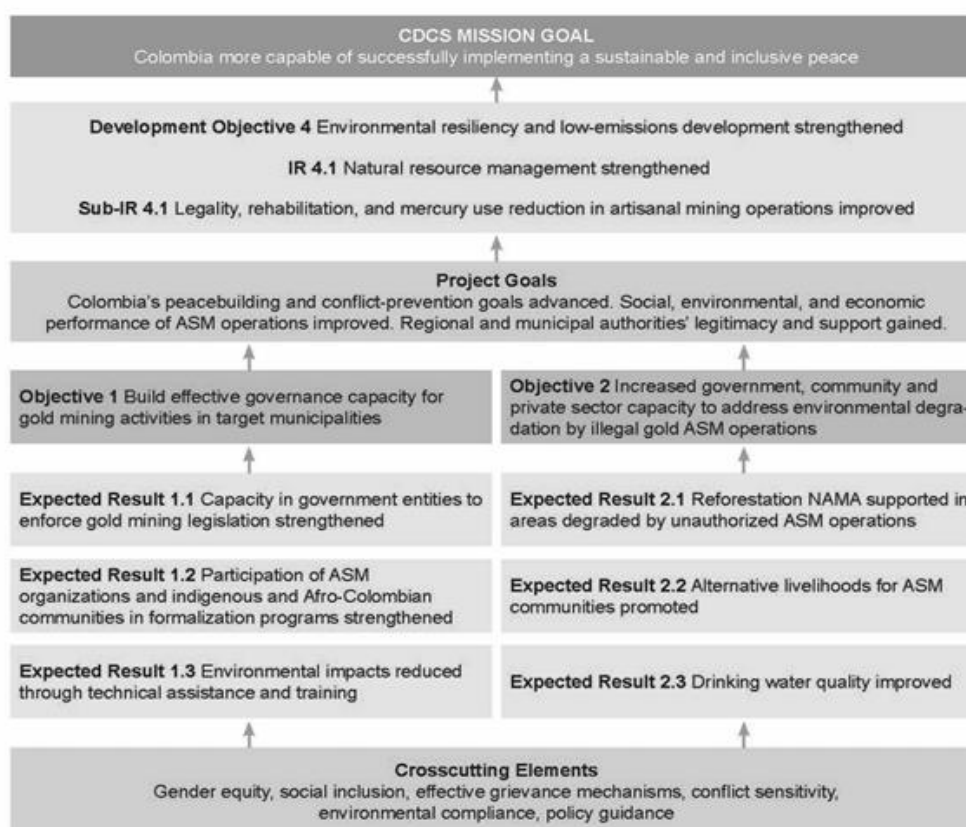
## EVALUATION METHODOLOGY

USAID/Colombia commissioned the EVAL project (Evaluation and Analysis for Learning) to perform a mid-term evaluation of the USAID/Colombia Artisanal Gold Mining Activity (Oro Legal) for the purpose of investigating whether the activities developed by the program are contributing to positive changes in key institutions of the Government of Colombia and in the capacities of the community and private sector to address illegal mining, and whether the expected and achieved results are relevant in the national and regional context, are sustainable, and can be replicated.

The Theory of Change that underlies Oro Legal’s activities is that if the program strengthens the government’s capacity to effectively manage gold mining and address the environment damage that has been caused, the social, environmental and economic performance of gold mining operations will be improved, and the Government of Colombia will be supported in achieving its objective of creating a sustainable and inclusive peace.

Within USAID’s strategic plan in Colombia, the Oro Legal program supports Intermediate Result 4.1, “Natural resource management strengthened,” and Development Objective 4 of the CDCS, “Environmental resiliency and low-emissions development strengthened.” Figure 2 presents the Results Framework of the Oro Legal Program.

**Figure 2. Results Framework of the Oro Legal Program**



The evaluation was designed based on the two objectives of the program, as follows:

- I. Develop effective governance for gold mining activities by:
  - a) Strengthening the capacity of the Colombian government to enforce mining laws;
  - b) Improving the participation of artisanal gold mining associations and Afro-Colombian and indigenous communities in the mining formalization programs; and

- c) Providing training<sup>6</sup> and technical assistance<sup>7</sup> to artisanal miners.
2. Increase the capacity of the government, the community and the private sector to address the environment impact of illegal mining through:
    - a) the reforestation of degraded areas;
    - b) the generation of alternative livelihoods for communities that cannot or should not be involved in gold mining; and
    - c) improvements in the quality of drinking water in mining areas.<sup>8</sup>

In carrying out the evaluation, the evaluation team responds to the following evaluation questions (Q) delineated in the evaluation’s scope of work (SOW):

- **Q1. Peace Agreement.** What are Oro Legal’s contributions to sustainable rural development in its specific geographic area, in support of the goal of the CDCS mission and the peace agreements between the GOC and the FARC (pursuant to Chapter 1 of the Agreement on Sustainable Rural Development, and Chapter 4 on Illicit Crops)?
- **Q2. Governance and Policy.** To what extent is Oro Legal achieving its objectives of strengthening mining and environmental governance and policy in Colombia?
- **Q3. Formalization.** Do Oro Legal’s formalization activities promote responsible mining? What are the barriers to, and incentives for, this process? If it is successful, what are the opportunities and challenges for its replication and expansion? One of the factors that should be addressed for this question is land ownership.
- **Q4. Reforestation.** <sup>9</sup>Are the Oro Legal reforestation and rehabilitation processes viable and sustainable from a perspective of benefits and local governance? What is the potential of, and what are the barriers to, replication and expansion?
- **Q5. Value chains.** What are the beneficiaries’ perceptions of, and most important incentives for, carrying out value chain production as a lawful economic alternative in Oro Legal’s intervention areas? What are the perspectives of value chain producers on how the alternative livelihoods offered by Oro Legal may affect their income? What is the market potential, and what are the barriers to the replication and expansion, of the honey and annatto value chain processes? What are the cost and profit data for comparing the financial aspects of remaining in an existing business (illegal mining) versus lawful alternatives (legal mining or productive activities)?

To achieve the objective of this mid-term evaluation as described above, EVAL developed an evaluation design matrix for outlining how these questions should be answered. For each evaluation question, the matrix enumerates the data sources, methodologies to be employed, limitations and assumptions, and what the evaluation team expects from each question. The Evaluation Design Matrix is included as Annex I.

The evaluation methodology contains three components: (1) Review of the project’s documentation and analysis of documents and statistics related to the sector as well as to the implementation regions; (2) Field visits to conduct interviews and surveys of project participants and other strategic actors; and (3) Analysis of the data, using quantitative and qualitative evaluation methods. The analysis of the

<sup>6</sup> Training for groups of people.

<sup>7</sup> Individual advice and support.

<sup>8</sup> At USAID’s direction, EVAL did not evaluate the component on “Improving the quality of drinking water in mining areas.”

<sup>9</sup> In this question drawn from EVAL’s scope of work, USAID used the term “reforestation.” The Oro Legal project states that their activities are rehabilitation, not reforestation.

data and information obtained enabled us to respond to the evaluation questions and to make conclusions and recommendations.

For the development of Components 2 and 3, we considered the project’s intervention lines and the actors involved in each of them, and the variables to be analyzed. All these dimensions were included in the quantitative and qualitative instruments used in the fieldwork.

This data collection includes the following categories of information:

- Desktop review of the Oro Legal program documents and other relevant information;
- Survey of the beneficiaries of the mining projects and value chains;
- Interviews with large mining companies;
- Interviews with technical specialists of the Oro Legal program value chains – annatto, honey and Acacia;
- Interviews with officials of the Oro Legal program and USAID;
- Interviews with government authorities;
- Interviews with Mining Production Unit (UPM) leaders and non-beneficiary miners;
- Interviews with purchasers and possible investors;
- Interviews with local leaders of the Oro Legal program responsible for the annatto, honey and Acacia value chains;
- Interviews with leaders of Community Council and Indigenous Reservation beneficiaries of the Oro Legal program value chains.

For the survey and the collection of quantitative information, we designed four forms corresponding to the four types of beneficiaries (mining, annatto, honey and Acacia). From a universe of 461 chain beneficiaries and 86 UPMs reported by the program, the surveys were given to 242 chain beneficiaries distributed in five municipalities in Antioquia and three in Chocó (with total and departmental representation); and to 84 mining beneficiaries located in five municipalities in Antioquia and two in Chocó.

**Table 2. Quantitative Field Work**

| Type   | Department             | Municipality  | # of Surveys |
|--------|------------------------|---------------|--------------|
| Honey  | Antioquia              | Caucasia      | 9            |
|        |                        | El Bagre      | 31           |
|        |                        | Nechí         | 18           |
|        |                        | Tarazá        | 15           |
|        |                        | Zaragoza      | 23           |
|        | <b>Total Antioquia</b> |               | <b>96</b>    |
| Acacia | Antioquia              | Caucasia      | 9            |
|        |                        | El Bagre      | 69           |
|        | <b>Total Antioquia</b> |               | <b>78</b>    |
|        | Chocó                  | Atrato (Yuto) | 23           |
|        |                        | Quibdó        | 7            |
|        |                        | Rio Quito     | 38           |
|        | <b>Total Chocó</b>     |               | <b>68</b>    |

| Type         | Department             | Municipality | # of Surveys |
|--------------|------------------------|--------------|--------------|
| Mining       | Antioquia              | Barbosa      | 13           |
|              |                        | Buriticá     | 30           |
|              |                        | Remedios     | 10           |
|              |                        | Segovia      | 9            |
|              |                        | Tarazá       | 9            |
|              | <b>Total Antioquia</b> |              | <b>71</b>    |
|              | Chocó                  | Cértegui     | 9            |
|              |                        | Condoto      | 4            |
|              | <b>Total Chocó</b>     |              | <b>13</b>    |
| <b>TOTAL</b> |                        |              | <b>326</b>   |

The qualitative information was collected from the different participants in the program. A total of 101 interviews were conducted, distributed as follows:

**Table 3. Qualitative Field Work**

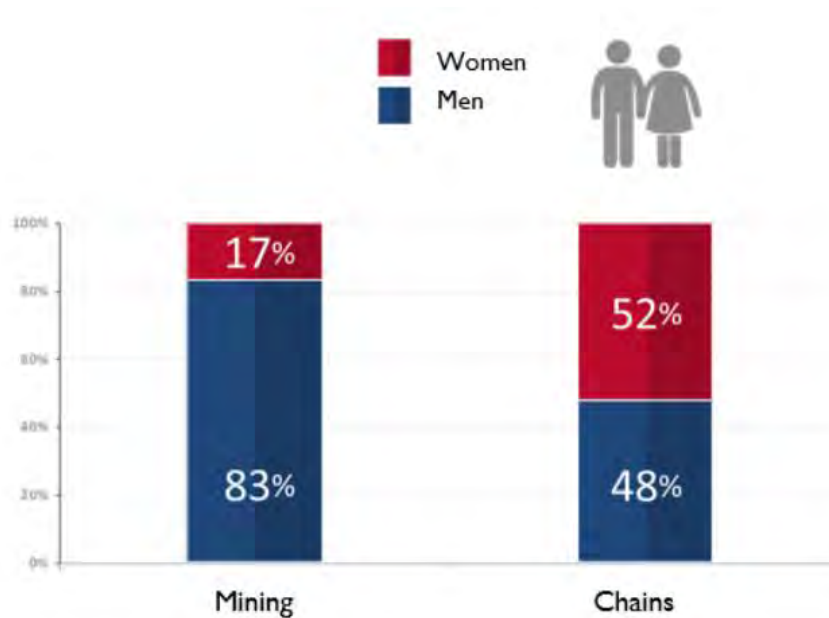
| Department         | Municipality            | Oro Legal Officials | Government authorities | Mining      |                        |                   | Chains    |          |           |                    |                |
|--------------------|-------------------------|---------------------|------------------------|-------------|------------------------|-------------------|-----------|----------|-----------|--------------------|----------------|
|                    |                         |                     |                        | UPM Leaders | Large mining companies | Non-Beneficiaries | Honey     | Acacia   | Annatto   | Purchaser Investor | Rehabilitation |
| ANTIOQUIA          | Barbosa                 |                     | 2                      | 2           |                        | 1                 |           |          |           |                    |                |
|                    | Buriticá                |                     |                        | 2           |                        |                   |           |          |           |                    |                |
|                    | Cáceres                 |                     |                        |             |                        |                   |           | 1        |           |                    |                |
|                    | Caucasia                | 5                   |                        |             |                        |                   | 7         |          |           |                    |                |
|                    | El Bagre                |                     | 2                      |             |                        |                   | 1         |          |           |                    |                |
|                    | Medellín                | 3                   | 8                      |             | 3                      |                   | 1         |          |           | 1                  |                |
|                    | Nechí                   |                     |                        |             |                        | 1                 | 4         |          |           |                    |                |
|                    | Remedios                | 3                   | 1                      |             | 7                      |                   |           |          |           |                    |                |
|                    | Segovia                 |                     | 1                      |             |                        | 5                 |           |          |           |                    |                |
|                    | Tarazá                  |                     |                        |             | 1                      |                   |           |          |           |                    | 1              |
|                    | Zaragoza                |                     | 1                      |             |                        |                   | 4         | 1**      |           |                    |                |
| CHOCÓ              | Quibdó                  | 2                   | 3                      |             |                        |                   |           |          |           |                    |                |
|                    | Atrato                  |                     |                        |             |                        |                   |           |          | 2*        |                    | 1              |
|                    | El Cantón del San Pablo |                     |                        |             |                        |                   |           |          | 3*        |                    |                |
|                    | Cértegui                |                     |                        | 4           |                        |                   |           |          | 1*        |                    |                |
|                    | Condoto                 |                     |                        | 4           |                        |                   |           |          | 2*        |                    |                |
|                    | Río Quito               |                     |                        |             |                        |                   |           |          | 6*        |                    |                |
| BOGOTÁ             | Bogotá D.E.             | 1 (USAID)           | 2                      |             |                        |                   |           |          |           | 1 (London)         |                |
| <b>TOTAL (101)</b> |                         | <b>14</b>           | <b>20</b>              | <b>20</b>   | <b>3</b>               | <b>7</b>          | <b>17</b> | <b>2</b> | <b>14</b> | <b>2</b>           | <b>2</b>       |

\*Community Councils, \*\*Indigenous Reservation

## Beneficiary Characteristics

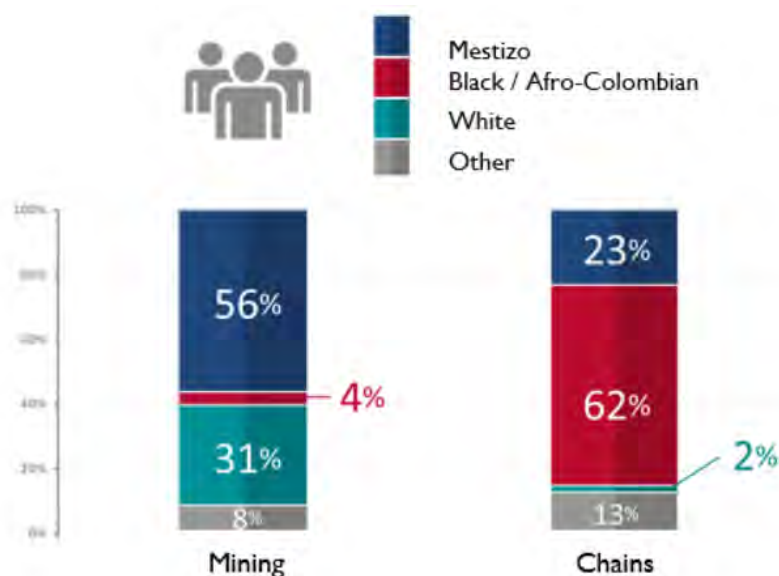
The mining and chain beneficiaries are mostly men involved in mining activities (83%) and, in the case of chains, the number of women is slightly greater than the number of men (52% women, 48% men).

**Figure 3. Sex of the Surveyed Beneficiaries**



The beneficiaries surveyed by EVAL belong to (or self-identify as members of) three ethnic groups: white, black/Afro-Colombian, and mestizo<sup>10</sup> The distribution among chains and mining is very dissimilar: while those involved in mining are mostly mestizos (56%) with very few Afro-Colombians (4%), those involved in the chains are mostly Afro-Colombians (62%), with very few whites (2%).

**Figure 4. Ethnic Groups of the Surveyed Beneficiaries**



<sup>10</sup>The survey responses provided here reflect how the respondents identified their ethnic identity. After the evaluation was completed, the Oro Legal Program noted that it has a large grant activity for the rehabilitation of degraded areas with an indigenous reservation, Vegas de Segovia, an area not included in the survey.

There were four types of limitations on the execution of this mid-term evaluation: security, information relating to the beneficiaries, the Presidential elections, and an emergency situation within the regions.

**Figure 5. Limitations presented during the information collection process**



### **1. Security<sup>11</sup>**

The security situation in Bajo Cauca Antioqueño, and Tarazá in particular, has been very volatile due to the presence of illegal armed groups in the region. The situation became critical during two of the weeks in which the field work was to be carried out, which prevented the evaluation team from meeting the schedule established in the work plan.

*Mitigation measure:* The initial logistics plan for this project provided that the surveys would be conducted by telephone if the respondents were unable to travel to the municipalities because of security problems. However, based on the experience of the National Consulting Center (CNC), respondents are less inclined to respond with candor in telephone interviews than in face-to-face interviews. Therefore, we decided to carry out the field work in person while guaranteeing the security of the respondent; this affected to some degree the timetable, but not the methodology, such that data of the best quality could be obtained.

### **2. Information about beneficiaries<sup>12</sup>**

After the fieldwork was concluded, it became clear that there were certain inconsistencies in the database of value chain beneficiaries. Of the 242 cases of value chain beneficiaries provided by the Oro Legal program, the information on some 16% of the entries presents inconsistencies. Specifically, some of the beneficiaries appear registered in one particular value chain activity and, when participating in an interview, they would correct the interviewer, stating that they were beneficiaries of a different value chain. Some 21% of the beneficiaries interviewed did not appear registered in the database of the Oro Legal program but did appear in data maintained by the regional coordinators. This

<sup>11</sup> With regard to security, there were different public safety problems in the Bajo Cauca Antioqueño area between May and June 2018. The specific situations were the presidential election, which made it difficult to speak with national authorities because they were involved in the transition process, and the problem with the Hidroituango dam, which kept the area on alert for several weeks.

<sup>12</sup> After the submission of final report, Oro Legal informed EVAL that the beneficiaries are only registered in SIME when the activity is nearing completion and there is an assurance of the final beneficiaries' status. The project believes that the regional coordinators' data on beneficiaries include more beneficiaries than those in SIME, as they engage with a larger spectrum of possible beneficiaries, but not all of them become final program beneficiaries.

information is presented in the annexes of the evaluation, maintaining the anonymity of the respondents.

**Figure 6. Comparison of data, and consistency of beneficiary-related data on Oro Legal’s interactive platform**



### 3. Elections

One of the characteristics of the regions in which the program is implemented is that their institutions are weak and, therefore, events such as parliamentary and presidential elections occupy all their capacity. For this reason, access to regional authorities to survey them with the corresponding qualitative instrument was delayed during the 2018 presidential election period. In addition, the transition between the outgoing and incoming governments following the electoral campaign made it difficult to gain access to national mining and environmental authorities.

*Mitigation measure:* This situation was resolved by scheduling the interviews at the convenience of the authorities to be interviewed. The evaluation team was able to complete all the planned interviews.

### 4. Regional emergency situation

The collapse of the Hidroituango dam’s diversion tunnel generated a red alert in the communities located downstream, specifically in Valdivia, Cáceres and Tarazá. This situation limited access to the Bajo Cauca Antioqueño region, which prevented conducting the qualitative and quantitative surveys in this region at the planned time.

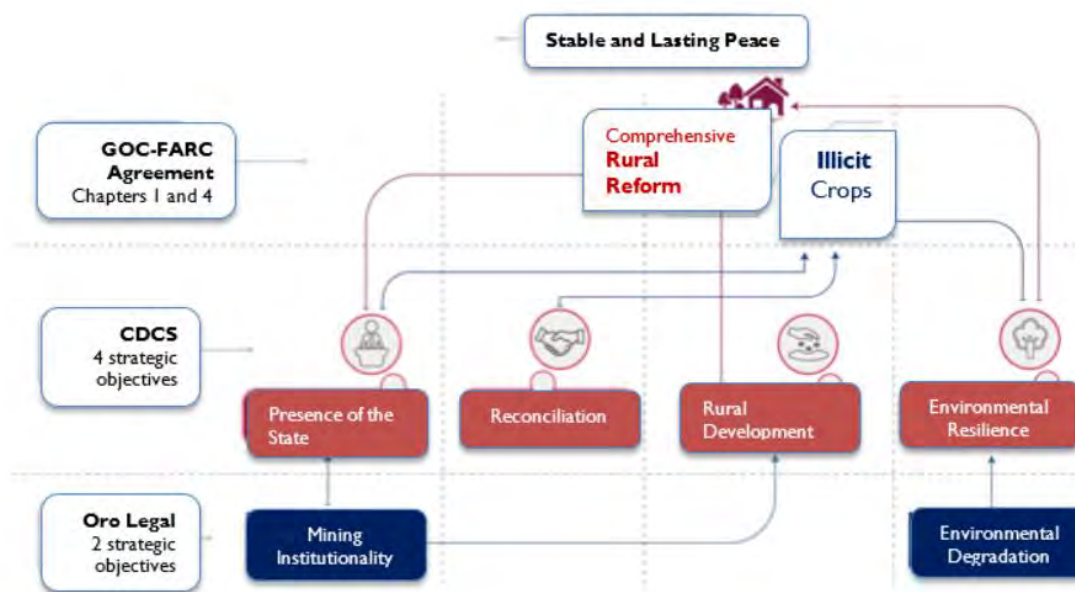
*Mitigation measure:* The evaluation team adjusted the timetable, and with the help of the regional team of the Oro Legal program, it gathered beneficiaries in a single location to conduct the surveys in the shortest possible time.

# FINDINGS AND RESPONSES TO THE EVALUATION QUESTIONS

## Q1 – PEACE AGREEMENT

WHAT ARE THE CONTRIBUTIONS OF THE ORO LEGAL PROGRAM TO SUSTAINABLE RURAL DEVELOPMENT IN ITS TARGET GEOGRAPHIC AREA, IN SUPPORT OF THE OBJECTIVE OF THE MISSION'S COUNTRY DEVELOPMENT COOPERATION STRATEGY (CDCS) AND THE PEACE AGREEMENTS OF THE GOVERNMENT OF COLOMBIA AND THE FARC (PURSUANT TO CHAPTER 1 ON SUSTAINABLE RURAL DEVELOPMENT AND CHAPTER 4 ON ILLICIT CROPS)?

**Figure 7. Peace Agreement, USAID's Country Development Cooperation Strategy, and Oro Legal's Objectives**



### Relationship among the three guiding documents

The primary strategic objective of USAID's Country Development Cooperation Strategy (CDCS) 2014-2018 is to *Strengthen the capacity of the Government of Colombia to implement a stable and lasting peace*. To achieve this, four development objectives are established:

- (1) Effective presence of institutions and democratic processes in specific areas;
- (2) Reconciliation between victims, ex-combatants and other citizens;
- (3) Better conditions for inclusive rural economic development; and
- (4) Strengthened environmental resilience and economic development with low carbon emissions.

For its part, as indicated above, the Oro Legal program seeks to achieve two objectives through its activities: (1) To support mining sector institutions and organizations in order to improve and/or implement the regulation of gold mining in the target regions, thereby reducing the negative environmental and social impacts generated by that activity; and (2) To increase the capacities of the authorities, the community and the private sector to address the environmental degradation caused by unauthorized gold mining. The activities of the Oro Legal program are thus aimed at three CDCS development objectives: institutional development, rural development and environmental resilience.

## Q2 – GOVERNANCE AND POLICY

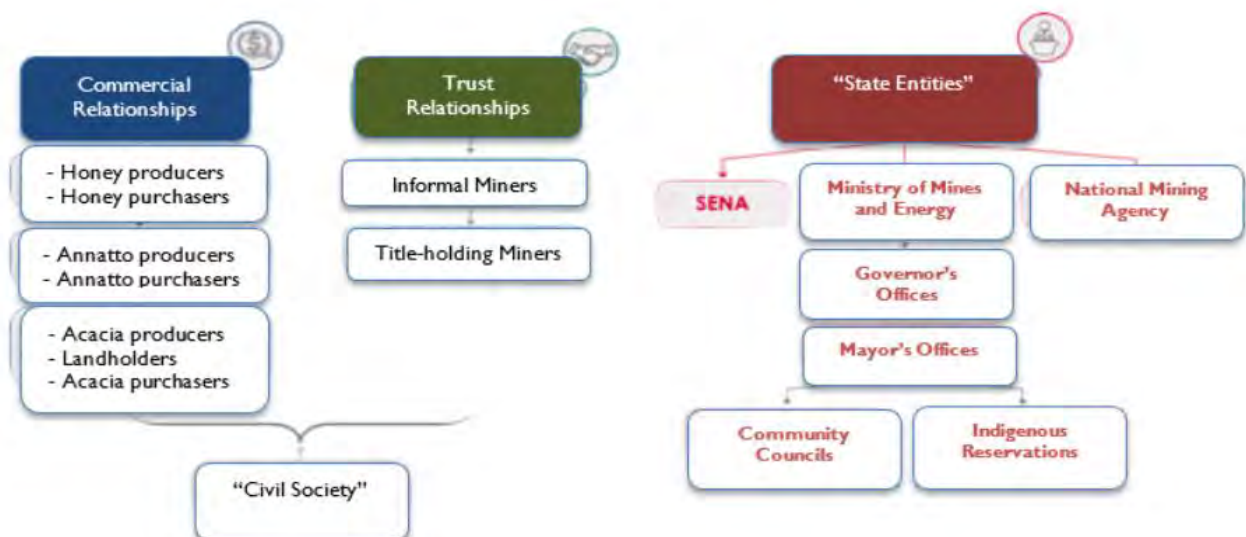
### TO WHAT EXTENT IS THE ORO LEGAL PROGRAM FULFILLING THE OBJECTIVES OF STRENGTHENING MINING AND ENVIRONMENTAL GOVERNANCE AND POLICY IN COLOMBIA?

#### Activities of the Oro Legal program and support for institutional strengthening and the strengthening of governance and public policy.

There are many definitions of the term *Governance*. For this evaluation, governance is understood, on the one hand, in terms of effectiveness and legitimacy of government entities, that is, their capacity to meet the needs of the population: to comply with and enforce the law, implement an effective and equitable public administration, and be accountable and transparent with information that is easily accessible. And on the other, as the way in which civil society is organized to achieve common objectives.<sup>13</sup>

Accordingly, a two-pronged analysis will be made, consisting of: (1) an evaluation of the program's activities and actions with respect to government entities and their institutional strengthening; and (2) an evaluation of how relationships among different civil society actors and the private sector are being defined and organized through the Oro Legal program.

**Figure 8. Relationships among the different actors of the Oro Legal program**



#### **Institutional Capacity: Activities and actions of the Oro Legal program with respect to government entities.**

The characteristics of gold mining operations in Colombia, with few physical, technical and institutional barriers to entry and the presence of illegal groups in these mining territories for many years, underlie the importance of programs, like Oro Legal, that encourage a culture of legality and institutional strengthening. These programs become even more valuable if one considers that although conflicts end, aspects such as institutional weakness and the existence of illicit economies form a framework within which some forms of conflict and criminality can be maintained.

<sup>13</sup> Kooiman, 1993 (Hufty et al., 2006). Retrieved from <https://revistas.uexternado.edu.co/index.php/opera/article/view/3839/4150>.

Breaking the link that exists between gold mining and illegal armed groups and, therefore, the armed conflict, is not an easy task. The recommendations made in many studies of the issue include one that coincides with the first objective of the Oro Legal program and the first strategic objective of the CDCS: institutional strengthening.

Promoting a culture of legality requires the implementation of measures for increasing the formality and legality of the entire value chain and raising the entry barriers to mining activities.<sup>14</sup> While the law is an obstacle for engaging in illegal activities, the lack of monitoring and control by the authorities in rural areas allows access to such activities.

Indeed, mining law requires high technical and environmental standards for developing mining activities, which are costly and complex for small-scale mining. In addition to the difficulty of compliance, these requirements are easily ignored in the territories due to the lack of control by the authorities. From a public policy point of view, the required standards should be reviewed and adjusted in accordance with the scale or level of impact of the mining activity (economic, royalty payments, employment, trade in minerals, and environmental issues), and to strengthen institutional capacities for exercising monitoring and control.

Thus, based on the research of Juan Felipe Ortiz-Riomalo of Universität Osnabrück (Germany) and Angelika Rettberg of Universidad de los Andes (Colombia), “it is necessary to create or construct institutional arrangements for establishing relations with actors who develop their activity illegally, resolving social and environmental conflict in an effective and non-violent manner, channeling gold mining within legality and formality, and putting an end to the interference and influence by non-state armed actors in the regulation and organization of local and regional economies.”<sup>15</sup>

From this perspective, the support offered by the Oro Legal program to informal miners to generate agreements between them and mining title-holders with whom they were previously in conflict contributes to the strengthening of governance by helping state entities to enforce the law. These agreements, therefore, contribute to the solution of the conflict and promote a culture of legality, which is so necessary in these territories. Also, the practices promoted by the program enable compliance with the technical requirements for environmental protection and recovery in areas in which mining is developed, which helps to cement the bases for rural productive activities other than mining, which is one of the objectives established in the Peace Agreement and the CDCS.

In addition, and according to Ortiz-Riomalo and Rettberg, the lack of integration of the different stages of the gold mining value chain facilitates the entry of additional actors (most of them illegal) who are interested in capturing part of the value generated there. For this reason, as observed in Evaluation Question 3, the contracts used by the Oro Legal program for bringing together mining title-holders and informal miners, constitute an efficient route for removing from the chain illegal actors who intervened in the different stages of the processes, which contributes to the fulfillment of objectives one, three and four of the CDCS, as mentioned above.

The respect and credibility generated by the program significantly contribute to the process, as stated by some of the interviewed Mining Production Unit (UPM) leaders as shown in the following table:

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<sup>14</sup> Ortiz-Riomalo, Juan Felipe y Rettberg, Angelika. “Gold mining, conflict and crime in Colombia at the dawn of the 21st century in Colombia: Prospects for the post-conflict stage in Colombia.” 2018. Colombia Internacional (93): 17-63. DOI: <https://dx.doi.org/10.7440/colombiaint93.2018.02>.

<sup>15</sup> Ibid.

**Table 4. Mining Production Unit (UPM) Statements**

| <b>Why did you get involved in the Oro Legal program?</b>   |
|---|
| <i>"Because Oro Legal is a serious entity, whose objective is to help carry out responsible mining." UPM La Panelera</i>  |
| <i>"For the benefits that it brings, and to leave informality." UPM Minerales Santa Isabel</i>  |
| <i>"Because of the program's history and prestige in the region, since several well-known miners are beneficiaries, and for the benefits that the program offers." UPM La Vetilla</i> |
| <i>"Because we want to be legal." UPM El Diamante</i>   |
| <i>"Because we were trying to get an environmental license, and in looking for help we found Oro Legal." UPM El Aguinaldo</i>   |
| <i>"Because it is good to work legally, and if it provides us with the opportunity to become legal we cannot pass it up." UPM Dragueros Yarumito</i>                                  |

One of the fundamental tasks in the formalization process consists of strengthening the presence of the State in these territories, and simultaneously dismantling existing criminal structures, which permeate not only gold mining, but, in general, the whole economy. For this reason, it is recommended that the program continue to develop institutional arrangements that close off spaces to crime and illegality, and that channel mining activities within the standards of environmental and social responsibility, legality, efficiency and sustainability. The interventions of the Oro Legal program, which involve the technical and environmental components of the UPMs and establishing relations between these units and the State, are contributions to the comprehensive rural development process.

Among the most important contributions of the Oro Legal program's formalization process is that of establishing relations between illegal miners and the authorities and providing support and financing for meeting the technical legal requirements for achieving formalization. From this perspective, the program has improved the governance of mining activities.

The requirements supported by the program include the preparation of Work and Project Programs (PTOs) and Environmental Impact Assessments (EIAs), for which the program has a specialized team of professionals dedicated exclusively to carrying out this work. It should be mentioned that the program initially tried to subcontract the preparation of the PTOs and EIAs with outside contractors. However, the shortage of specialized technical skills in the region made it necessary to modify the plan and to prepare these documents directly.<sup>16</sup>

While this contribution has been fundamental for the process, it is not clear how new miners who intend to formalize will be able to comply with these regulations once the Oro Legal program ends. As such, the ongoing process of strengthening governance, and the sustainability of the program's results, could be compromised.

Moreover, strengthening institutional capacities for the management of mining and environmental activities requires that the program cultivate relationships with the authorities that regulate, develop and supervise these activities in the intervention municipalities. Those relationships should generate trust and allow for the exchange of experiences and information, thereby improving governance. For this reason, interviews were conducted with national, departmental and local authorities to establish the types of relationships that exist between the program and public agencies.

The link with many Government actors is evident. The Oro Legal program acts within the framework of a complex institutional context and in which, according to their own assessments, there is little

<sup>16</sup> Information proved by Peter Doyle, Oro Legal Program COP, and Beatriz Duque, Legalization Leader, Oro Legal Program.

coordination. It is not easy to describe the relationship of the Oro Legal program with public authorities at the national level, as the information collected during fieldwork is not conclusive. However, there is evidence from documents provided by the program that formal communication channels (and meetings) take place through which the program shares its activities with the authorities.<sup>17</sup>

### **1. Ministry of Mines and Energy.**

The Ministry of Mines and Energy (MME),<sup>18</sup> the government entity in charge of the country's mining policies, has a very good opinion of the program, and values USAID's support in the process of formalizing informal miners. It appreciates that the Oro Legal program is helping to fulfill a requirement of the formalization process – the PTO and EIA studies – which the National Government is not capable of doing because of a lack of resources. It is aware of the activities developed by the program, since the program's progress is reported with some frequency in committees and meetings. It respects the responsibilities that each entity has within its framework of action, and therefore considers the relationship to be appropriate. This, however, has not resulted in the institutional strengthening of the Ministry in the framework, for example, of designing public policies<sup>19</sup>.

On the other hand, this Ministry believes that the program could have a greater impact if, in addition to supporting a limited number of UPMs, it developed or financed projects that benefit a larger number of miners in the preparation of the technical studies necessary for having a community processing plant, or in the structuring of an associative mechanism for the marketing of gold or financial instruments for this population, which is excluded from the formal financial sector.

### **2. National Mining Agency.**

The National Mining Agency (ANM)<sup>20</sup> stated that it is aware of the program, but that it does not have any relationship with it, even though it is the entity responsible for the process of formalizing artisanal miners and for the declaration of Special Reserve Areas (ARE). It also stated that, as the entity that offers training to, and prepares geological studies for, artisanal miners, it could work with the program in a complementary manner and jointly achieve better results.<sup>21</sup>

### **3. Governor's Offices.**

According to the information obtained through an interview with the Secretariat of Mines of Antioquia, the departmental government is aware of the program and the benefits it creates for mining and environmental authorities in the Department.<sup>22</sup> The Secretariat of Mines did articulate the concern that it was not taken into account in the process of program planning and because it is difficult to access information about its progress. Indeed, the Secretariat noted that they have become the recipient of complaints that miners have brought about the activities of the Oro Legal program<sup>23</sup>. This

<sup>17</sup> Para el caso de minería, en el capítulo de Anexos se encuentra el listado de contactos de Beatriz Duque. Líder de Legalización. Programa Oro Legal, con las autoridades locales y nacionales.

<sup>18</sup> Mónica Grand, Director of Formalization, Ministry of Mines and Energy.

<sup>19</sup> After the evaluation was concluded, Oro Legal informed EVAL that the project is finalizing a joint proposal with the Swiss embassy to strengthen the Ministry's framework on mining formalization, which will be presented to the new government in the beginning of Year 4. This strategy was laid out in the Oro Legal Year 3 Work Plan, and the project states that it is being carried out as planned.

<sup>20</sup> The entity that must (1) exercise the functions of a mining authority or grantor in the national territory; (2) administer the State's mineral resources and grant rights for their exploration and exploitation; and (3) promote, enter into, administer and monitor concession contracts and other mining titles for the exploration and exploitation of minerals, by delegation of the Ministry of Mines and Energy in accordance with the law.

<sup>21</sup> EVAL notes that the staffing at the National Mining Agency has been undergoing changes. When EVAL requested interviews with the Agency, the person with whom Oro Legal had worked was no longer there. EVAL requested an interview with the president of the Agency, Silvana Beatriz Habib, who through her aide Estefanía Gonzalez assigned the interview to David González, Vice president of Marketing and Development, who was accompanied by an advisor.

<sup>22</sup> Dora Elena Balvin, Secretariat of Mines. Gobernación de Antioquia and Lucy Rivera, Secretariat for the Environment, Gobernación de Antioquia.

<sup>23</sup> After the evaluation had concluded, Oro Legal informed the evaluation team that the original terms of the MOU between Oro Legal and the Governor's office were developed in the first four months of the project (after January 2016), but it was not signed by the Governor

information is attested to and certified by the evaluation team. It is important to clarify that the Oro Legal team also sent the evaluation team evidence of its communications between the program and government officials.

#### 4. Autonomous Regional Corporations.

The Deputy Director of Regionalization of the Autonomous Regional Corporation of Central Antioquia (CORANTIOQUIA)<sup>24</sup> stated that although there is a Memorandum of Understanding with the Oro Legal program, there is no joint work. He noted that the program behaves more like a client than an interlocutor with the Corporation. The Deputy Director of Planning of the Autonomous Regional Corporation for the Sustainable Development of Chocó (CODECHOCÓ)<sup>25</sup> had a similar opinion; he had expectations of being able to engage in joint projects and work with the program, but once the Memorandum of Understanding was signed, no further strategic meetings were held. The explained his dissatisfaction as follows<sup>26</sup>:

#### 5. National Learning Service (SENA)

The components of the Oro Legal program's formalization process include the provision of training and technical advice to miners to enable them to perform their activities in an efficient and environmentally clean manner. This training and advice are currently offered through the program's technicians.<sup>27</sup>The National Learning Service (SENA),<sup>28</sup> the national technical training entity, which has an Environmental Mining Training Center that provides specialized training to miners, stated that it does not have any kind of relationship with the Oro Legal program. Although the SENA was in contact with the program when the program's activities began, according to the qualitative data gathered in the field, they do not complement each other or share knowledge or experiences.

*"OK, I'm going to give you my perception from the point of view of the institution, that is, I'm going to speak as SENA. I'm completely sure that to the extent that the message is clear, I mean the message is clear regarding the structure, that is, I am performing a process in which a miner today enjoys legality, the advantages of legality, and second, the community appropriates the project, and when does a community appropriate the project? When the community not only learns about the project, about its advantages and benefits, but also participates in the construction of the project, and that is what the Oro Legal program has not done." Sergio Santa, Deputy Director of the Environmental Mining Center of El Bagre, Antioquia*

The foregoing is striking, since for the objective of institutional strengthening, the SENA could be the entity called upon to take advantage of the knowledge generated by Oro Legal and to receive the training model, which would strengthen its techniques and content.

#### 6. Mayor's Offices.

Even though the Scope of Work (SOW)<sup>29</sup> does not refer to municipal authorities, the EVAL team interviewed mayoral secretaries and other local officials,<sup>30</sup> because the municipalities play a specific role in the supervision of mining activities. Municipal officials believe that the Oro Legal program is of great support in the development of projects that the municipalities are unable to carry out due to

until October of 2017. Over this period the head of the Mining Secretariat changed three times. The current Mining Secretary assumed her role at the very end of this period. For this reason, according to Oro Legal, it was not possible for her team to have been included in the Program planning.

<sup>24</sup> Carlos Andres Naranjo, Deputy Director of Regionalization, CORANTIOQUIA.

<sup>25</sup> Alex Mauricio Jiménez, Deputy Director of Planning, CODECHOCÓ.

<sup>26</sup> After submitting the final report, Oro Legal stated that no joint work exists with CORANTIOQUIA because, at the time when the agreed-upon activities developed with CORANTIOQUIA were to be implemented, the Ministry of Mining and Energy took on the full financing of the activities, supplanting Oro Legal's role in implementation.

<sup>27</sup> Beatriz Duque, Legalization Leader, Oro Legal Program.

<sup>28</sup> Sergio Santa, Deputy Director, Environmental Mining Center of El Bagre, Antioquia.

<sup>29</sup> AID-514-C-15-00003 Artisanal Gold Mining – Environmental Impact Reduction Activity (Oro Legal) Section C – Scope of Work.

<sup>30</sup> Jose Dumar Monsalve, Facilitator of the work with the Tarazá Community. Paulo Atencia, Director of Mines, El Bagre Mayor's Office. Wilson Marín, Coordinator of Mines, Zaragoza Mayor's Office.

budgetary constraints, and therefore appreciate the program’s intervention. There is no evidence of particular support in the strengthening of the capacities of the mayor’s offices to improve their processes in terms of supervision.

*“An extremely important support for the municipalities, which do not have the economic capacities to carry out projects and processes. USAID is supporting us. I don’t know the objectives of Oro Legal.”*

- El Bagre Mayor’s Office

Finally, it is worth mentioning that, unfortunately, it was not possible to have a meeting with the Ministry of the Environment and Sustainable Development, who due to scheduling issues, could not respond to the request for an interview.<sup>31</sup>

### **Relationships between different civil society actors and the private sector**

The program develops relationships among the different actors who participate in each project apart from the public sector. These relationships require clarity and transparency in order that the projects achieve success and can be sustainable over time.

In the first instance, the Oro Legal program’s formalization process has made some mining title-holders aware of the importance of supporting the legalization of informal miners in the areas covered by their titles. In this way, mining title-holders and informal miners have reached agreements involving them both and which permits them to carry out activities in a legal manner and with clear rules. As will be seen in the section on Evaluation Question 3, some miners stated dissatisfaction with the way in which that relationship is defined and it was not possible to verify the terms of these agreements, since they are private documents to which the program does not have access.<sup>32</sup>

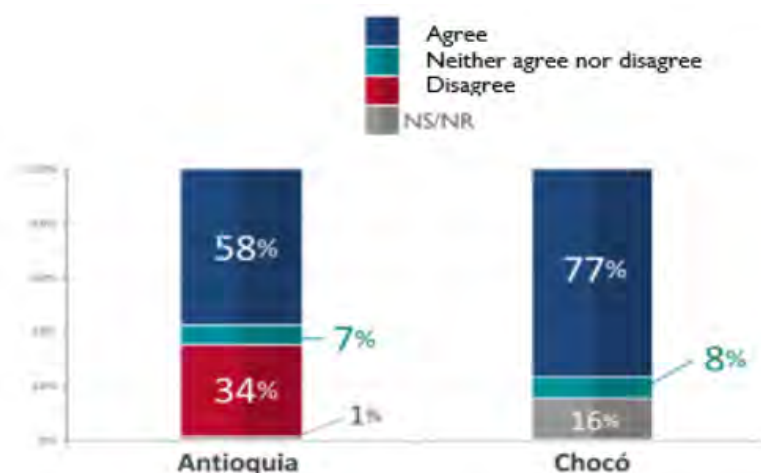
In addition to the previously analyzed efforts to strengthen institutionality and governance in mining activities, the Oro Legal program develops projects to motivate illegal miners to move from the illegal economy into legal economies, such as the cultivation of annatto in Chocó and the production of honey and cultivation of Acacia in Antioquia, which is a difficult task of great relevance if it is kept in mind that illicit crops are also present in the areas in which these projects are developed.

These projects, which compete with illicit activities such as the cultivation of coca, constitute a mechanism for supporting the achievement of Strategic Objectives 3 and 4 of the CDCS and Chapters 1 and 4 of the Peace Agreement. It is interesting to note that the beneficiaries in Chocó are more optimistic than those in Antioquia about the success of these chains.

<sup>31</sup> Ministry officials said they were in the process of organizing the transition to the new government, which prevented them from being able to accede to the request.

<sup>32</sup> Beatriz Duque, Legalization Leader, Oro Legal Program.

**Figure 9. Legal crops can replace the income from coca crops and ensure the subsistence of the families that grow them.**



In surveying the beneficiaries of these projects, we found that a little more than 60% agree that legal crops can replace the income from coca crops and ensure the subsistence of the families that grow them. However, only 58% of those surveyed in Antioquia agree with this affirmation, in contrast to 77% of those surveyed in Chocó. This shows among there is still skepticism among the respondents who are participating in the projects regarding the substitution of coca crops, particularly in Antioquia.

For the annatto beneficiaries, the evaluation team found that the relationship between the beneficiaries and transformers or even purchasers is not yet defined. The Oro Legal team states that they are currently defining approaches to marketing.<sup>33</sup> As will be analyzed in the section on Evaluation Question 5, the program has focused up to the present on issues of production.

In the case of Acacia, the relationship between the different actors is established through participation account contracts, in which the participants, the obligations, and the expected benefits are clear. The evaluation team had access to only one contract that has met all of the requirements for its formalization, that of ASOGUACA.

With respect to the honey value chain, the Oro Legal program is considering the commercialization of honey from the region and has an agreement to purchase all of the honey from the beneficiaries of FODC<sup>34</sup> with the company Distriapicola del Valle<sup>35</sup>

In general, at the time of the evaluation, the evaluation team did not find evidence that the relationships between the chain participants (suppliers, transformers, purchasers) is defined, which poses a risk to the program's sustainability. The program has stated that it is working on these aspects.

<sup>33</sup> During the period in which the evaluation was carried out, the team was not aware of this information

<sup>34</sup> Fundación Oleoductos de Colombia.

<sup>35</sup> The evaluation team was not aware of this information nor of the purchase agreement at the time of the evaluation.

### Q3 – FORMALIZATION

DO THE FORMALIZATION ACTIVITIES OF THE ORO LEGAL PROGRAM PROMOTE RESPONSIBLE MINING? WHAT ARE THE BARRIERS TO, AND INCENTIVES FOR, THIS PROCESS? IF IT IS SUCCESSFUL, WHAT ARE THE OPPORTUNITIES AND CHALLENGES FOR ITS REPLICATION AND SCALING? ONE OF THE FACTORS THAT SHOULD BE ADDRESSED FOR THIS QUESTION IS LAND OWNERSHIP.<sup>36</sup>

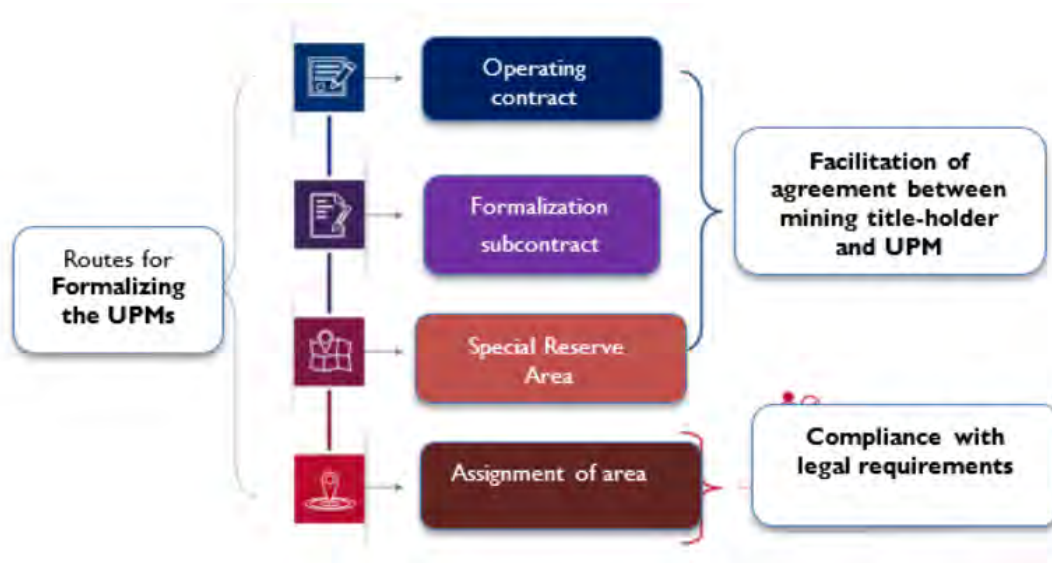
According to Conny Havel,<sup>37</sup> author with the Alliance for Responsible Mining of the document “The formalization of artisanal and small-scale gold mining in Colombia and its contribution to the Sustainable Development Goals,” it is difficult, but not impossible, for small mining organizations to formalize. What is required is will, information, training, support and financial resources, among other things. Oro Legal supports miners in formalizing their activity, seeking to work under the protection of a mining owner, providing assistance to meet the technical and environmental requirements defined in the law and helping them meet the technical and environmental standards required for their activity.<sup>38</sup> The formalization support thus consists of four elements: (1) Definition of a viable path to the formalization of each one of the UPMs; (2) Financing for the required technical documents – PTO and EIA – and support in the managements of the process with the authorities; (3) Training; and (4) Technical assistance on the implementation of technical and environmental recommendations. According to Oro Legal, all these actions are linked to formal (through an MOU) or informal relations with the relevant mining institutions.

The proper development of each of these activities is the key to the successful promotion of responsible mining, the process of removing barriers to formalization, and defining a replicable and scalable methodology for other mining areas of the country. We will discuss each of these elements below.

#### I. Formalization Routes

The process begins with “regularization” which requires an analysis of the legal mechanisms or routes provided by Colombian law for formalizing the UPMs under the protection of a mining title, and whose application depends on the particular situation of each company: These mechanism are (a) an operating contract; (b) a formalization subcontract; (c) the assignment of an area; and (d) a Special Reserve Area (ARE).

Figure 10. Routes of formalization of the UPMs



<sup>36</sup> After speaking with USAID, it was decided that the issue of land ownership would not be included as part of this evaluation.

<sup>37</sup> Conny Havel, The formalization of artisanal and small-scale gold mining in Colombia and its contributions to the Sustainable Development Goals, June 2018, at <http://www.responsiblemines.org/blog/formalizacion-mape-ods/>.

<sup>38</sup> Information provided by Peter Doyle, Oro Legal Program COP, and Beatriz Duque, Legalization Leader, Oro Legal Program.

Put simply, the first three options consist of establishing agreements between the mining title-holder and the UPM to be regularized. In the case of the AREs, formalization is based on the UPM's compliance with the legal requirements for obtaining a special concession agreement between the Nation and the mining community.

It should be noted that, thanks to the accompaniment and advice of the Oro Legal program in the region, the formalization process is not unknown to the informal miners. From the interviews conducted with UPM leaders in Antioquia, it is evident that they understand the difference between the operating contract and the formalization subcontract, and they stated that the mining title-holder is the one that makes the decision at its convenience. Oro Legal's role has been to facilitate the rapprochement between the UPM and the title-holder, but as their contract is between two private parties, Oro Legal subsequently withdraws from the negotiation process.

**Table 5. Through what legal concept is, or was, the formalization process carried out? (Assignment of the Area, Operating Contract, Formalization Subcontract, Special Reserve Area)**

| UPM                        | Legal Concept             | Why was this concept chosen?   |
|----------------------------|---------------------------|--|
| UPM La Panelera            | Formalization subcontract | Due to seniority in the region.  |
| UPM Minerales Santa Isabel | Formalization subcontract | It was what the title-holder offered.  |
| UPM La Vetilla             | Formalization subcontract | It was what the title-holder offered.  |
| UPM La Polentea            | Operating contract        | By agreement between the UPM and the title-holder, under which company has more responsibility over the UPM, and it speeds up the formalization process. |
| UPM El Eden                | Formalization subcontract | This was how the Quintana title-holder began the formalization process.  |
| UPM Diamante               | Formalization subcontract | To enable the UPM to work more independently from the title-holder.  |
| UPM Aguinaldo              | Formalization subcontract | Not applicable.  |
| UPM Dragueros Puente Nuevo | Formalization subcontract | It was the most viable option.   |
| UPM Dragueros Yarumito     | Formalization subcontract | By agreement with the title-holder.  |
| UPM Aluviones La Palma     | Formalization subcontract | According to the degree, this allows médium-size miner organizations to receive assistance from POL and CORANTIOQUIA.                                    |

Source: National Consulting Center (CNC). EVAL interviews.

Because of the characteristics of the context in these regions, in which a title is granted to a mining-company and informal miners situated on the mining title-holder's land, the formalization subcontract appears to be the most appropriate route for the informal miners as well as for the title-holders..

This legal concept enables mine owners to obtain control over the titled area, by not having UPMs extract minerals from their area in an informal manner. This is a necessary, but insufficient, condition. It is also fundamental to take into account the benefits that the employed UPMs should obtain.

In interviews with the statutory representatives of two company title-holders associated with the Oro Legal program,<sup>39</sup> they stated that the concept selected is the one that generates the greatest benefits for the company title-holder and gives it control over the UPMs, to the point of keeping their accounting books and controlling their invoices. It is noteworthy that they only mentioned their

<sup>39</sup> Eliana Yepes, Statutory Representative of Sun Valley, and Jaime Gutiérrez, Statutory Representative of Nugget S.A.S.

companies' benefits, not considering the benefits of the informal UPM, which could become a problem for the sustainability of the process.<sup>40</sup>

## 2. Financing for the required technical documents

Once an agreement has been reached with the UPM for co-financing, Oro Legal supports the miners in the preparation of the PTO and the EIA to obtain the environmental license, for which the program contracts more than 14 professionals. Likewise (and as mentioned above), Oro Legal supports the UPMs with the financing and preparation of the technical instruments (PTO and EIA) required for the UPMs' formalization. It should be mentioned that in some cases the miners contribute resources for this process. The great majority of the beneficiaries in Antioquia and Chocó recognize and value the support provided by the Oro Legal program, but they have reservations about the delays in the process, even when, according to Oro Legal, these are within the normal terms for the development of an EIA. In this regard, the supervisor of the Memorandum of Understanding signed between the Oro Legal program and the Secretariat of Mines of Antioquia<sup>41</sup> stated that the program takes a lot of time to meet the authorities' requirements, as a consequence of which deadlines expire, and the process has to begin again. This adds more time and generates distrust among the miners. The Oro Legal program subsequently clarified that the delays discussed refer to documents submitted to environmental authorities during the implementation of the now concluded BioREDD+ program, not Oro Legal. Oro Legal assumed the role of following up on these documents: but the one-year gap between BioREDD+ and Oro Legal led to deadlines having already passed.

*"...it's a matter of operational capacity, I say this as an outsider, ... but yes, it's like having monitoring of the process in situations that need time periods, because periods are legally necessary. and if the periods expire the processes fail ... starting again costs time and resources, again we have to bring in people and this leads to a situation that is very serious for us even if no indicators are reported, the failure of a process results in distrust of the mining title-holder, and the failure of that process sets small miners back light years ... that distrust is the first difficulty to break in all scenarios, that the title-holder believes the small miner, that the small miner believes the title-holder, that later the small miner believes the entities so that he can finally be able to work; those situations result in the distrust of the small miner." Yenny Quintero, Director of Titling, and Laura Benavidez, Supervising Attorney, Oro Legal Program Agreement, Secretariat of Mines, Government of Antioquia.*

## 3. Training and technical assistance

Once the Oro Legal program has secured the interaction and approach between the informal miners and the owners and the formalization route has been defined, the program does a baseline survey and creates the improvement plan for each UPM.<sup>42</sup> Likewise, while the technical tools PTO and EIA are developed and approved, the Environmental Formalization Guide is prepared for each UPM, which serves as a model for the ongoing technical assistance offered to the UPM.

Thus, responsible mining is promoted through the training and technical assistance offered by officials of the Oro Legal program to informal miners on different topics: mining formalization, administrative matters, the Occupational Health and Safety Management System (SG-SST), environmental matters, and socio-economic issues.

The great majority of the beneficiaries surveyed (90% in Antioquia and 100% in Chocó) value the support offered by the Oro Legal program in technical aspects of the process such as waste management and the reduction of mercury use. In survey questions related to household economy and health, the percentages in Antioquia fall to 54% when assessing if the support has contributed to

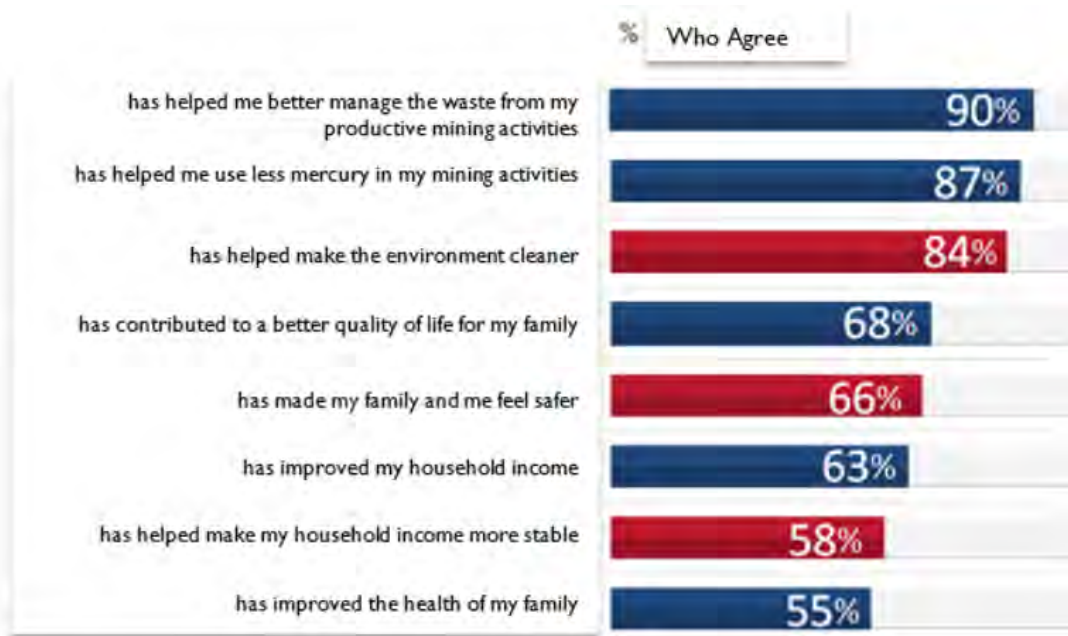
<sup>40</sup> Sun Valley carries out mining activities in a vein mine, where the miners agree to take the ore to the smelting plant belonging to the title-holder, without having the freedom to look for better offers from gold purchasers in the market. Nugget S.A.S. enters into subcontracts with miners who practice alluvial mining, under which it agrees to purchase the gold produced by the UPM.

<sup>41</sup> Interview with Yenny Quintero, Director of Titling, and Laura Benavidez, Supervising Attorney, Oro Legal Program Agreement, Secretariat of Mines, Government of Antioquia.

<sup>42</sup> The evaluation team did not have access to the baseline documents of each UPM or the improvement plans, which is why it cannot be determined if the UPMs are changing their traditional practices.

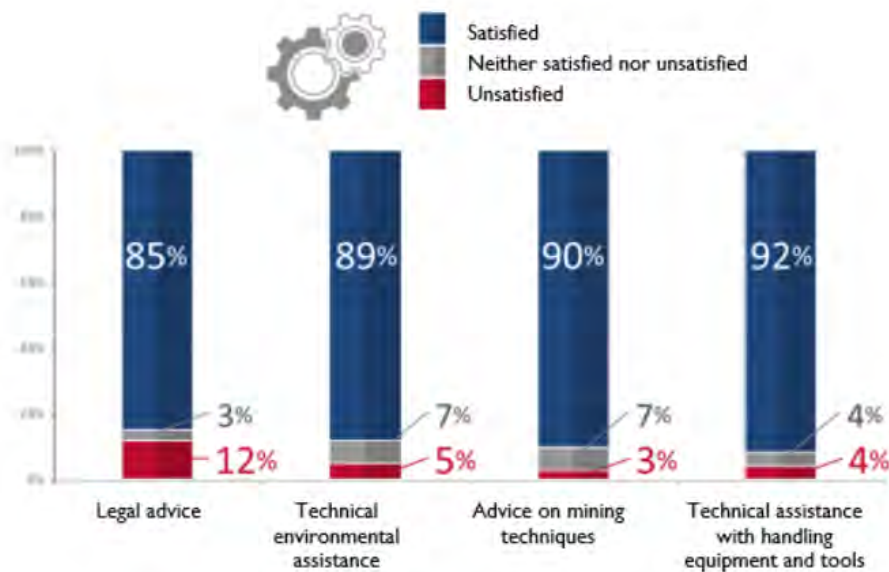
improving the health of the family and to just under 60% when it comes to the stability of family income.<sup>43</sup> Additionally, the interviews allow us to affirm that the program's emphasis on technical and environmental aspects is highly valued, but there is less focus on the issue of product marketing and the commercialization of gold, a fundamental aspect to ensure the sustainability of these productive units.

**Figure 11. I agree that Oro Legal's support ...**



The survey asked miners about the program's contributions to their mining activities. In general, those interviewed rated the contributions in a positive manner. In particular, they were satisfied with the support given in relation to legal advice, mining techniques, technical environmental assistance and the handling of equipment. An average of 89% of those surveyed stated that they were satisfied or very satisfied with this support.

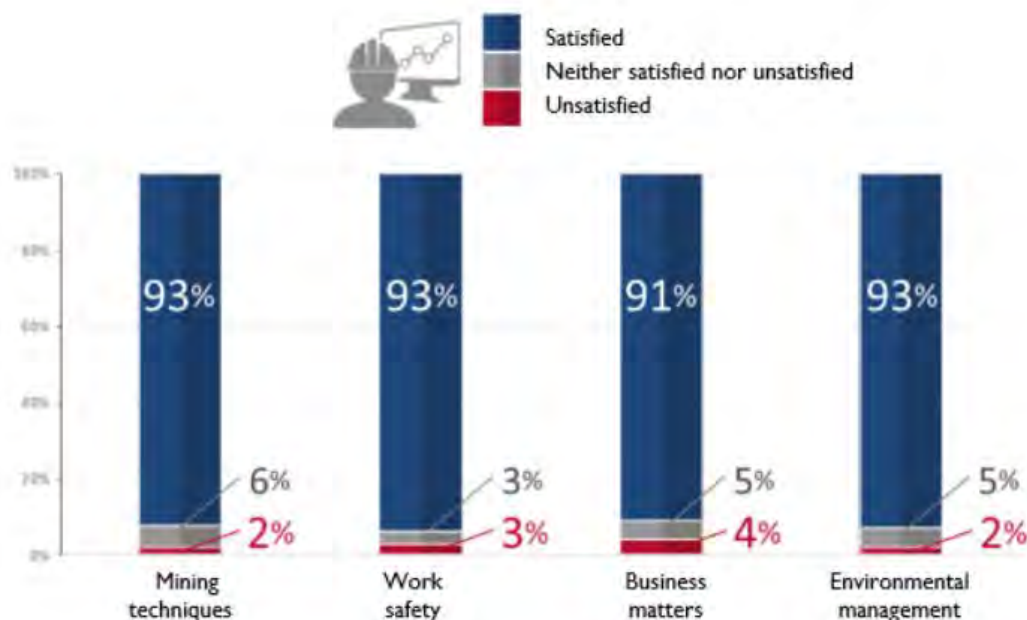
**Figure 12. Rating of advice and technical assistance**



<sup>43</sup> These questions were designed to detect possible additional benefits not necessarily within Oro Legal's scope of work.

There is also a high level of satisfaction with the program’s advice on mining techniques and work safety, and its training on business matters and environmental management. More than 91% of those surveyed are satisfied with these contributions:

**Figure 13. Rating of the trainings**



It is worth mentioning that one of the program’s 20 monitoring indicators is related to training, with a goal of 3,500 people trained by the end of the program,<sup>44</sup> without being explicit as to how many people would be trained on mining topics. The program’s managers stated that they are developing a virtual training platform, with the appropriate language and design for the miners, which constitutes an innovative commitment. But it is essential to keep in mind that the rural mining population involved in the program does not have an adequate academic level or Internet access,<sup>45</sup> which limits the possibility of taking advantage of an e-learning process, unless it is accompanied by in-person training. The Oro Legal program states that the majority of miners have access to a data plan. The evaluation team was not able to confirm this information.

Finally, there is no evidence of formal relationships with the agencies in these regions that are responsible for training miners. In Antioquia, there is apparently hardly any relationship between the program and agencies that provide training. In Chocó, training is provided by the SENA and CODECHOCÓ, which already had developed training processes when they joined the program, and there is no evidence of an agreement with Oro Legal to work on the content of the training<sup>46</sup>.

**Elimination of the use of mercury:** Although the miners know about the law on the use of mercury, they do not have a good understanding of the damage that mercury causes to the environment. Even so, they believe that the Oro Legal program has contributed to a decrease in the use of mercury in their mining activities.

<sup>44</sup> Revised Monitoring, Evaluation and Learning Plan (October 27, 2017). OL-017 Number of people trained. LOP Target: 3,500.

<sup>45</sup> According to the Ministry of Information and Communication Technologies.

<sup>46</sup> After the evaluation concluded, Oro Legal stated that the program had evaluated early in its life the effectiveness of SENA’s training in this area and found it to be deficient, so SENA was not engaged in Oro Legal’s mining work. According to the program, SENA remains an important partner in the apiculture activity, a fact made available to EVAL only after the evaluation.

Promoting responsible mining involves obtaining commitments to eliminate the use of mercury. The majority of the beneficiaries surveyed know about the existence of Law 1658/13,<sup>47</sup> but few of them associate it with its objective of protecting health and the environment. Although the miners who enter the program commit to stop using it, there are still miners who do not agree with the prohibition of its use as stipulated in the law, in spite of the efforts by Oro Legal to introduce and to disseminate the regulations and the effects that it has on human health. Indeed, when asked “Do you know about Law 1658 on mercury, and do you believe that it is necessary to implement it?”, they gave the following responses:

|  |  |
|--|--|
| <p><i>“Yes, these municipalities (Segovia and Remedios) have been miners all their lives, and they should not prohibit it if it is the way we work.” UPM El Diamante</i></p> | <p><i>“Yes, I don’t think that is the solution, what the government is doing now is becoming the enemy of the miners. The government is not listening, I don’t see that anyone has ever died due to mercury, maybe it has health consequences; the clean technologies system is very costly and not all miners can adapt to it.” UPM El Edén</i></p> |
|--|--|

In addition, the contracts signed with mining title-holders stipulate that the ore smelting<sup>48</sup> will be carried out in the title-holder’s plant, and so, as mentioned above, the miners do not receive training or advice on this issue. In fact, none of the interviewed UPMs in Antioquia has received technical training or advice on the smelting process for the reason stated,<sup>49</sup> which would enhance the knowledge of the damage that mercury causes to the environment and health. Nevertheless, it is important to mention that, more than 90% of the respondents believe that the program’s intervention has contributed to a reduction in the use of mercury in their mining activities.

The Mercury Law, which took effect on July 16, 2018, not only prohibits the use of mercury but also makes the mayor’s offices of mining municipalities responsible for monitoring the law’s implementation. For this reason, it is essential to coordinate and harmonize these processes and make them operational, as well as to ensure coordination between the Oro Legal program and regional and national authorities.

**Incentives and opportunities for the miners and the government.**

The formalization process offers miners opportunities and incentives to become legal, which means, for them, to be able to sell gold at a better price. Thus, for the miners of Antioquia and Chocó, legalizing and formalizing the activity, followed by having better income and being better able to market gold, are the main motivators to enter the program.

The Oro Legal program states that in partnership with the Better Gold Initiative program of the Swiss government, it has been promoting the possibility of incorporating the supported UPMs into the Swiss initiative where they can obtain, in addition to a higher price for gold, a "prize" per kilo exported. The evaluation team had access to this information during the evaluation.

Additionally, the formalization process offers the miner greater ease in obtaining financing, access to certified training (diplomas) offered by the Ministry of Mines and Energy, and in avoiding prosecution by the authorities. In the Oro Legal program, they do not have to pay the cost of the documents required by regulations, and they can access the program’s advice regarding technical, mining, environmental and labor standards, which provide good motivation. For the government, it is an

<sup>47</sup> Whereby provisions are established for the marketing and use of mercury in the country’s different industrial activities, the requirements and incentives for its reduction and elimination are established, and other provisions are issued.

<sup>48</sup> Mineral smelting is the process or set of processes by which the ore and gangue are separated; it involves the separation, grinding, crushing, mixing, homogenization, washing and concentration of the exploited minerals for their later transformation and use. Transformation consists of changing the mechanical and chemical properties of the exploited mineral by means of an industrial process from which a product that is different from that found in its natural state is obtained.

<sup>49</sup> Interviews with Beatriz Duque, Legalization Leader, Oro Legal Program, and Guillermo Avendaño, Coordinator of the Northeast Mining Services Center.

opportunity to enforce the law, reduce environmental damage, and possibly (there are still no clear data on this) improve the collection of municipal and national taxes.

**Replication and scaling: There are opportunities for replicating and expanding the formalization process, particularly in terms of geographical and population expansion.**

Oro Legal is valued by miners in the departments in which it is being developed, and their main motivations for participating in the program is, according to the interviews, to be able to market the product more efficiently and avoid prosecution by the authorities for illegal mining.

Formalization as a state policy commits all institutions that regulate the sector, and it is understood as a process of continuous improvement directed to traditional communities that carry out their activities without mining titles, and to those that develop their mining rights with complete legal, technical, environmental, economic, labor and social informality. Mining formalization also improves the quality of life of small-scale and artisanal miners in the country.

The successful experience of Oro Legal, in which the generation of trust and the strengthening of the social fabric, such as the promotion and strengthening of relations between mining title-holders and informal miners, provide sufficient reason for replicating the process, despite the need to strengthen some pieces of the process that are fundamental for its sustainability, as discussed below. We believe that for the reasons described, the conditions exist for expanding and replicating the program in other mining departments or regions.

**Challenges and barriers**

The challenges faced by the replication and scaling of the process include the time for processing the documentation, the program's economic capacity, and the will of the mining title-holders. The challenges identified in the process are detailed below:

- 1. Time, cost and technical capacity for preparing and submitting the required documentation.** As the formalization process is designed, its expansion or replication will depend on the resources available for supporting the UPMs, if it is kept in mind that, as indicated at the beginning of this section, one of the barriers identified in the formalization process is the cost (in preparation time and resources) of the technical documents required by law – PTO and EIA. The situation is even more complicated because the miners face high barriers for accessing financing, which is why it is difficult to think that they can finance formalization on their own. The time required to process the documents is one administrative aspect to review because it puts at risk not only the fulfillment of the objectives but also the trust of the miners in the process.
- 2. Good will of mining title-holders.** It will be difficult to motivate and convince mining title-holders to become involved as essential actors in the process, because there are few free zones in Colombia.<sup>50</sup> It is thus necessary to continue with the actions that led to the Oro Legal program's achievements with some companies in Antioquia, where the stigma of small-scale mining as an illicit activity was broken. It is also necessary to provide security to the large companies that possess mining titles, and to generate trust in order to motivate them to participate in the mining regularization and formalization process.
- 3. Institutionalization.** In addition, two cross-cutting aspects need to be taken into account – first, the coordination with important regional entities and, second, the documentation of the process that is necessary to be able to learn from its errors and achievements.

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<sup>50</sup>Free areas: mining areas that have been released and on which interested parties may submit proposals for a concession contract. Decree 935 of 2013.

**Miners who did not join the program:** The reasons why some miners did not join the program include a lack of interest by mining title-holders, miners’ refusal to accept the title-holders’ conditions, and the location of some miners in Forest Reserve Areas.

In accordance with USAID’s recommendations, we investigated the reasons why some miners do not join the program. Oro Legal program officials stated three main reasons:

- (1) A lack of interest by mining title-holders in formalizing the UPMs located in the titled area;
- (2) The miners do not accept the contractual conditions established by the title-holder; and
- (3) The miners’ work areas are covered by Law 2 of 1959, which means that they are Forest Reserve Areas in which it is not possible to carry out mining activities,<sup>51</sup> as in the case of the La Amada and Vegas de Segovia UPMs located in Zaragoza, and the La Arenosa UPM in El Bagre. These reasons were corroborated in the six interviews conducted in the field.

**Table 6. Reasons and statements of the UPMs that did not join the Oro Legal program**

| Reason   | Statement  |
|--|--|
| Disinterest of the title-holder company          | “Well, they looked for me again after the first contract, they sent me another coverage and we returned to Oro Legal, and, well, you already heard Mr. Guillermo that Zandor Capital does not have much interest in this area because they don’t think that the value of this area is very attractive, so they say no. They don’t have much interest in really making a contract. They say that there is nothing in these parts, we continue to insist on the project.” UPM Fortuna Gold   |
| They do not accept the title-holder’s conditions | “Yes, look, we are performing contracts with the multinational Gran Colombia Gold, trying to perform the contracts because we haven’t finished them, we have tried to perform the contracts, but their table is not acceptable for us to work, so we started to work with Quintana on formalization. When he told us that their table was the same as that of Gran Colombia Gold, the negotiation stopped there. The table shows the percentages of gold recovery that is given in the shares, for the multinational as well as the mining unit to supplement the expenses and all of that, so the multinational Gran Colombia Gold is asking for a table that it too high.” UPM La Revelación |

There are also miners who did not become involved with the program due to a lack by them “as well as the Oro Legal program”.<sup>52</sup> They distanced themselves from each other and did not resume their relationship. Some miners argued that they have not received any notification from the program that they are not qualified or do not meet the requirements for being beneficiaries.

“Well, because he was in a meeting in Machuca, a meeting last year or the year before, something like that, and we were there talking about the mine, it was even about my mine, he promised to help us legalize the papers and ultimately he didn’t do it ... we called him again, we even went to Remedios to look for him, but the truth is that we never found him, so we didn’t do anything either.” UPM La Aparecida

The Oro Legal program met the expectations of the informal miners who gave positive ratings to the support received. The findings of the qualitative and quantitative information show that the activities carried out by the program promote responsible mining and the search for a balance between economic and environmental sustainability. There are also aspects for successfully expanding and replicating the program that should be reviewed and adjusted, such as the miners’ perception of the legal manner or route of formalization and the relationship between the company title-holders and informal miners

<sup>51</sup> The seven Forest Reserve Areas created by Law 2 of 1959 are oriented for the development of the forest economy and protection of the soil, water and wildlife. They are not protected areas. However, they include areas of the National System of Protected Areas (SINAP) and collective territories. See more at <http://www.minambiente.gov.co/index.php/component/content/article?id=914:plantilla-bosques-biodiversidad-y-servicios-ecosistematicos-58#reservas-forestales-establecidas-por-la-ley-2>.

<sup>52</sup> Interview with a mining company in Zaragoza that is not a beneficiary of the Oro Legal program.

It is also observed that the Oro Legal program is complying with the objective of including women in mining activities, in application of the gender-related public policies established in national and departmental development plans. All the municipalities have a minimum number of women beneficiaries, who constitute a significant workforce in the development of an activity that has historically been managed by men in the department of Antioquia.

#### **Q4 – REHABILITATION**

**ARE THE REFORESTATION AND REHABILITATION PROCESSES OF THE ORO LEGAL PROGRAM VIABLE AND SUSTAINABLE FROM THE PERSPECTIVE OF BENEFITS AND LOCAL GOVERNANCE? WHAT IS THE POTENTIAL FOR, AND WHAT ARE THE BARRIERS TO, THEIR REPLICATION AND SCALING?**

In its effort to improve the capacity of the Government of Colombia, the community and the private sector to confront the impact of illegal mining, the Oro Legal program has developed rehabilitation projects in areas degraded by mining in the departments of Antioquia and Chocó through the establishment of forest plantations. These processes are executed in a complementary and simultaneous manner with projects for the production of honey and the cultivation of annatto, respectively. To respond to this question, we will focus only on the component of rehabilitation of soils degraded by mining. The productive projects and value chains will be analyzed under the next evaluation question.



Degraded mining territories, Nechí, Antioquia.

#### **Rehabilitation in Chocó**

The rehabilitation process in Chocó begins with the identification of areas that have deteriorated from indiscriminate mining that has damaged the area and the environment. Once these areas are identified, the Oro Legal program enters into an agreement with the Community Council responsible for these areas. Under the agreement, the program commits to hiring community brigade members who are trained by the program, and who become the responsible parties to carry out the rehabilitation activities. The program pays the wages of the brigade members.

The brigade members identify native species, inventory trees, collect seeds, take care of their germination (in nurseries), demarcate sites or areas, and monitor the project. The process is

developed with a high degree of community participation, which generates appropriation of, and responsibility for, the process.<sup>53</sup>



Brigade members, rehabilitation of areas, San Isidro CC, Atrato, Chocó.

*“We as brigade members are responsible for carrying out the different interventions in the areas degraded by mining, as I told you before, reforestation in the type 1, type 2 and type 3 mines. What we are doing in the type 1 mines, which are the ones that require the intervention the most, we are establishing plants such as, for example, prendemono, better known as cork, cedar and other series of plants that are native to this region, which will surely produce in this area.”*  
Brigade members, San Isidro Community Council

*“I’m a brigade member, and I’ve received a lot of support on that brigade program, because I’ve received some personal benefits and it has been very useful for me.”* Brigade Leader, San Isidro Community Council

Resolving the environmental problem requires overcoming the problems of subsistence of the population. For this reason, the means-of-subsistence component is carried out through the cultivation of annatto under agreements between the program and the Community Councils. In accordance with one of these agreements,<sup>54</sup> the participants in the annatto project must have two hectares of land for cultivation, while the program provides training, plant material, inputs and tools, and finances part of the brigade members’ wages.

Brigade members and Community Council representatives stated that to plant annatto, they need “to cut down the forest.” It is important to evaluate the type of forest affected. Oro Legal states that this is limited to secondary forest.<sup>55</sup> The evaluation team cannot certify this, given that the technical work required in the referenced area goes beyond the scope of this evaluation.

*“Of course, let’s say that we have to clear bush, so we need wages, the payment of wages in order to hire the person to do the cultural work on the farm ...Annatto is a crop that is damaged by excess water. So we have had to abandon the historical planting area in order to try to establish crops in much higher areas. The work has multiplied because of that, because starting to cut forest trees is much harder than if we were doing it in the traditional cultivation area.”* Legal Representative, COCOMOPOCA Community Council

*“Some were weeds, others had already planted other crops before and therefore others that we had to cut down were virgin, in other words, they were not crops.”*

**Did someone clear bush?**

*“Yes, just a part that had never been worked on, so it was expanded.”*

**And did they evaluate that bush before cutting it down?**

*“Yes, because, as I’m telling you, before the producers began the work, the technicians went to all of the lots to look and measure, so they saw everything, when they went there they gave the approval.”*, Santo Domingo Community Council

<sup>53</sup> Manuel Rodriguez Palacio, María Enoc Mosquera and Miguel Palacio of the Villa Conto Community Council.

<sup>54</sup> The form was sent by the Oro Legal program, and it was not possible to access a signed agreement.

<sup>55</sup> The Constitutional Court, through Ruling T-622 of 2016, recognizes the Atrato River as a legal entity, with a view to guaranteeing its conservation and protection.

Although the process of rehabilitation with native species in Chocó is technically appropriate for achieving the objective of recovering areas degraded by mining, the fact that resolving the income-generation problem in Chocó requires cutting down forest is a point that needs to be resolved.<sup>56</sup>

**Rehabilitation in Antioquia: In Antioquia, the Oro Legal program is rehabilitating degraded areas with *Acacia mangium* through tripartite participation account contracts.**

The objective of the rehabilitation project with *Acacia mangium*, developed in Antioquia, has as its principal objective the recovery of soils degraded by illegal mining and, to the degree possible, to create a productive activity for commercial purposes. According to information from the Oro Legal program, these activities are being developed in the Bajo Cauca region, in the municipalities of Zaragoza, Nechí, Cáceres, El Bagre, Tarazá and Caucaasia.

In terms of the species selected, *Acacia mangium* is known based on the experience and testing-trials of other institutions and organizations in the territory that are working on the recovery of degraded soils. The benefits of the species for the recovery of degraded soils are well known.<sup>57</sup> The Deputy Director of the Oro Legal program, Miguel Molano, reported that tests were done with different species in BioREDD+ and, given the condition of the land, *Acacia mangium* has the greatest potential for germinating, growing and recovering the soil. The Oro Legal team reports they have photographic material that shows the positive change in soil conditions. The evaluation team is not familiar with this material and considers that documentation of the tests and results is required to evaluate the environmental impact of this species and thus facilitate replication or expansion of the project<sup>58</sup>.

With respect to the organization of the project, three actors are involved in its development: associations of beneficiaries, the owner of the land, and the operator or administrator. The Oro Legal program pays the wages of the beneficiaries who take care of the trees, and it provides plant material, training and technical advice on managing the crops.

In reviewing the documentation provided by Oro Legal and validating the information on the program's monitoring platform, we found only one signed and notarized contract between ASOGAUCA,<sup>59</sup> the organization that manages the project, the representative of the beneficiary families, and the owner of the land.

In analyzing this contract, we were able to determine that it does not explicitly state a minimum duration of the crop or the supervision of the reforested area, a fundamental indicator for measuring the restoration of the soil and recovery of the topsoil and the economic return of the project. *Acacia* is a species of rapid growth, although in order to recover soils degraded by mining a minimum of five years is needed to generate topsoil to a medium level, and between 15 and 20 years for this topsoil to become sufficiently strong.<sup>60</sup>

While the evaluation was performed only on the basis of this project executed by ASOGAUCA, in the *Prospectus for investment in the Acacia mangium wood project*, of May 2018, the Oro Legal program reports that the project "has benefited 588 families covered by seven agreements, which operate in four of the six municipalities in the region, with a coverage of 53 villages and an intervention in 218

<sup>56</sup> After the evaluation concluded, Oro Legal stated that their forestry expert in Choco is taking care to ensure that only secondary regrowth in family plots is cleared for annatto cultivation, and that no primary forest is impacted.

<sup>57</sup> Dayana Elizabeth Quiceno Mena. Effect of *Acacia mangium* Willd. and *Schizolobium parahyba* (Vell.) S.F. Blake plantings on the successional trajectory of the vegetation, in areas of surface mining exploitation. Universidad Nacional de Colombia, 2017.

<sup>58</sup> Oro Legal later clarified that the documentation of the environmental impact of the use of acacia for regeneration of degraded soils was done during the BIOREDD+ project and is documented as such in the Programmatic Environmental Assessment, where it was classified as a "potential issue with low risk"

<sup>59</sup> Association of Ranchers and Farmers of Bajo Cauca and Alto San Jorge, ASOGAUCA.

<sup>60</sup> [http://www.fao.org/fileadmin/user\\_upload/training\\_material/docs](http://www.fao.org/fileadmin/user_upload/training_material/docs)

properties. Its implementers are ASOGAUCA, Trópico Diverso, Fundación Mineros, AFROCLAVER, Reforestadora Zaragoza and the Vegas de Segovia Indigenous Reservation.”<sup>61</sup>

Thanks to information provided by the Secretary of Mines and the Environment, the evaluation team learned about the AFROCLAVER project, considered to be a great initiative and a good opportunity for the region due to its economic component. This official stated that the activities have been carried out in accordance with the designed plans, and that the combination of the Acacia and the beekeeping provides a viable economic outlet for these regions.

We also analyzed the Acacia rehabilitation project of the Vegas de Segovia Indigenous Reservation, with which the Oro Legal program is working in the municipality of Segovia. The beneficiaries have a favorable opinion of the program and consider it to be a good opportunity for the region. It should be mentioned that EVAL did not have access to the agreements signed for these two projects: the Oro Legal team states that these projects had not been completed at the time of the evaluation and therefore the preparation of the long-term agreements had not been initiated. In the case of AFROCLAVER, it was not possible to collect information about the beneficiaries because of security problems.

*“We received him well because he talked about USAID... so they proposed a reforestation project and an Oro Legal project ... We need several beneficiaries during the entire project, we need money to eat, especially groceries, we need health coverage, maybe you get sick and you need money to buy your drugs, and maybe after this project ends I will want us to continue with a longer project, with those little animals that bite, those wasps”. Chief of the Vegas de Segovia Indigenous Reservation*

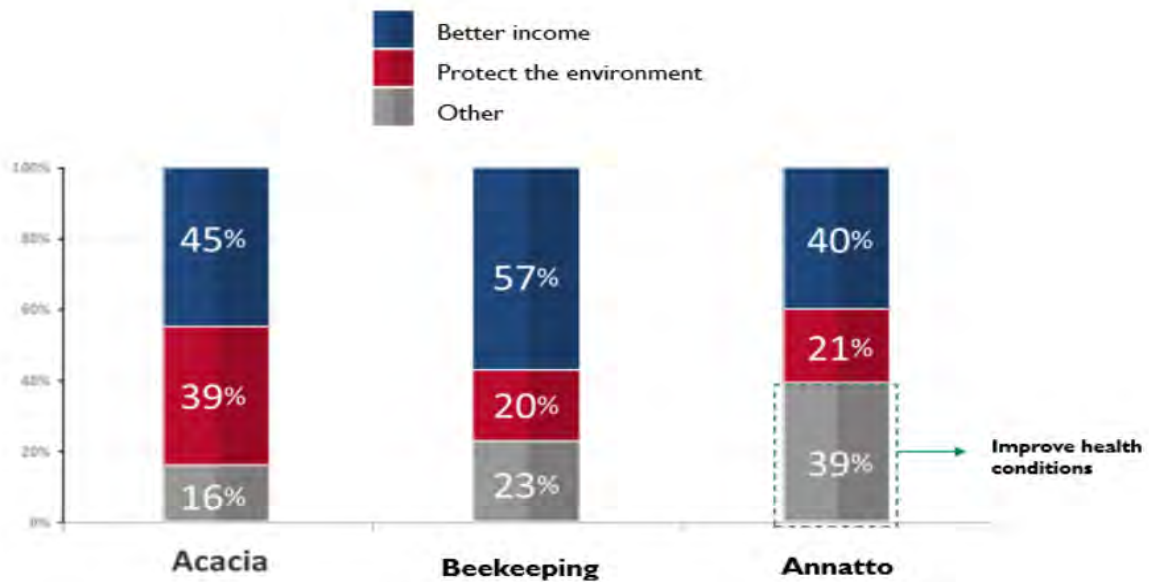
The Acacia mangium rehabilitation process in Antioquia is technically adequate for achieving the objective of recovering areas degraded by mining. The projects are developed with the involvement of the community and beneficiaries in the environmental recovery activities, which could contribute to alleviate the income generation problem by selling the Acacia, along with the production of honey. In terms of the organization of relationships among the parties involved in the rehabilitation with Acacia, there is a model agreement under which the parties have defined the roles and economic participation of each project participant.

### **Sustainability and scaling: The potential for, and barriers to, the replication and expansion of rehabilitation with native species in Chocó and Acacia in Antioquia.**

The analysis of the potential of, and barriers to, replication and expansion begins with the fact that the community’s reasons for participating in the annatto, Acacia and honey projects were income-generation and environmental protection. In the case of annatto, the percentage corresponding to “other reasons” refers mainly to “Improving health conditions.” The fact that this is one of the main motivators demonstrates the community’s great awareness of the environmental issue, which favors the possibility of replicating or scaling these projects.

<sup>61</sup> Oro Legal Program Product No. 4, May 25, 2018, Prospectus for investment in the Acacia mangium wood project, Presentation, May 25, 2018.

**Figure 14. What was your main motivation for participating in the activities of the Oro Legal program?**



Source: Interviews with beneficiaries of the Oro Legal program. Total surveys: 243

Although it was indicated above that this section would not discuss the productive and commercial parts of the rehabilitation processes, in order to analyze their potential for, and barriers to, replication and expansion, it is essential to consider their productive components in order to verify their sustainability.

The rehabilitation project is essentially focused on the reduction of environmental liabilities.<sup>62</sup> The objective of resolving environmental liabilities is being achieved, but replicating these projects as a business without subsidies and aid from the Oro Legal program would be a very difficult task, unlike with the case of the other two chains, as will be further seen in the section on Evaluation Question 5.

The rehabilitation with native species in Chocó does not show much prospect for generating an economic return. The benefit is one hundred percent environmental, and so its sustainability can be achieved only with existing environmental recovery funds or public resources. In the case of rehabilitation with Acacia, although it has economic possibilities because there is a market for the wood, it is a product that requires special conditions to be competitive in the markets, and the characteristics of the Antioquia region in which the project is being developed will make its profitability difficult, as discussed in the section on Evaluation Question 5.

Finally, it is necessary to involve state entities to achieve the sustainability of the rehabilitation projects after the end of the program. We recommend institutionalizing the relationship between Oro Legal and the mayor's offices, given the importance of interacting with local environmental authorities. Other essential local entities are the Autonomous Regional Corporations (CAR) because, together with local authorities, they are the coordinators of the Ministry of the Environment's National Plan for Ecological Restoration and Recovery of Degraded Areas (PNR).

<sup>62</sup> Environmental liabilities are facilities, effluents, emissions, and remains or waste deposits produced by currently abandoned or inactive mining operations, which constitute a permanent potential risk to the health of the population, the surrounding ecosystem and property.

## Q5 – VALUE CHAINS

WHAT ARE THE BENEFICIARIES' PERCEPTIONS OF, AND MOST IMPORTANT INCENTIVES FOR, DEVELOPING THE VALUE CHAINS AS A LAWFUL ECONOMIC ALTERNATIVE IN THE INTERVENTION ZONES OF THE ORO LEGAL PROGRAM? WHAT ARE THE PERSPECTIVES OF VALUE CHAIN PRODUCERS ON HOW THE ALTERNATIVE LIVELIHOODS OFFERED BY THE ORO LEGAL PROGRAM MAY AFFECT THEIR INCOME? WHAT IS THE MARKET POTENTIAL OF, AND WHAT ARE THE BARRIERS TO REPLICATING AND EXPANDING, THE HONEY AND ANNATTO PROCESSES? WHAT ARE THE COMPARATIVE COSTS AND PROFITS OF REMAINING IN AN EXISTING BUSINESS (ILLEGAL MINING) VERSUS LAWFUL ALTERNATIVES (LEGAL MINING OR PRODUCTIVE ACTIVITIES)?

In order to respond to Question 5, we will first analyze the commercial potential of the productive chains, and their scalability, replicability and main barriers. Then we will examine the beneficiaries' perceptions of the incentives, and we will evaluate, from their perspective, the support received from the Oro Legal program. Finally, we will analyze the beneficiaries' perceptions of their income and comparison between mining activities and the production of the goods promoted by the program.

The second objective of the Oro Legal program, to increase the capacities of the authorities, the community and the private sector to address the environmental degradation caused by unauthorized gold mining, is pursued through the development of three value chains: (1) the cultivation of annatto in Chocó; (2) the cultivation of Acacia in Antioquia;<sup>63</sup> and (3) the production of honey in Antioquia. These projects seek to recover the areas degraded by illegal mining and to offer an income-generating option for the populations involved.

Below is a summary of the value chains' potential, scalability, replicability and barriers.

**Table 7. Summary of the value chains' potential, scalability, replicability and barriers**

|                             | Honey   | Annatto   | Acacia Mangium  |
|-----------------------------|---|---|---|
| <b>Commercial potential</b> | High  | High  | Medium high   |
| <b>Scalability</b>          | High, but Oro Legal has not promoted marketing  | Unclear, depends on the tested technological package                                    | Low, due to the remote geography and transportation               |
| <b>Replicability</b>        | High in areas with suitable climate conditions and processes  | Unclear, depends on the tested technological package                                    | Medium, as a public program and not as a forest investment scheme |
| <b>Main barriers</b>        | Associativity; certification of quality and origin; systematization of knowledge (documented and formalized processes); private and institutional investments | Technology (standardized and tested), associativity, logistics, financing for machinery | Cash flow, logistics, lack of large investors                     |

<sup>63</sup> The Oro Legal program notes that it is not required in its contract to develop a value chain for Acacia.

## Honey Chain

The program works with associations in areas that have a certain geographical unity, which facilitates operating in a collective manner (for clustering the honey). The program started with prior actions that had been made in the area in apiculture promotion, drawing on previous experience with Africanized bees. Activities began with the initial identification of those who had worked in beekeeping and had apiaries. The organic stock (bees) was analyzed, as well as, the hives and the conditions for their feeding. From this diagnosis, various alternatives for work come out, with work units of 45 hives per beneficiary, and a goal, counting program-supported hives and other those of other participants, of reaching 20,000 hives in the region.<sup>64</sup>

This has the advantage of not starting from scratch in introducing a new activity to the region, but rather incorporating previous participants and at the same time taking advantage of the organizational structure in existence, so as to be able to establish the management of the operation, regionally, making possible for the future the use of a structure of managing public goods that could benefit all honey producers. This at a general level and now we turn to the offer to implement the program among the beneficiaries.

The program has developed the biological material in eight centers that serve as a place of training and learning for beneficiaries and especially for the technical staff, who represent the second level of the technical structure. These are professionals chosen from people in the community with a specified technical background who, during implementation of the Oro Legal program, are paid by Oro Legal to assist in and monitor the application of technical processes in the beneficiaries' farms to ensure the quality of the implementation. This technical assistance and training of local technicians is in turn complemented by formal training by SENA, which provides a basic course of 340 contact hours from which students graduate with the title of Entrepreneur in Beekeeping. This consists of 260 hours of techniques of managing the hives, combined with 80 hours focusing on aspects of business, including the determination of production costs, marketing, access to information sources, and other operations in the field. This theoretical course is complemented with field schools that are carried out largely in the eight research centers where the beehives are reproduced, and technical support for one year.

### **Commercial potential**

Although beekeeping generates different products, this evaluation is limited to the honey chain. The other products are complementary. Over the last ten years (2008-2017), international demand for honey has increased by 49%, with worldwide imports rising from 458,000 tons to 684,000 tons. Over the same period, the value of demand in dollars has increased by 83%, from \$1.271 billion to \$2.328 billion.<sup>65</sup> This larger percentage increase in value is due to a rise in prices, since the supply of natural honey has not grown at the same rate as the demand. The reason for this growth in demand is the use of honey as a replacement for sugar, due to the fact that sugar is a refined product that has been criticized for its harmful effects on health, while honey is an essentially natural, unmodified product.

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<sup>64</sup> For the detail of the inventory and work scenarios see: Conif. (Jul.22 2016). Technical preparation and viability of Oro Legal investments in rehabilitation projects of degraded areas and development of productive alternatives in the departments of Antioquia and Chocó. Deliverable No. 5. USAID, Oro Legal.

<sup>65</sup> United Nations.

The final result of these trends is that the growth in dollar value of the demand for honey went from USD \$ 1,271 million of global imports in 2008 to USD \$ 2,328 million in 2017, ten years later, with an increase of 83%, although in terms of quantity demanded, the growth in the period has been only 458,000 tons to 684,000 tons, that is to say a growth of 49.3%.

As a result, during the first decade of this century China increased production of honey that is adulterated with a mixture of its main ingredients (glucose and fructose), flavorings, and even pollen residues to make identification difficult. The principal markets, Europe and the United States, are developing mechanisms to accurately and inexpensively identify fake products. Importers, who are legally responsible for the quality and condition of the product, have sought the creation of stronger ties with exporters, as well as efficient mechanisms of traceability and monitoring. And as a consequence of the strong questioning of sugar and its substitutes, this trend of market growth is expected to continue.

The same thing is happening in the Colombian market. A large number of reports on the sector explicitly mention the mass falsification of honey, and some have argued that there is five times more unnatural honey in the market than natural honey.<sup>66</sup> The country does not have a culture of honey consumption, and so there is no efficient quality control by distributors or intermediaries. Despite the lack of certainty about the demand, the price has remained within the range of average international prices. The only caution that applies to the two markets is that the production must have certified traceability and processing schemes, in order to ensure purchases in the international market, as well as to ensure sales in the local market to institutional buyers at better prices and with more stable demand.

It can thus be concluded that the market is growing, prices are rising, this trend is expected to continue, and that ensuring the traceability of the process is necessary for entry into the domestic and international markets with competitive prices. The two conditions necessary for good productivity (the flowering of different plants throughout the year and a warm climate without too much rain) are exceptionally fulfilled in Bajo Cauca, with the consequence that some beneficiaries have been able to produce up to twice the national average amount of honey in a stable manner.

Finally, the size of the intervention at a national level is important. The 12,000 hives of the Oro Legal program represent between 10% and 15% of the domestic supply, which makes it an important regional production grouping. This will generate a critical mass of production, sales, and service requirements that will make it possible to specialize in the production of honey and its complementary products.

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<sup>66</sup> Andrés Ricardo Santamaría (Feb. 2009). Productive and commercial diagnosis of the beekeeping chain of Acción Social and UNODC illicit crop substitution and alternative development programs. UNODC and Acción Social, page 74. The author states that the local honey market in 2009 was 20,000 tons, of which 17,000 was fake honey.



Pilot Acacia and honey farm, Cauca, Antioquia.

The project has been implemented on a base of beneficiaries of a previous USAID program, BIOREDD+, with the Oro Legal program providing training in the field, complemented by training offered by the SENA, which uses the contents of the previous USAID program.

The training offered to honey and annatto beneficiaries by program experts is conducted on a pilot farm. Also, in order to strengthen local technical capacities, the associations involved in the project present candidates who will become the future technicians, which ensures that the knowledge will stay in the region.

### **Marketing:**

In terms of the value chain, the program’s officials argue that they are considering the marketing of honey from the region and that they have an agreement to purchase all of the honey from the beneficiaries of FODC<sup>67</sup> with the company Distriapícola del Valle. The evaluation team was not able to independently confirm this but believes that, given the increase in the supply of honey, it will be difficult to find a market, that so it is necessary to define and promote other marketing options: associations, cooperatives, quality certification and origin, region where the cluster of natural honey is located, among others<sup>68</sup>.

### **Barriers to scaling and replication: There are some barriers to be overcome for scaling and replicating the honey chain.**

The following is required to increase the likelihood of success in scaling and replicating the program:

- A. **Document all areas of the program’s experience.** Organizational, financial, training, technical aspects, etc., given that the program’s processes have not been documented and formalized, and there is total dependence on the knowledge of the technicians. Replication requires the systematization of knowledge.<sup>69</sup>
- B. **Involve private investors.** This means designing the association or partnership model for including local farmers in the project, helping to grow the resources as well as the quantity

<sup>67</sup> Fundación Oleoductos de Colombia.

<sup>68</sup> The Oro Legal project informed the evaluation team after the evaluation had concluded that they believe they have found buyers interested in purchasing the entire future production of honey from OL-supported honey associations.

<sup>69</sup> Oro Legal officials maintain that an evaluation has been conducted of 15 honey associations in Bajo Cauca. This evaluation, not made available to EVAL, should be shared as part of the documentation of the project.

of the local product, and including the training of private sector technicians in order to replicate the production technologies.

- C. **Promote institutional investment.** The prospectus with which the Oro Legal program has promoted the chains' different products is not clear about the type of investor desired or the link in the chain to be invested in. This lack of clarity is related to the lack of an institutional mechanism for addressing small producers in an integrated manner so that investments in the development of their production will be profitable. Also, the program can involve credit mechanisms for small producers (microcredit, leasing, etc.) in order to finance the production of honey, enable it to become independent of international aid, and allow it to be considered viable based on the program's data and results.

In short, replicating the beekeeping chain requires documenting the experience in its entirety, searching for mechanisms for the entry of other possible private investors of different sizes and, finally, searching for institutional and credit mechanisms for the promotion and expansion of the process.

### **Annatto Chain**

The production of annatto in Chocó faces special conditions. With the high levels of rain, this is a place where, instead of one crop a year, there may be two or three a year as the tree blooms with the cycles of rain. Moreover, annatto is a plant that has traditionally been grown and processed in Chocó at an essentially artisanal level. BioInnova has conducted research on the types of annatto produced and details more than 28 annatto variety in the region.<sup>70</sup> This advantage of having a biological diversity of the tree, and the possibility of having several harvests become an opportunity for the region but at the same time, a technical challenge because the humidity causes the panicle or outer shell, in its maturity to be relatively humid and that the separation of the seeds could not be solved with machinery brought from Peru.<sup>71</sup> At the same time the seeds in their maturity do not have the characteristics of humidity that in the other countries. The result is that when the seed is harvested it is required to dry or process it in a short time, according to the manager of Naranja Madura, a company that has a pilot test a machine that can solve this technical challenge<sup>72</sup>.

### **Commercial potential: Annatto is a natural colorant with growing domestic and international demand.**

Natural products have been gaining position in the world, particularly with regard to health issues. Foods, cosmetics and drugs, among other things, have artificial colorings that have been shown to have harmful effects on health. This has driven the consumption of natural colorants such as annatto. At an international level, the customs category that identifies natural colorants grew by around USD 800 million in 2008 to almost USD 1.6 billion in 2017 (100%). In Colombia, the importation of natural colorants grew from around USD 2 million to USD 12 million in the same period.

As in the case of honey, domestic and international demand has grown, and it appears that the supply has not reacted with the same speed. This unsatisfied demand could be filled by domestic production.

<sup>70</sup> Heidy Johana Mejía, Mena S.V, M.G. Torres (2014). Catálogo de variedades de Bixa Orellana y sus organismos asociados en el departamento de Chocó. Mimeo BioInnova. Officials of Oro Legal also state that the composition of the seed has a higher level of Bixin and norbixin than the Peruvian variety.

<sup>71</sup> In the interview with the manager of Naranja, Madura the issue was discussed of the failure of the machines imported from Peru to carry out the process described under the Peruvian conditions.

<sup>72</sup> After the evaluation, OL noted that they have been engaging with this company for over two years testing how to transform the annatto seed into Bixin/Norbixin.

As stated above, there are between 28 and 45 types of annatto in Colombia, particularly in Chocó. This has been a traditional product in the area, and its production has been promoted by projects such as the Productive Partnerships program of the Ministry of Agriculture. The Oro Legal program identified the Community Councils that had initiated that program, and it approached them about promoting annatto production again. The selected seed type is a native variety from Chocó. These seeds did not have a proven technological package, such that, according to Oro Legal officials, a new technological package was developed and adapted for the department's conditions. Documentation of this package was not shared with the evaluation team during the evaluation.<sup>73</sup>

The humidity, in turn, provides a competitive advantage, since the tree flowers during rainy seasons, and there can be two to three harvests per year, unlike the production in Peru and Brazil, two large international producers. This humidity also poses a technological challenge. Production in Peru, Brazil and Central America has a cycle in which there is a dry season after the flowering, making it possible for the seed capsules and the seeds to have a relatively low level of moisture. However, in Chocó, the capsules and the seeds mature with a high level of moisture.



Annatto cultivation, Cantón de San Pablo, Chocó.

The design of the technological package has been replicated and is being promoted among the beneficiaries through a field training plan that includes an element that is not included in the case of honey. Under this plan, the Oro Legal program pays the wages of the land tenants, as a mechanism for motivating them as beneficiaries, whose economic situation is precarious, to focus on the work required for the cultivation. The surveys of beneficiaries certify a good level of satisfaction and an important and permanent presence of control and advice by the program. The only complaint in this process is related to the amount of wages being paid, which is based on the production of *Acacia mangium*<sup>74</sup> under the conditions existing in Bajo Cauca, while the climate conditions in Chocó require additional wages for controlling weeds and performing other cultivation work.<sup>75</sup>

### **Marketing Potential**

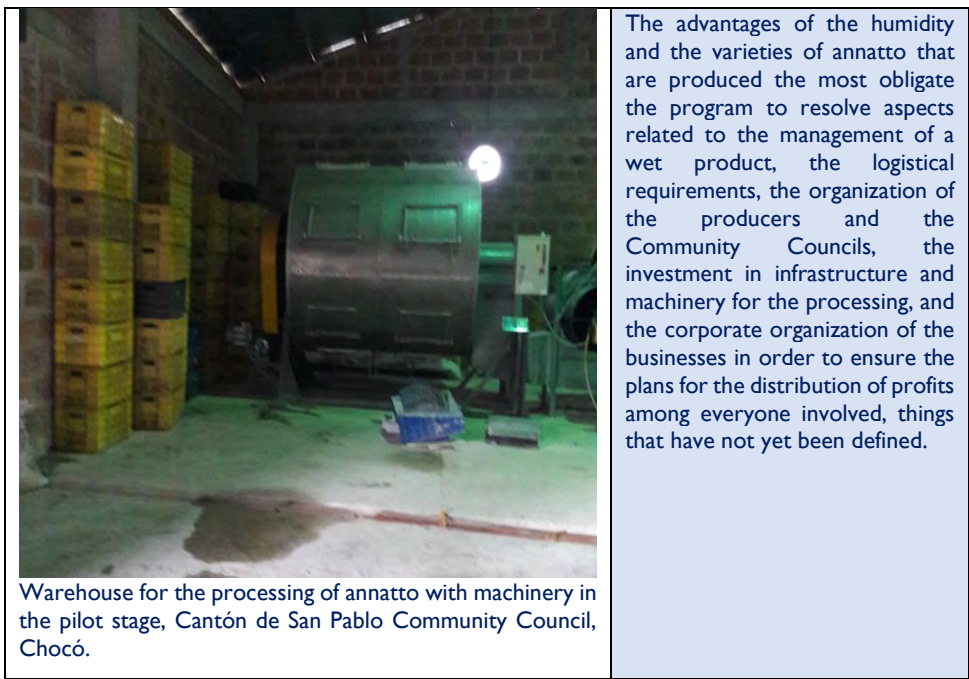
As mentioned above, despite the beneficiaries' good reception of the program, the work in the humid conditions of Chocó has generated some technical challenges that have yet to be resolved. The biggest challenges have occurred in the post-harvest period due to the department's climate conditions, which generate greater seed productivity as well as problems that are unknown in other

<sup>73</sup> There are no products with a technological package for the conditions in Chocó, as it has marginal agricultural production and is expected to remain in its natural condition.

<sup>74</sup> This was used as a reference because the achiote tree, from which annatto is derived, requires the same processes.

<sup>75</sup> In this respect, Oro Legal officials state that in WP FY 2019 the modification to all agreements is being considered.

places where annatto is produced. The first challenge is a technical one, consisting of the need for machinery that can separate the capsule from the seed in a humid climate. The program has been supporting the development of a machine that allows threshing the capsule while green and is adjusting the bixin extraction process from fresh seed. The second challenge is administrative, financial and logistical, consisting of the need to design a mechanism to enable the Community Councils, or whoever is in charge of the process, to finance the machinery, have a place and facilities in which to install and operate it, process the program participants' products and package them adequately for their transport within eight days, and hire transportation to the seed processing plant, which for now is Naranja Madura in Medellín.



Warehouse for the processing of annatto with machinery in the pilot stage, Cantón de San Pablo Community Council, Chocó.

The advantages of the humidity and the varieties of annatto that are produced the most obligate the program to resolve aspects related to the management of a wet product, the logistical requirements, the organization of the producers and the Community Councils, the investment in infrastructure and machinery for the processing, and the corporate organization of the businesses in order to ensure the plans for the distribution of profits among everyone involved, things that have not yet been defined.

There is also no standardized and tested industrial technology for processing wet seeds in the next phase of the process, which involves the removal of the basic ingredients (bixin and norbixin), and industrial tests are currently being performed. The prospectus for annatto investors mentions that 197 tons of annatto are expected for processing this year. According to the director of the Oro Legal program, an industrial test is being performed with the purchase and processing of 17 tons of annatto in order to design the entire process and to see the cost and operational results.

The results will reveal how much bixin and norbixin can be removed and at what cost, based on which the amount that will be paid to the farmers will be determined. The fact that there is currently only one company that is able to buy the annatto production for processing, if the mentioned technology works, creates a problem of market power, as it will be the only sales option for the farmers. The Oro Legal program will have to advise the producers about this process to prevent the purchaser from taking advantage of its monopoly status to set prices that are not advantageous for the farmers.<sup>76</sup>

<sup>76</sup> Oro Legal officials state that the program is designing a new company with the Community Councils as partners, so that the trading of seed is carried out through their own companies. The evaluation team was not aware of this information during the evaluation.



Annatto beneficiary, Chocó.

The organization of the business is not clear and has not been considered: how will the margins be distributed within the different chains so that the farmers see an option of at least two times the minimum monthly wage, the Community Councils can finance the processing, administration and logistics of the production, the documentation of origin, the management of the annatto, and the purchase of seeds from the farmers, and, finally, how will the purchasing company earn an adequate margin for its development?

The solution to these challenges depends on the viability of the chain. Therefore, the Oro Legal program should focus its efforts on designing alternatives to resolve all of the challenges mentioned, and to establish and test methodologies for ensuring the operation of all actors in the chain. This in turn raises the question of whether the program's two remaining years will be sufficient for administratively and financially consolidating the Community Councils and resolving the rest of the aforementioned unknowns. Many factors need to be resolved, but they all go through the first productive solution, and then the commercial and organizational solution, to the annatto process. The program should look at the Naranja Madura alternative as well as other options<sup>77</sup> that are being developed in order to broaden the demand for annatto.

Therefore, the scalability of the agricultural production process can be discussed only when there is a clear technological package, and time will be required to define and manage a standard technological package with the productive risks found with the program's crops.

<sup>77</sup> Dr. Mabel Gisela Torres, who is working with annatto in Fundación Biolnova, has a processing machine that is undergoing laboratory tests, and Miguel Molano, Deputy Director of the Oro Legal program, has said similar things about the process carried out by Naranja Madura. The purpose is to process wet seed, include an organic solvent that will accelerate the process and remove the bixin and norbixin, thereby reducing the moisture of the result until the mixture has a composition of at least 30% of the active ingredients.

Under current conditions, the chain will not be sustainable until all technical and organizational unknowns throughout the chain are resolved, and the program must immediately focus its attention on resolving them. The documentation of the process with its achievements and errors will be the basis for the program's sustainability, and particularly the viability of replication in other places.

*“Of course, we are creating great expectations, the communities, 200 hectares of annatto, 100 family producers, the idea and what we have sold to people is that we are going to achieve the marketing [...] but one of the production bottlenecks for generating production on this scale has been the marketing, which has been the risk there, that we won't be able to meet those expectations regarding the cultivation and the marketing.”* Legal Representative of the COCOMOPOCA Community Council

## Acacia mangium chain

There are many differences in the forestry value chain in comparison to the two already analyzed. The first is its purpose. Rather than a direct and immediate source of income, the purpose of the value chain is to serve as a mechanism to rehabilitate areas designated by landowners who have seen part of their land harmed by illegal mining. Therefore, added to the initial objective is sustainability for the families that work the lands in this area. The second difference is that the productive processes in the forestry sector are infinitely larger and more concentrated than that of the other two chains.

Another significant difference is that while honey has economic results after four to six months and annatto after two years, in the forestry case there is a first partial result only after five years with the culling, after seven years in a limited way and only after 10 years in which one has the final harvest. This implies that it is an activity for a long-term investor, and therefore the presence of pension investment funds in investments in the sector, although small producers in many cases are involved in these investments when there is a large presence of other producers in the locality and the anchor company promotes the purchase of the generic material.

### **Commercial potential: There is wide demand for Colombian wood, and this represents an opportunity for the beneficiaries and landowners.**

According to a World Bank study, there is currently a deficit in Colombia of around 1.5 million cubic meters of wood, which is projected to grow in the future unless there are large investments in the sector. That study concludes that at least 150,000 hectares are currently required to cover the demand for 2030. Colombia imports 30% of its wood needs, bearing in mind that a significant amount of solid wood for construction and furniture is provided illegally from natural forests and is not accounted for here.<sup>78</sup>

Regional specialization is basic in this sector, requiring technical and transport logistics that only a significant and concentrated demand can generate, without direct aid from the State. This is not the case with the Oro Legal program, since its objective goes beyond the viability of the business. On the one hand, the intervention territories have been affected by illegal mining, and therefore land values are lower than they would be without this history. As such, the offer to the landowner is that in exchange for his investment in leveling the land, the project will invest in plant material, technical assistance and labor (the payment of wages to the neighboring community). The results in 12 years

<sup>78</sup> World Bank (2016). Current situation and future potentials of commercial forest plantations in Colombia, p.16.

will be distributed in participation accounts to the landowner (70%) and the community (30%). The mechanism works, and many of the participants in the program value the technical assistance and payment of their wages.

**Barrier: The program has no cash flow that can prove to investors that it is viable in the long term.**

It is important to keep in mind that capital is required to be able to replicate and expand the program, and that the timber business is generally financed by large investors looking for long-term returns, and small and medium investors around a large processor's plantation, which provides them with technical advice and guarantees their purchase.

The program does not have the cash flow that would prove to investors that it is viable in the long term, inasmuch as the business prospectus was prepared this year and it is based on assumptions that are difficult to sustain over the long term. The project is viable to the extent that it is addressed as an option for improving the land and for the possible receipt of future income.

As stated above, the Acacia project has great value if it is proposed as a project that is essentially focused on reducing environmental liabilities. There are difficulties with the project as a private business, all of which are related to its geographic location, since it is being carried out in remote places where transportation is very important, and in areas that do not have large investors (although they exist in the region) or experts who can improve the project's efficiency or productivity. The project is achieving its objectives in terms of the resolution of environmental liabilities, but as a business without subsidies and assistance from the Oro Legal program, its replication would be very complex, which is not true of the other two sectors.

**The beneficiaries' satisfaction with Oro Legal's contributions in all of the chains**

The training and technical assistance have been well-received by the beneficiaries. The delivery and reproduction of the hives, in terms of their physical and organic characteristics, has been adequate, based on the favorable opinion of the beneficiaries, and so significant growth in the supply of honey in the short term is expected.

*"We have learned a lot, as I was saying before...but we didn't specifically know before ...we were in a bad situation, we lost a lot, but now with the Oro Legal process they have taught us, and what they have taught us is working for us, I mean, to be able to multiply quickly ..."* Antioquia, CARBEIBAS Beekeeping Chain

*"..ah, that's another thing, because of the program we have the support of a technician, a beekeeping technician that is attentive and goes with us to the apiary, making sure that the hives don't get weak, that the hives don't swarm, that the queens produce, that there is no lack of food. In other words, the project has had very good assistance, and it has been very good for me."* Antioquia, ASOCOR Beekeeping Chain

These feelings are reflected in the high percentages of satisfaction with various aspects of Oro Legal's training and advice.

**Figure 15. Beneficiaries' satisfaction with Oro Legal's beekeeping contributions**



In the cases of Acacia and annatto, the percentage of satisfied beneficiaries is high, and most have expressed a positive opinion of the program. The rates of satisfaction are not as high as in the case of beekeeping.

**Figure 16. Beneficiaries' satisfaction with Oro Legal's Acacia contributions**



**Figure 17. Beneficiaries' satisfaction with Oro Legal's annatto contributions**



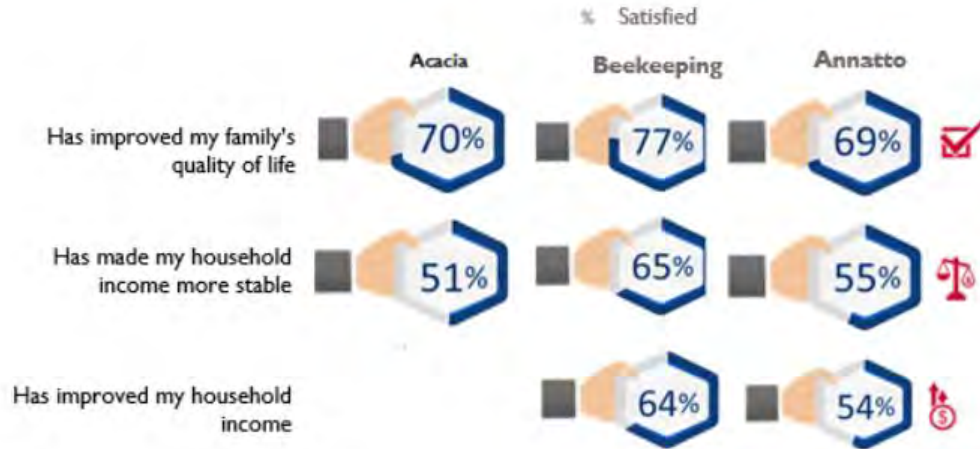
**Beneficiaries' perception of, and incentives and support for, the production of annatto, honey and Acacia as economic alternatives.**

The responses given with respect to the different sectors are, with some nuances, similar. Before presenting the results, we should note that the activities are not mutually exclusive. It is possible to participate in one of the programs and to continue depending significantly on income from mining work. Moreover, once the activities are well established, honey requires only two days of work per month, annatto requires three days per week, and Acacia requires work only in the first year, so it is normal to complement the project's work with income-generating activities.

The main reason given by the respondents in the different sectors for participating in the Oro Legal program is improvement in income (40% annatto, 45% Acacia and 57% beekeeping). There was no consistent response among the beneficiaries in the three sectors regarding the most important reason for joining the program that ranked in second place – for beekeeping and Acacia it is to improve the environment (39% and 20%, respectively), and for annatto it is to more easily market the product and, ultimately, ensure that the improvement in income is permanent. The survey also asked the respondents about what they saw as *their* second most important reason, which for annatto is income (31%), and for the other two sectors is improving the environment (42% beekeeping, 37% Acacia).

There is a very positive perception reflected by improved future expectations. Thus, 69% of annatto beneficiaries stated that the Oro Legal program has improved their quality of life, and 54% stated that their income has improved. In the case of honey, 77% of the beneficiaries stated that the program has improved their quality of life, and 64% said that it has improved their income. In the case of Acacia, 70% stated that the program has improved their quality of life. The results are shown below:

**Figure 18. Beneficiaries' satisfaction regarding their quality of life and income**



It can be concluded from the foregoing that improving income is the main reason and incentive for joining the Oro Legal program, and it is the basis for the beneficiaries' expectations.

**The beneficiaries' perception of how the alternative livelihoods offered by the Oro Legal program can affect their income.**

The Oro Legal program offers two income-generating mechanisms for the beneficiaries. The first, which is short-term and applicable to the Acacia and annatto beneficiaries, consists of the payment of wages for the work performed in caring for the crops. The second, a medium-term mechanism, consists of the returns from their work, and takes around six months for the honey beneficiaries, at least two years in the case of annatto, and 7-12 years for Acacia mangium. It is important take this into account when analyzing the responses of the surveyed beneficiaries, since most of them should be responding on the basis of the wages that they receive.

In any case, the families' incomes are quite precarious, since 82% of the families receive less than the minimum wage, despite the fact that the average household is made up of around five people. This is accentuated in the case of Chocó (annatto), where 71% of households earn less than COP 300,000, and 90% earn less than the minimum wage, despite being similar in size. In other words, although the families have not received income from the sale of their products, the program has improved their economic situation by paying wages that are representative of the incomes mentioned. The problem will arise when the program ends and the income from wages is no longer available.

For now, it is not known what the income from the sale of honey, annatto or Acacia will be, and the project should develop these estimates further to be able to respond to this planning question<sup>79</sup>.

**Comparative costs, income and profits of remaining in the current business (illegal mining) versus lawful alternatives (legal mining and productive activities).**

<sup>79</sup> Post-evaluation, the Oro Legal program maintained that the Project does have estimates for future sales of honey and annatto, with actual sales already generated in the case of honey.

The theory of why people get involved in crimes is based on the probability of obtaining a possible reward from an illegal activity, minus the costs and probability of being caught, plus the possibility of income alternatives, minus their cost.<sup>80</sup>

This calculation may include the probability of having other sources of income and the expected income from those sources, as well as an assessment of how close in time the illegal income will be received versus the time for receiving income from alternative agricultural activities.

Apart from the difficulty of creating a model that includes different income alternatives, there are two additional problems – the lack of reliable and representative statistics on the income from illegal activities, and the lack of inclusion of other elements, such as an assessment of the “tranquility” of avoiding the problems of illegality, or on the contrary, the pressure of not having other sources of income, or simply an assessment of the possibility of taking advantage of the opportunity represented by the presence of a dredger in the locality, which offers the option of receiving unexpected and unplanned income, and does not exclude the performance of the alternative activity (honey, annatto and Acacia).

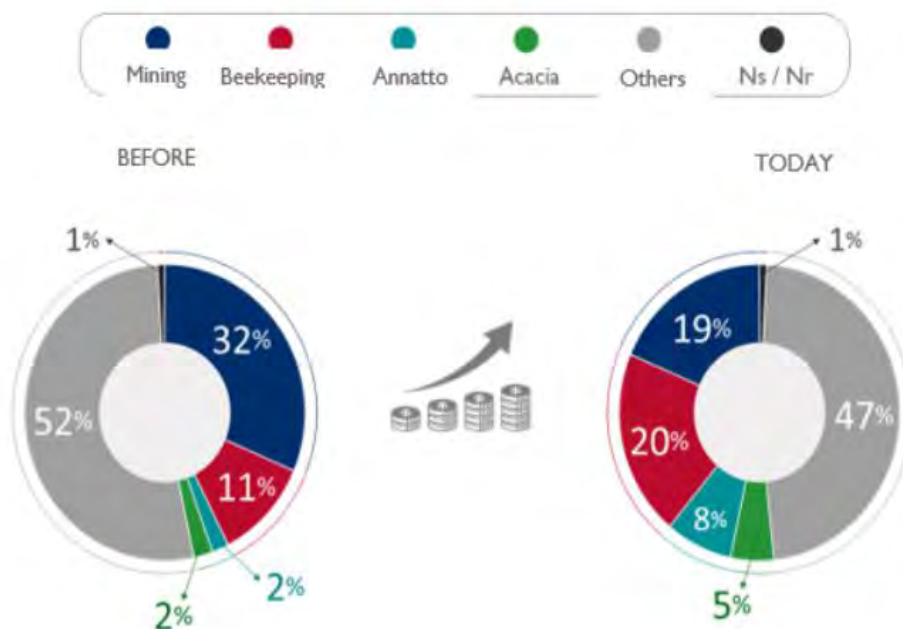
In practical terms, the beneficiaries see that the mining and agricultural activities are not mutually exclusive and, therefore, an allocation of time between the two activities (if viable) is necessary in order to provide a theoretical response to the question. The table below summarizes the answers given by the respondents to the question about which of the activities represented a source of income, both before the program and today: before, 45% of the participants had income from at least two activities, and today this figure is 55%. There has also been a rearrangement of the income-generating activities.

It should be mentioned that the survey included other indicative questions, such as “What were the main income-generating activities for the household before the program?” and “What are these activities after participating in the Oro Legal program?” In terms of the beneficiaries of the three programs as a group, the main sources before joining the program were a variety of agricultural activities (52%), followed by mining activities (32%) and beekeeping (11%). The main activity today is agriculture (47%), followed by beekeeping (20%), mining (19%) and annatto (8%). While the agricultural activities have remained relatively stable as a percentage of income, the number of beneficiaries who receive income from beekeeping has doubled, the number who receive income from annatto has quadrupled, and the number who receive income from Acacia has doubled. This is despite the fact that a large number of beneficiaries have not received income from the sale of products generated by the program.

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<sup>80</sup> A large part of the work on the illegal economy was performed by Gary Becker, who was awarded the Nobel Prize in Economics in 1992. There are simple versions; see Ana María Cerro's presentation on the Economic Analysis of Criminal Law, retrieved from [http://www.aep.org.ar/anales/download/2015/Cerro\\_AAEP2015.pdf](http://www.aep.org.ar/anales/download/2015/Cerro_AAEP2015.pdf), and documents compiled from the literature, such as Iñigo Ortiz (2015), Economic Analysis of Crime, *Economía Industrial*, No. 398 (pp. 55-64); Leonardo Raffo (2011), The Economic Theory of Illegal Goods: a review of the literature; *Society and Economics* No. 20 (pp. 291-311).

**Figure 88. Income-generating activities before Oro Legal and today**



This is evidenced by the following results: the beekeeping, annatto and Acacia beneficiaries increased their income by an average of 9%, with the beekeeping beneficiaries having the largest increase (14%) and the Acacia beneficiaries the smallest (5%). The beekeeping data is very interesting; even though it is the only chain in which the Oro Legal program does not pay wages, there is greater certainty about the income that it generates. Also, with regard to the question about whether the main economic activity of the family was related to beekeeping before the arrival of the Oro Legal program, it was found that 57% of the beekeeping beneficiaries surveyed were new to this activity.

Thus, there is a new order in the income-generating options for the beneficiaries of the Oro Legal program's chains, but in the absence of certainty about the magnitude of the income obtained from illegal and legal activities, it is not possible to make an accurate comparative analysis.

## CONCLUSIONS AND RECOMMENDATIONS

This chapter presents the conclusions and recommendations of the mid-term evaluation of the artisanal gold mining program: considerations for its sustainability and replicability, conducted between March and July 2018.

| CONCLUSIONS  | RECOMMENDATIONS  |
|--|--|
| <b>I PEACE AND GOVERNANCE</b>  |  |
| <p><b>What are the contributions of the Oro Legal program to sustainable rural development in support of the objective of the mission’s Country Development Cooperation Strategy (CDCS) and the peace agreements of the Government of Colombia and the FARC (pursuant to Chapter 1 on Sustainable Rural Development and Chapter 4 on illicit crops) in its target geographic area?</b></p> <p><b>To what extent is the Oro Legal program achieving its objectives of strengthening mining and environmental governance and policy in Colombia?</b></p>   |  |
| <b>C I.1 Contribution to the objectives of the CDCS and the Peace Agreement</b>  | <b>R I.1 Actions for replication in other areas</b>  |
| <p>The Oro Legal Program contributes to the development of projects that seek to enhance the capacities of the authorities, the community and the private sector to address the environmental degradation caused by illegal mining, such as the cultivation of annatto in Chocó, and the production of honey and the cultivation of acacia in Antioquia.</p> <p>In addition, the development of these projects in areas in which illicit crops are grown clearly constitutes support for Strategic Objectives 3 and 4 of USAID’s strategic plan (CDCS), and Chapters 1 and 4 of the Peace Agreement.</p> | <ol style="list-style-type: none"> <li>1. Identify other mining areas in the country in which the formalization program can be replicated.</li> <li>2. Identify the agrological conditions of these regions in order to define the crops to be promoted, and thereby achieve the results of rehabilitation of areas degraded by mining and income-generating alternatives for the communities in these areas, as the Oro Legal program has been doing.</li> <li>3. Implement future projects based on the experience acquired in the development of the annatto crops and the production of honey in Chocó and Antioquia, respectively.</li> </ol> |
| <b>C I.2 Some institutional relationships are weak</b>   | <b>R I.2 Actions for strengthening institutional relationships</b>   |
| <p>Colombia’s institutional mining organization is complex, which makes establishing strong institutional relationships with all government entities difficult. The Oro Legal program has worked to establish contacts</p>   | <p>The following is recommended to achieve more efficient relationships with the mining and environmental authorities in the intervention</p>  |

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| <p>and relationships with different national and regional public sector entities. The level of relations has not been successful in all cases.</p> <p>The experience and knowledge of the Oro Legal program can be transferred to the mining and environmental entities for future replication or expansion.</p>                                | <p>areas, and even to be able to develop joint projects with them:</p> <ol style="list-style-type: none"> <li>1. Make a list of entities, describing each one's level of importance for the sustainability and replication of the projects.</li> <li>2. Map the institutions in the environmental and mining sector and assess the importance of each one in the development of the current projects and their replication and expansion.</li> <li>3. With this mapping, prioritize the entities that are most relevant for the success of the program and its replication and expansion.</li> <li>4. Structure and implement a relationship strategy for each entity, defining objectives, times and responsible parties, and emphasizing the training and strengthening schemes.</li> </ol> |
| <p><b>C 1.3 Generation of relationships that did not previously exist under the law</b></p>   | <p><b>R 1.3 Expansion of the program in other municipalities in Antioquia and replication in other mining areas of the country</b></p>  |
| <p>Interventions such those of the Oro Legal program bring informal miners closer to formality and compliance with the law and help to generate agreements with title-holding miners with whom there have been conflict, which contributes to the strengthening of governance of the mining sector.</p>   | <p>It is recommended that the program be replicated in other territories of the country after an analysis of the country's different mining regions, including Bolivar.</p>   |
| <p><b>2 MINING FORMALIZATION</b></p>  |   |
| <p><b>Do the formalization activities of the Oro Legal program promote responsible mining? What are the barriers to, and incentives for, this process? If it is successful, what are the opportunities and challenges for its replication and scaling? One of the factors that should be addressed for this question is land ownership.</b></p> |   |
| <p><b>C 2.1 Improved governance</b></p>   |   |
| <p>The formalization model implemented in Antioquia strengthens governance in the department, since it helps to resolve conflict between miners and title holders. The model implemented in Chocó enhances informal</p>   |   |

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| <p>miners' relations with public institutions and their compliance with mining law. In both cases, the model applied promotes a culture of legality, which is so necessary in these territories.</p>  |   |
| <p><b>C 2.2 Recognition of the Oro Legal program's contributions to the preparation of technical documents</b></p>  | <p><b>R 2.2 Preparation and financing of technical documents<sup>81</sup></b></p>   |
| <p>The beneficiaries value the contributions of the Oro Legal program in supporting the development technical documents required for formalization.</p>   | <ol style="list-style-type: none"> <li>1. The Oro Legal program's experiences should be used for presenting the national government with a public policy proposal for the differentiation of standards based on the size or impact of the mining activities.</li> <li>2. Proposals should be made to national and departmental mining authorities for supporting UPM miners with incubator projects, modern processing plants and/or the creation of a fund for financing the process.</li> <li>3. A transition mechanism should be designed for financing the replication and expansion process (in an ever-decreasing proportion), accompanied by a communication strategy for disseminating information about successful cases of formalized companies so as to motivate the UPMs to assume these costs.</li> <li>4. The financing of the preparation of these documents once the program ends should be undertaken with public entities, international cooperation organizations, and even with the mining title-holders themselves.</li> </ol> |
| <p><b>C 2.3 Dissatisfaction with the agreements</b></p>   | <p><b>R 2.3 Actions for avoiding dissatisfaction</b></p>  |
| <p>In the formalization process, the Oro Legal program raises awareness and establishes relationships between title-holding miners and informal miners. In addition, it provides training to both parties on the different forms of formalization under the law.</p> <p>In order to maintain its neutrality, the Oro Legal program does not get involved in the agreements signed by the two parties.</p> | <p>In order to avoid this dissatisfaction, the Oro Legal program should continue to prepare the miners for formalization (different from the technical aspects), as follows:</p> <ol style="list-style-type: none"> <li>1. Continue advising the miners on the different routes of formalization that are viable and recommended based on the region.</li> <li>2. Maintain the neutrality of the program, design new training and assistance plans that seek to continue reinforcing the advantages of</li> </ol>   |

<sup>81</sup> After the evaluation concluded, Oro Legal maintained that all these actions are currently being carried out.

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| <p>Some UPMs in Antioquia are dissatisfied with the conditions defined in their agreements with mining title-holders, putting the continuity of the agreements at risk.</p>   | <p>formalization, and at the same time develop communication strategies that can help to make informal miners feel satisfied with the route chosen for their formalization.</p> <ol style="list-style-type: none"> <li>3. Once the route has been defined, continue with training and assistance, so that the miners take ownership of the agreement, feel that they are part of it, and are not being excluded or simply obligated to comply with a decision that they did not make. This will encourage the UPMs to own the process and will enhance the likelihood that the process will be sustainable and endure.</li> </ol>                             |
| <p><b>C 2.4 Support for the elimination of mercury</b></p> <p>Through training and technical assistance, the Oro Legal program supports the miners in good mining practices and the giving up of mercury.</p> <p>In addition, it is important to continue to disseminate information and initiate further training for authorities who are responsible for supervision in order to achieve Zero Mercury in mining activities.</p> | <p><b>R 2.4 Institutional strengthening</b></p> <ol style="list-style-type: none"> <li>1. The Oro Legal program should continue supporting and offering technical assistance to the miners on good practices and the non-use of mercury in their activities.</li> <li>2. The Oro Legal program should design and implement a strategy for training and assisting the authorities to help with in the implementation and monitoring of the Mercury Law.</li> <li>3. The program should attempt to secure financing for non-mercury processing plants that employ modern technologies.</li> </ol>   |
| <p><b>C 2.5 Technical and environmental aspects of formalization</b></p> <p>The UPMs visited (Barbosa, Remedios and Buriticá) are implementing good mining practices.</p> <p>The environmental and technical effects of the formalization of the UPM beneficiaries cannot be quantified because the evaluation team did not know about the relevant baseline measurements.</p>  | <p><b>R 2.5 Implementation, measurement and documentation</b></p> <p>In order for the Oro Legal program's support to generate a positive effect on the UPMs and the environment beyond the preparation of legal documents, it should continue with the process of implementing the requirements established in the technical documents, take measurements of their effects, and document the results (within the time frame of the project), so as to be able to properly replicate the program in other mining territories in the country.</p> <p>In this regard, it is evident that OL is not limited to the preparation of legal documents. It carries</p> |

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|  | out significant technical assistance to implement best environmental practices in mining.  |
| <b>C 2.6 Training platform</b>   | <b>R 2.6 Implementation of virtual training</b>  |
| The virtual training platform is an innovative element of the program that can serve to train many miners on good mining practices.  | To maximize the objective of training miners virtually, it is important to define and implement a virtual training strategy that, in addition to the platform, defines: <ol style="list-style-type: none"> <li>1. The platform administrator once the program is over;</li> <li>2. A strategy for enrollment and ongoing support in the first efforts to use the platform<sup>82</sup>;</li> <li>3. Inclusion of an in-person training component to accompany the virtual training;</li> <li>4. Testing of other training schemes, such as seminars, forums, chats, etc., to determine the best options based on the characteristics of the population.</li> </ol> |
| <b>C 2.7 Administrative aspects of formalization</b>   | <b>R 2.7 Make a map of the formalization process</b>   |
| The Oro Legal program manages a significant number of PTOs and EIAs simultaneously.<br><br>Organizing the necessary information and documents takes time and resources. But if there is no capacity for timely responding to the mining authorities' requests or requirements once the documents have been submitted to them, the process will take more time and, more seriously, it will not help to improve informal miners' perception of the authorities. | Oro Legal should map the steps and processing times of the program's formalization process and, based on the results, make the necessary adjustments. This information will serve as an input for the public policy proposal to be presented to the government.  |
| <b>3 ENVIRONMENTAL REHABILITATION</b>  |  |
| <b>Are the reforestation and rehabilitation models of the Oro Legal program viable and sustainable from the perspective of benefits and local governance? What is the potential for, and what are the barriers to, their replication and scaling?</b>  |  |
| <b>C 3.1 Reduction of environmental liabilities</b>  | <b>R 3.1 Define a sustainability strategy</b>  |

<sup>82</sup> After the evaluation concluded, the Oro Legal program stated that this strategy has already been formulated.

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| <p>The projects for rehabilitation with native species in Chocó and with acacia in Antioquia have great environmental value, as they reclaim areas degraded by mining.</p> <p>They are thus focused on the reduction of environmental liabilities, which makes their replication difficult if there are no subsidies or other aid schemes from the program.</p>                    | <p>A strategy should be defined to ensure the sustainability of these crops once the Oro Legal program ends its activities. This strategy should involve:</p> <ol style="list-style-type: none"> <li>1. Evaluating the recovery of the ecosystems, which involves analyzing environmental indicators and conducting periodic monitoring for achieving environmental results.</li> <li>2. Training local beneficiaries on monitoring the areas of intervention.</li> <li>3. Defining a long-term strategy for obtaining financial resources to ensure the sustainability and expansion of the projects after Oro Legal ends.</li> </ol> |
| <p><b>C 3.2 Raise awareness about the rehabilitation work</b></p>  | <p><b>R 3.2 Documentation for replication</b></p>  |
| <p>Involving members of the community (brigade members) in the rehabilitation activities is a fundamental factor for the continuity of the process. The communities not only receive income, but also learn about native species and about the benefits of preserving them.</p>  | <p>The scheme should be replicated, and the experience should be documented in order to do so properly.</p>  |
| <p><b>C 3.3 Annatto Project</b></p>  | <p><b>R 3.3 Adjust the requirements</b></p>  |
| <p>The process of rehabilitating areas degraded by mining in Chocó is being complemented by productive development and income-generating projects, such as the cultivation of annatto.</p> <p>On the field visits it was determined that the beneficiaries, in their efforts to comply with the requirements of the productive projects, are damaging the natural environment.</p> | <p>The following is recommended for defining the business model:</p> <ol style="list-style-type: none"> <li>1. Conduct an evaluation of the Annatto Project strategy focusing on economic and environmental issues to determine, based on its results, whether the strategy should be adjusted. ;</li> <li>2. This assessment will provide the basis for determining whether the requirements need to be adjusted.</li> </ol>  |
| <p><b>C 3.4 Acacia Project: adjustments and commitments</b></p>  | <p><b>R 3.4 Adjustment of commitments and measurement</b></p>  |
| <p>The acacia project being developed in Antioquia has great environmental value because it allows for the recovery of areas degraded by mining. Although there is a large market for acacia with significant commercial value, the conditions in the project's area</p>   | <p>The following is recommended for achieving the sustainability, replication and expansion of this project:</p> <ol style="list-style-type: none"> <li>1. Adjust the commitments established in the participation account contracts in order to</li> </ol>  |

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| <p>reduce the competitiveness of the product. In addition, the agreements defined by the three participating parties are not clear about the commitments related to the length of time required for the crops in order to achieve the desired effects and thereby present the project as having great environmental value.</p>  | <p>obligate the parties to maintain the crops for the required number of years and to achieve measurable effects on the recovery of degraded lands.</p> <ol style="list-style-type: none"> <li>2. In order to be able to obtain funds and sustain or expand the project, periodic measurements should be made of the process for the recovery of land, and water sources, etc., to be presented to environmental investment funds.</li> </ol>   |
| <p><b>4 VALUE CHAINS</b></p>  |   |
| <p><b>What are the beneficiaries' perceptions of, and most important incentives for, developing the value chains as a lawful economic alternative in the intervention zones of the Oro Legal program? What are the perspectives of value chain producers on how the alternative livelihoods offered by the Oro Legal program may affect their income? What is the market potential of, and what are the barriers to replicating and expanding, the honey and annatto models? What are the comparative costs and profits of remaining in an existing business (illegal mining) versus lawful alternatives (legal mining or productive activities)?</b></p> |   |
| <p><b>C 4.1 Focus on aspects other than productive aspects</b></p>  | <p><b>R 4.1 Strengthen sales and marketing</b></p>  |
| <p>With the value chain projects, the Oro Legal program has focused on defining the productive component through direct investment, training and technical assistance. Now, at the half-way point of the project more emphasis should be placed on entrepreneurial aspects, such as the organizational or business structure and the commercial component, although some approaches have already been made to possible honey and annatto purchasers.</p> <p>Not defining these aspects jeopardizes the success of the projects and their opportunity to grow and become profitable and sustainable.</p>   | <p>The non-production components of the business model should be expanded:</p> <ol style="list-style-type: none"> <li>1. Define the post-production stages of the honey and annatto chains;</li> <li>2. Define the marketing plan;</li> <li>3. Define and implement the organizational structure of the model;</li> <li>4. Provide training on these aspects to the beneficiaries and other actors;</li> <li>5. Document the process in order to facilitate its replication.</li> </ol> |
| <p><b>C 4.2 Beekeeping: development of a methodology to strengthen the links in the value chain</b></p>   | <p><b>R 4.2 Definition of other stages of the value chain</b></p>   |

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| <p>The beekeeping chain has potential in the domestic and international markets. With the program's support, the Bajo Cauca Antioquia region can become a large domestic producer of honey.</p> <p>As the producers currently face a steady demand as retail suppliers, no large-scale marketing strategy has been necessary to date. ,</p>   | <ol style="list-style-type: none"> <li>1. Define post-production schemes taking into account the suppliers of inputs for this stage;</li> <li>2. Define a marketing plan and an organizational plan for honey;</li> <li>3. Design a communication strategy for positioning the region as a honey cluster;</li> <li>4. Continue with the current marketing of the honey while adjusting the new plans.</li> </ol>   |
| <p><b>C 4.3 Annatto: Definition of the business model</b></p>   | <p><b>R 4.3 Define the components of the business model</b></p>  |
| <p>There is also a very good market forecast for annatto. There are still unresolved technical, organizational and commercial challenges.</p> <p>It is important to focus on resolving these challenges in order to meet the expectations of this project. Given the economic conditions in the department of Chocó, the reputational cost will be very high, since other attempts have failed due to the lack of definition of the commercial aspects.</p> | <p>The programs should focus on the following aspects:</p> <ol style="list-style-type: none"> <li>1. Finish defining the bixin extraction process.</li> <li>2. Perform an analysis of the pilot packaging and transformation process;</li> <li>3. Define and organize the logistics scheme;</li> <li>4. Define the organizational scheme between producers, transformers and purchasers;</li> <li>5. Document the process;</li> <li>6. Begin the search for new purchasers and gradually expand the size.</li> </ol> |
| <p><b>C 4.4 Acacia: Definition of the sustainability scheme and adjustment of commitments</b></p>   | <p><b>R 4.4 Actions for sustainability: Strengthening and promotion as an environmental project</b></p>  |
| <p>The economic potential of the acacia project is low due to problems with the geographic location of the crops and the quality of the land. However, the environmental potential is very great. The participation account contracts between the landowners, the beneficiaries and the operator of the project do not contain clauses on the permanence of the crops that are necessary for achieving the land recovery objective.</p>                     | <p>The following is recommended for the sustainability and replication of the acacia project:</p> <ol style="list-style-type: none"> <li>1. Include crop permanence clauses in the contracts;</li> <li>2. Make periodic measurements of the recovery of the land and environment;</li> <li>3. In order to expand or replicate the cultivation of acacia, look for investors in funds that seek environmental, not economic, returns.</li> </ol>  |

## 5 ORGANIZATIONAL AND ADMINISTRATIVE ASPECTS

### C 5.1 Documentation

The program has been effective in achieving its objectives. The replication and expansion of any of its components will require that its processes, successes and failures be documented. Some of the processes have already been documented, but comprehensive documentation of the program would be beneficial in the second half of the project. At this stage, the bulk of technical knowledge resides with project staff and broader documentation and dissemination should be a priority moving forward, and the only reports readily available are those that have been submitted to USAID.

### R 5.1 Initiate a documentation process

A knowledge management process should be initiated to support its expansion and replication.

**ANNEX I. MATRIX OF FINDINGS, CONCLUSIONS AND RECOMMENDATIONS**

| HECHOS  | CONCLUSIONES  | RECOMENDACIONES  |
|---|---|--|
| <p><b>EQ1. ¿CUÁLES SON LAS CONTRIBUCIONES DEL PROGRAMA ORO LEGAL AL DESARROLLO RURAL SOSTENIBLE EN APOYO A LA META DE LA MISIÓN DEL CDCS Y A LOS ACUERDOS DE PAZ DEL GOBIERNO DE COLOMBIA Y LAS FARC - 8 CAPITULOS, 1 SOBRE DESARROLLO RURAL SOSTENIBLE Y 4 SOBRE CULTIVOS ILÍCITOS EN ESTA GEOGRAFÍA ESPECÍFICA?</b></p>   |   |  |
| <p>Los Indicadores de Contexto Municipal evidencian una gran diferencia en los niveles de desarrollo de los municipios de Antioquia y Chocó intervenidos por el programa, pero a pesar de esto, los dos departamentos se enfrentan a la misma problemática: la minería ilegal y la degradación de los territorios por esta actividad.</p>   | <p>Intervenciones como las del Programa Oro Legal acercan a los mineros informales a la formalidad y buscan recuperar los territorios degradados. Sin embargo, el efecto de estos proyectos es muy diferente en cada departamento; mientras para Chocó se pueden convertir en proyectos de desarrollo regional, para Antioquia su aporte a la economía puede ser marginal.</p>  | <p>Es importante dar otra dimensión a los proyectos de cadena de Antioquia para que se puedan convertir en proyectos de desarrollo regional.</p> |
| <p>El desarrollo de proyectos que busquen aumentar las capacidades de las autoridades, la comunidad y el sector privado para abordar la degradación ambiental causada por la minería ilegal, como son el cultivo de achiote en Chocó y la producción de miel y cultivo de acacia en Antioquia, y que además se desarrollan en zonas donde hay coincidencia con cultivos ilícitos.</p> | <p>Las intervenciones del Programa Oro Legal, que involucran el componente técnico y ambiental de las Unidades de Producción Minera (UPM) así como un acercamiento del Estado a estas Unidades, son claramente contribuciones al proceso de desarrollo rural integral.</p> <p>Adicionalmente son un mecanismo para apoyar tanto los objetivos estratégicos tres y cuatro del CDCS como los capítulos uno y cuatro del Acuerdo de Paz.</p> |  |

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| <p>A través del modelo de formalización implementado en Antioquia, el Programa Oro Legal apoya a los mineros informales en la generación de acuerdos con los mineros titulados, con quienes antes de la llegada del Programa tenían un conflicto. Este acuerdo se realiza bajo estricto cumplimiento de la ley.</p> | <p>El modelo de formalización implementado en Antioquia fortalece la gobernanza del departamento pues resuelve un problema entre dos particulares, siendo una forma de resolución de conflictos en las áreas rurales del país.</p>   | <p>Hay que blindar, documentar y difundir estos mecanismos en territorios acostumbrados a métodos violentos de solución de conflictos</p> |
| <p>El modelo de formalización implementado en Chocó acerca a los mineros a la institucionalidad pública y al cumplimiento de la ley.</p>  | <p>A través de estos modelos se aumenta la gobernabilidad del sector público. En definitiva en los dos casos, el modelo aplicado promueve la cultura de la legalidad tan necesaria en estos territorios.</p>   | <p>El Programa Oro Legal debe documentar y difundir las experiencias exitosas para replicar en otras zonas del país.</p>                  |
| <p>En los dos departamentos la mayoría de los beneficiarios del Programa Oro Legal consideran que los cultivos lícitos pueden reemplazar los ingresos de cultivos de coca y garantizar la subsistencia de las familias que la cultivan, siendo mucho mayor el porcentaje de Chocó que el de Antioquia.</p>          | <p>Los beneficiarios confían en los proyectos como opción de generación de ingresos, sin embargo que en Antioquia sólo un poco más de la mitad de los encuestados tenga esa opinión pone de manifiesto que en este departamento se hace más que primordial resolver los aspectos de la cadena de valor de miel y acacia.</p> |   |
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| <p><b>EQ2. “¿EN QUÉ MEDIDA EL PROGRAMA ORO LEGAL ESTÁ CUMPLIENDO SUS OBJETIVOS DE FORTALECER LA GOBERNANZA Y POLÍTICA MINERA Y AMBIENTAL DE COLOMBIA?”</b></p>  |  |   |
|   |  | <p>Para lograr generar la confianza y poder complementarse con las autoridades que manejan la minería en el país, el Programa</p>         |

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| <p>Muy pocos actores (beneficiarios, autoridades, empresarios) tienen conocimiento integral del Programa y de sus objetivos.</p>   | <p>No ha habido un adecuado mecanismo ni una política de comunicación definida que ayude a posicionar el Programa Oro Legal y sobre todo a apropiarse de sus diferentes componentes.</p>   | <p>Oro Legal debe tener un relacionamiento más cercano.</p> <p>Es importante reafirmar con cada uno de sus socios, cuáles son los objetivos del programa en forma integral, y cuales han sido las acciones para conseguir esos objetivos. Esto no sólo le da transparencia sino que permite construir colectivamente las soluciones, ponderar los aciertos, y que estos actores se apropien del programa y le den continuidad al momento de la salida.</p> |
| <p>Los mineros conocen la ruta de formalización definida por el Programa Oro Legal para ellos y están satisfechos y agradecidos por el apoyo que reciben para la elaboración de los PTO y EIA.</p>   | <p>Intervenciones como las del Programa Oro Legal acercan a los mineros informales a la formalidad y al cumplimiento de la ley y les ayuda a generar acuerdos con los mineros titulares, con quienes antes tenían un conflicto, lo que contribuye al fortalecimiento de la Gobernanza y la Gobernabilidad.</p>   | <p>Se debe procurar que en los acuerdos (contratos de formalización), las partes queden conformes y se sientan cómodas para garantizar su sostenibilidad.</p>  |
| <p>No hay claridad en la forma como se relaciona el Programa Oro Legal con las entidades del sector.</p> <p>Se tiene una buena relación con el Ministerio de Minas y Energía, pero no hay relación con la Agencia Nacional de Minería, encargada de la definición de las Áreas de Reserva Especial, el</p> | <p>No hay claridad sobre cómo el Programa define el tipo de relación establecido con los diferentes actores públicos. En algunos casos se relacionan adecuadamente y en otros la relación es lejana.</p> <p>La falta de un adecuado relacionamiento con las entidades públicas aunado a la inexistencia de mecanismos de fortalecimiento de estas entidades, se convierte en un riesgo para el proyecto y el objetivo de legalizar la actividad.</p> | <p>Para lograr un fortalecimiento institucional y que el programa pueda ser ampliado o replicado, es necesario que el Programa Oro Legal se relacione con todas las entidades del sector, en donde haya intercambio de experiencias o incluso capacitaciones que garanticen que una vez el Programa culmine sus labores, el</p>  |

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| SENA ni las Corporaciones Ambientales Regionales.  |  | modelo de formalización se siga implementando.   |
| Fomento a las relaciones entre antiguos contradictores.  |  | El programa debe involucrarse más en los acuerdos para evidenciar que es la mejor opción para todos los actores.                                   |
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| <p><b>EQ3. ¿LAS ACTIVIDADES DE FORMALIZACIÓN DEL PROGRAMA ORO LEGAL PROMUEVEN LA MINERÍA RESPONSABLE? ¿CUÁLES SON LAS BARRERAS E INCENTIVOS PARA ESTE PROCESO? SI TIENE ÉXITO, ¿CUÁLES SON LAS OPORTUNIDADES Y DESAFIOS PARA LA RÉPLICA Y AMPLIACIÓN? UNO DE LOS FACTORES QUE DEBEN ABORDARSE PARA ESTA PREGUNTA ES LA PROPIEDAD DE LA TIERRA.</b></p> |  |  |
| Los beneficiarios valoran el aporte del Programa Oro Legal a la financiación de los documentos técnicos necesarios para la formalización, sin embargo, no es claro quién va a continuar con este proceso   | Es importante resolver con las entidades públicas, con la cooperación internacional y con los mineros, cómo se va a financiar la elaboración de los PTO y EIA una vez el Programa culmine sus actividades. | Se recomienda realizar un trabajo de consecuencias de la salida del Programa Oro Legal y de los posibles receptores de la metodología y el modelo. |
| El modelo de formalización implementado en Antioquia fortalece la gobernanza del departamento pues resuelve un conflicto existente entre dos particulares. Por su parte, el modelo implementado en Chocó acerca a los mineros informales a las instituciones públicas y a la legislación minera.   | En los dos casos, el modelo aplicado promueve la cultura de la legalidad, tan necesaria en estos territorios.  |  |

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| <p>Algunas UPM en Antioquia, se encuentran inconformes por las condiciones definidas en el acuerdo de formalización establecido entre ellas y el titular minero, poniendo en riesgo la continuidad del acuerdo.</p> | <p>El modelo de formalización resuelve el problema de la informalidad de esas UPM pero necesita ser blindado para que perdure en el tiempo.</p>  | <p>Para evitar este inconformismo, el Programa Oro Legal debe poner mayor esfuerzo en explicar y acompañar a los mineros informales en su relación con las empresas titulares para que se sientan parte del acuerdo, se apropien de él y no se sientan excluidos o simplemente obligados a acatar. Con esto, se aumenta la probabilidad de que éste sea durable y sostenible.</p> |
| <p>El programa ha puesto el énfasis en los aspectos técnicos y ambientales y éstos son muy bien valorados pero han dejado de lado los eslabones de comercialización y mercadeo del oro.</p>                         | <p>Los aspectos técnicos y ambientales resuelven parte del problema, pero si la comercialización del oro no está definida, se corre el riesgo de que la formalización no prospere.</p>   | <p>El Programa Oro Legal debe dar a la actividad minera un tratamiento de cadena.</p>   |
| <p>Los beneficiarios conocen la Ley del mercurio pero no reciben capacitación ni asesoría en beneficio del minero, que es quien habita donde se utiliza el mercurio.</p>  | <p>Sin capacitación y asesoría, los mineros nunca van a saber los efectos del mercurio en la salud y el medio ambiente, por tanto obedecer la Ley sin entenderla no genera concientización.</p>  | <p>El Programa Oro Legal debe buscar la forma de capacitar en beneficio del mineral y en los efectos del uso del mercurio en esta actividad, así en los contratos se establezca que el beneficio lo hacen en la planta de la empresa titular.</p>   |
| <p>Ley de Mercurio: el Programa Oro Legal apoya a los mineros a través del EIA y PTO pero no da asesoría ni acompañamiento a la función de implementación por parte de las Alcaldías.</p>                           | <p>La actual coyuntura de prohibición del uso de mercurio en las actividades mineras ha puesto a las Alcaldías en una dificultad para hacer cumplir la ley. EL Programa Oro Legal no ha acompañado a ninguna Alcaldía en la preparación para esta labor.</p> | <p>El Programa Oro Legal debe definir una metodología para cumplir la labor de seguimiento e implementación de la Ley de Mercurio por parte de la Alcaldía y, en la medida de lo posible, acompañar a los Alcaldes en su implementación.</p>  |

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| <p>No se pudo verificar en campo si los mineros están implementando las especificaciones técnicas contenidas en los PTO y EIA.</p>  | <p>Aún no se han iniciado las asesorías y los acompañamientos a las UPM formalizadas en la implementación de estos requerimientos técnicos.</p>        | <p>El apoyo del Programa Oro Legal en esta etapa del proceso es indispensable para que los mineros implementen las técnicas y sobre todo para que el apoyo del Programa no se quede en la consecución de un papel sino que se puedan medir sus impactos.</p>   |
| <p>El programa viene desarrollando una plataforma de capacitación virtual, con el lenguaje y diseño apropiado para los mineros.</p>   | <p>La plataforma virtual de capacitación es innovadora, pero ésta es sólo uno de los componentes de un proceso de capacitación de esta naturaleza.</p> | <p>El Programa Oro Legal debe hacer una definición integral del proceso, teniendo en cuenta que la población involucrada en el programa no cuenta con un adecuado nivel académico y que el acceso a internet en la zona rural es escaso, lo que limita la posibilidad de aprovechar un proceso de e-learning, a menos que este sea acompañado con capacitación presencial.</p> |
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| <p><b>EQ4. ¿LOS MODELOS DE REFORESTACIÓN Y REHABILITACIÓN DEL PROGRAMA ORO LEGAL SON VIABLES Y SOSTENIBLES DESDE LA PERSPECTIVA DE BENEFICIOS Y GOBERNABILIDAD LOCAL? ¿CUÁL ES EL POTENCIAL Y LAS BARRERAS PARA RÉPLICA Y AMPLIACIÓN?</b></p> |  |  |

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| <p>Los proyectos de rehabilitación con especies naturales en Chocó y de reforestación con acacia en Antioquia, se concentran en la disminución de los pasivos ambientales.</p>   | <p>Son proyectos con una finalidad ambiental pero sin valor económico, por lo que hace difícil su réplica sin los subsidios y esquemas de ayuda del programa.</p>  | <p>Se recomienda hacer una búsqueda de recursos en fondos ambientales y no en fondos de inversión privado.</p>   |
| <p>En Chocó, una vez identificadas estas áreas degradadas, el Programa hace un convenio con el Consejo Comunitario que contrata a los brigadistas, quienes se convierten en los responsables de las actividades de rehabilitación. Los jornales de estos brigadistas están a cargo del Programa Oro Legal.</p> | <p>Involucrar a los miembros de la comunidad en las actividades de rehabilitación es un factor primordial para que el conocimiento se quede en la zona.</p>  | <p>Es importante que el Programa Oro Legal se focalice en buscar aliados que asuman el valor de los jornales una vez el Programa se retire de la zona.</p> |
| <p>El componente de medios de subsistencia se logra apoyando el cultivo de achiote, que se ejecuta igualmente a través de convenios entre el Programa Oro Legal y los Consejos Comunitarios.</p>   | <p>La organización entre los Consejos Comunitarios y el Programa Oro Legal genera responsabilidades de cada parte, mediante la adquisición de un compromiso por parte de los participantes del proyecto.</p> |  |
| <p>Se realizan prácticas contrarias a la protección del medio ambiente rehabilitando zonas degradadas pues los beneficiarios “tumban selva” para sembrar el achiote.</p>   | <p>El desarrollo del proyecto de achiote necesita ajustar sus condiciones, para evitar los problemas que se están presentando por requerir tener dos hectáreas de terreno para sembrar.</p>                  | <p>El Programa Oro Legal debe revisar y ajustar los convenios.</p>   |
| <p>El proyecto de achiote no tiene claridad sobre el tema de la comercialización.</p>  | <p>Las comunidades pueden perder su motivación y se echarían por la borda todos los beneficios ambientales de estos cultivos</p>   | <p>Es necesario resolver las temáticas relacionadas con el desarrollo de la cadena de valor.</p>   |

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| <p>El proyecto de acacia desarrollado en Antioquia involucra tres actores: el operador, el tenedor de la tierra y los beneficiarios que hacen parte de una asociación. Los proyectos tienen un gran valor ambiental, pero competitivamente tienen muchas fallas que hacen difícil su sostenibilidad</p>   | <p>El objetivo de recuperar zonas degradadas por la minería se logra con el proyecto de acacia, pero su sostenibilidad está en entredicho.</p> | <p>Es importante que el Programa se focalice en buscar aliados que asuman el valor de los jornales una vez el Programa se retire de la zona.</p>   |
| <p>No es clara la sostenibilidad del modelo por el lado del componente ambiental ni por el componente económico pues no hay claridad de cómo se debe proteger la zona reforestada ni cuánto tiempo se debe mantener.</p>  | <p>Los proyectos de reforestación con acacia deben tener claro su objetivo, organización y sostenibilidad.</p>                                 | <p>El Programa Oro Legal debe diseñar el proyecto como un tema ambiental y no económico y buscar recursos para su sostenibilidad en los fondos ambientales.</p>                                      |
| <p>La relación entre el operador, tenedor de la tierra y los beneficiarios que realizan labores de cuidado del cultivo de acacia se formaliza a través de contratos de cuentas por participación. Sólo se tiene un contrato formalizado.</p>  |  |  |
| <p>Una deficiencia identificada en este contrato de cuentas por participación es que no contempla la permanencia del cultivo por un mínimo de años ni la vigilancia del área reforestada para garantizar, no sólo el retorno económico del proyecto, sino principalmente el objetivo de restauración de suelos y recuperación de la capa vegetal.</p> | <p>Los proyectos de reforestación con acacia deben ser revisados en su organización y conceptualización para darles el impulso debido.</p>     | <p>El Programa Oro Legal debe replantear el objetivo de estos proyectos y ofrecerlos a los inversionistas más que como un proyecto económicamente rentable, como uno ambientalmente beneficioso.</p> |
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| <p><b>EQ5. ¿CUÁLES SON LAS PERCEPCIONES DE LOS BENEFICIARIOS Y LOS INCENTIVOS MÁS IMPORTANTES PARA LLEVAR A CABO EL DESARROLLO DE LAS CADENAS DE VALOR COMO UNA ALTERNATIVA ECONÓMICA LÍCITA EN</b></p>   |  |  |

**LAS ZONAS DE INTERVENCIÓN DEL PROGRAMA ORO LEGAL? ¿CUÁLES SON LAS PERSPECTIVAS DE LOS PRODUCTORES DE LAS CADENAS DE VALOR SOBRE CÓMO ESTOS MEDIOS DE VIDA ALTERNATIVOS OFRECIDOS POR EL PROGRAMA ORO LEGAL PUEDEN AFECTAR SUS INGRESOS? ¿CUÁL ES EL POTENCIAL DEL MERCADO Y LAS BARRERAS PARA LA RÉPLICA Y AMPLIACIÓN DE LOS MODELOS DE MIEL Y ACHIOTE? ¿COMPARATIVAMENTE CÓMO SON LOS COSTOS Y GANANCIAS DE PERMANECER EN UN NEGOCIO EXISTENTE (MINERÍA ILEGAL) VERSUS ALTERNATIVAS LÍCITAS (MINERÍA LEGAL O ACTIVIDADES PRODUCTIVAS)?**

Apicultura

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| <p>El mercado de la miel es creciente y se espera que lo siga siendo, al igual que los precios.</p>                         | <p>La cadena de la miel es sin lugar a dudas una opción de generación de ingresos para estas áreas mineras.</p>  | <p>El Programa Oro Legal debe analizar los eslabones de organización empresarial y de comercialización para poder dar el salto cualitativo del negocio de la miel.</p>                  |
| <p>En términos de cadena lo que no se ha explorado ni abordado es la comercialización de la miel.</p>                       | <p>Si se quiere crecer y pasar de una oferta local a una oferta nacional o incluso internacional, se debe definir y promover opciones de comercialización como asociatividad o cooperativismo, certificaciones de calidad y de origen, región donde se ubica el cluster de la miel natural, entre otros.</p> |   |
| <p>Todo el conocimiento técnico está en cabeza del experto. La réplica requiere de la sistematización del conocimiento.</p> | <p>La falta de documentación del programa en todos los ámbitos: organizacional, financiero, de capacitación, técnico, etc., es un riesgo para el proyecto hoy y un impedimento para su réplica y ampliación.</p>   | <p>El Programa Oro Legal debe iniciar un proceso de gestión del conocimiento mediante la documentación de todos los proyectos.</p>  |
| <p>No hay claridad sobre la forma de organización del negocio.</p>  | <p>La no definición de estos aspectos imposibilita el crecimiento del negocio.</p>   | <p>Se requiere buscar formas asociativas, cooperativas o de cualquier otra índole para poder aumentar la producción y poder conseguir inversionistas y compradores institucionales.</p> |

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| Achiote  |  |   |
| El achiote es un producto con una buena demanda a nivel nacional y mundial.  | <p>La no resolución de los retos técnicos, organizacionales y comerciales genera incertidumbre acerca del éxito del proyecto y sería un costo reputacional muy alto el no responder a la buena receptividad del proyecto por parte de los beneficiarios.</p> | <p>El Programa Oro Legal debe centrar sus esfuerzos en el diseño de alternativas para resolver todos los retos mencionados y tener metodologías mínimamente funcionales para garantizar la operación de todos los actores de la cadena.</p> |
| El proyecto de achiote es bien recibido por los beneficiarios.   |  |   |
| Las condiciones de humedad del Chocó generan retos técnicos que aún no están resueltos. Los mayores retos se encuentran en la etapa de postcosecha.          |  |   |
| El primer reto se traduce en la necesidad de tener maquinaria y el segundo es administrativo, financiero y logístico.  |  |   |
| El componente comercial de la cadena tampoco está resuelto. Por ahora solo hay una empresa que puede comprar la producción de achiote para su procesamiento. |  |   |
| No existe un diseño de la organización o estructura del negocio.   |  |   |
| Acacia   |  |   |
| En este sector la especialización regional es básica por cuanto se requieren elementos técnicos y de logística de transporte que solo una                    |  |   |

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| <p>demanda importante y concentrada puede generar, sin la ayuda directa del Estado.</p>   | <p>El valor del proyecto es ambiental, difícilmente tiene un valor económico que permita la atracción de inversionistas.</p>   | <p>El proyecto debe ser estructurado y ofrecido como un proyecto de valoración ambiental más que económico pues su sostenibilidad y rentabilidad es poco atractiva.</p> |
| <p>Para replicarlo o ampliarlo es importante tener en cuenta que se requiere capital; este es un sector de grandes inversionistas que buscan su retribución en el largo plazo.</p>  |  |   |
| <p>No existe dentro del Programa un flujo de caja que pueda probar al inversionista que el proyecto es viable en el largo plazo, por cuanto el prospecto de negocio que se realizó este año así como sus postulados, parten de supuestos que son difíciles de sostener en el largo plazo.</p> |  |   |
| <p>Como negocio privado el proyecto presenta dificultades relacionadas con su ubicación geográfica.</p>   |  |   |
| <p>La razón principal mencionada por los entrevistados de las tres cadenas para participar en el Programa Oro Legal es la Mejora del Ingreso (40,3% Achiote, 45,7% Acacia y 57,3% Apicultura).</p>  | <p>Si la motivación principal para participar en los proyectos es la búsqueda de ingresos, focalizar los esfuerzos del programa solo en la parte productiva es un riesgo muy alto.</p> | <p>Definir y estructurar los componentes de organización empresarial y comercialización debe ser la prioridad del Programa Oro Legal en el corto plazo.</p>             |
| <p>Los beneficios de apicultura, achiote y acacia aumentaron en promedio en 9%, siendo los beneficiarios de apicultura los que más aumentaron (14%) y los de acacia los que menos (4,5%). Este dato de apicultura es muy interesante pues ésta es la única cadena en dónde</p>                |  |   |

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| el Programa Oro Legal no paga jornales y tiene mayor certeza acerca de los ingresos que genera. |  |  |
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## **ANEXO 2. SCOPE OF WORK (SOW) OF THE EVALUATION**

### **SCOPE OF WORK (SOW) FOR THE MID-TERM PERFORMANCE EVALUATION OF USAID/CLOMBIA ARTISANAL GOLD MINING ACTIVITY (ORO LEGAL)**

January

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#### **1. PURPOSE OF THE EVALUATION**

The purpose of this mid-term performance evaluation is to assess whether the Oro Legal Activity is contributing to positive changes in key Government of Colombia (GOC) institutions, community and private sector capacities to address illegal mining and if the results achieved and expected are relevant in current national and local context; are sustainable; and can be replicated.

In accomplishing this purpose it will provide information and analysis on to what extent the Activity is advancing in its objectives of 1) *Building effective governance capacity for gold mining activities* via: (a) Strengthening Colombian government capacity to enforce gold mining legislation; (b) Enhancing the participation of artisanal gold mining associations and Afro Colombian and indigenous communities in mining formalization programs; and (c) Providing training and technical assistance to artisanal miners; and 2) *Increasing the capacity of Colombian Government (GOC) entities to address the environmental impact caused by illegal mining* through: (a) Reforestation of degraded areas; (b) Generating alternative livelihoods for communities that cannot or should not be involved in gold mining, and (c) Improve drinking water quality in mining areas.

The evaluation findings and conclusions must be constructed through evidence-based information and formal analyses. The evaluation will support USAID/Colombia and Oro Legal Implementing Partner (IP) accountability among stakeholders. The evaluation also must provide lessons learned and recommendations contributing to the stewardship of the Oro Legal Activity, and the achievement of its expected results, as well as providing input to help USAID/Colombia to make programming decisions. This evaluation is scheduled to start and develop near the Oro Legal Activity midpoint period of performance. Its design and methodology must be replicable in order to be the point of departure for a future final performance evaluation.



**2. SUMMARY INFORMATION OF THE ACTIVITY**

**Chart 1: Activity Snapshot**

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| <p><b>Activity Name:</b> Artisanal Gold Mining Environmental Impact Reduction</p>  | <p><b>Period of Performance :</b> 9/23/2015 - 9/22/2020</p>  |
| <p><b>Contract No:</b> AID-514-C-15-00003</p>  | <p><b>Contracting Mechanism:</b> Cost plus fixed fee contract</p>  |
| <p><b>Total Estimated Cost (TEC):</b> \$19,997,365</p>   | <p><b>Contractor:</b> Chemonics Inc.</p>   |
| <p><b>Alignment to the USAID/Colombia Country Development Cooperation Strategy (CDCS) 2014-2018:</b></p> <p><b>DO 4:</b> “Environmental resilience and low carbon development strengthened”.</p> <p><b>Intermediate Results:</b> IR 4.1 “Natural resource management strengthened”.</p> <p><b>Sub-IR 4.1.1</b> “Legality, rehabilitation, and reduction of mercury use in small, artisanal mining operations improved”</p> | <p><b>Purpose:</b> <i>1) Building effective governance capacity for gold mining activities via:</i> (i) strengthening Colombian government capacity to enforce gold mining legislation; (ii) enhancing the participation of artisanal gold mining associations and Afro Colombian and indigenous communities in mining formalization programs, and (iii) providing training and technical assistance to artisanal miners;</p> <p><i>2) Increasing the capacity of Colombian government entities to address the environmental impact caused by illegal mining through:</i> (i) reforestation of degraded areas; (ii) generating alternative livelihoods for communities that cannot or should not be involved in gold mining, and (iii) improve drinking water quality in mining areas.</p> |
| <p><b>Contracting Officer Representative (COR):</b></p> <p>Emily Waytoti, Deputy Director Office of Environment</p> <p><b>Alternate Contracting Officer Representative:</b> Todd Hamner, Director Office of Environment</p>  | <p><b>Evaluation Activity Manager (EAM):</b></p> <p>Omar López, Monitoring and Evaluation Specialist (Program Office)</p>  |

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| <p><b>Monitoring and Evaluation Specialist:</b></p> <p>Gustavo Vargas (Office of ENV and RED)</p> |  |
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**3. BACKGROUND**

Colombia’s gold mining sector suffers from pervasive illegality. The vast majority of the nearly 68 metric tons of gold produced in Colombia in 2016 was done so by illegal and informal actors, driving widespread deforestation and mercury contamination, posing a threat to public health, and costing the government tens of millions of dollars in lost tax revenues. As a result, addressing illegal mining has become a major concern in Colombia’s peace process. Gold mining in Colombia has increased by over 300% since 2006 and illegal and informal gold mining in is a growing challenge. The scale of mining has grown faster than the institutional capacity to adequately regulate and control mining activities. Illegal mining is part of criminal economies that also include illicit coca cultivation, land appropriation, logging, trafficking in wildlife, trafficking in persons, and extortion and money laundering by the criminal organizations involved in these activities. According to the government of Colombia, illegal gold mining has replaced drug trafficking as the primary source of income for organized crime, armed groups, and illicit actors. This is fueling violence as there is a strong link between the criminal organizations responsible for the illicit coca and those involved in trading the gold from illegal mining. Nationally, 38 percent of Colombia’s territory that is affected by illegal mining is also affected by illicit coca cultivation. In Antioquia and Chocó the percentage is between 30 and 35%. Uncontrolled gold mining is not only a major stimulus for Colombia’s illicit economy, but is also a major driver of environmental degradation, causing large-scale deforestation and mercury contamination; scarring the landscape with a legacy of highly degraded and contaminated abandoned mining sites. In 2014, nationally an estimated 78,000 hectares of land were degraded by alluvial gold exploitation and 79% of this detected area was concentrated in the departments of Antioquia and Chocó. The resulting biodiversity loss in Choco is of particular concern as this is one of the most biodiverse regions in the world. In addition, these highly degraded sites are so devastated that they cease to be part of the productive economy, no longer providing any viable livelihood options, unless and until major investments in remediation and restoration are made.

Due to the use of mercury to amalgamate gold in artisanal gold mining, Colombia is the world's largest mercury polluter per capita. As a result, the department of Antioquia has the highest urban per capita air mercury pollution in the world. Recent monitoring of airborne mercury in municipalities such as Segovia and Remedios recorded average airborne mercury levels of 10,000 nanograms per cubic meter. The World Health Organization safe limit is just 1,000 ng/m<sup>3</sup>. In some urban areas, peaks of 80,000 ng/m<sup>3</sup> have been recorded<sup>83</sup>. The country has passed legislation banning the use of mercury in mining that will go into effect in July 2018, but implementation of this ambitious goal presents major challenges.

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<sup>83</sup> Nanograms per cubic meter



USAID supports the Government of Colombia's (GOC) efforts to create a durable and inclusive peace in the wake of the country's 50-year armed conflict. Tackling illegal activities, including illegal mining, and providing alternative incomes through the licit economy, is paramount for a sustainable peace. Given the important challenges posed by uncontrolled gold mining, USAID has responded with the Agency's largest and most ambitious artisanal gold mining activity to build effective governance capacity for gold mining activities, aimed to strengthening Colombian Government capacity to enforce gold mining legislation and address the environmental impact caused by illegal mining. The Artisanal Mining Program (Oro Legal) promotes responsible legal mining, alternative livelihoods, and environmental rehabilitation.

This Artisanal Mining Program contract totaling almost \$20 million follows on to the mining component of the previous USAID/Colombia BioREDD+ activity implemented by Chemonics from July 2013 to May 2015.

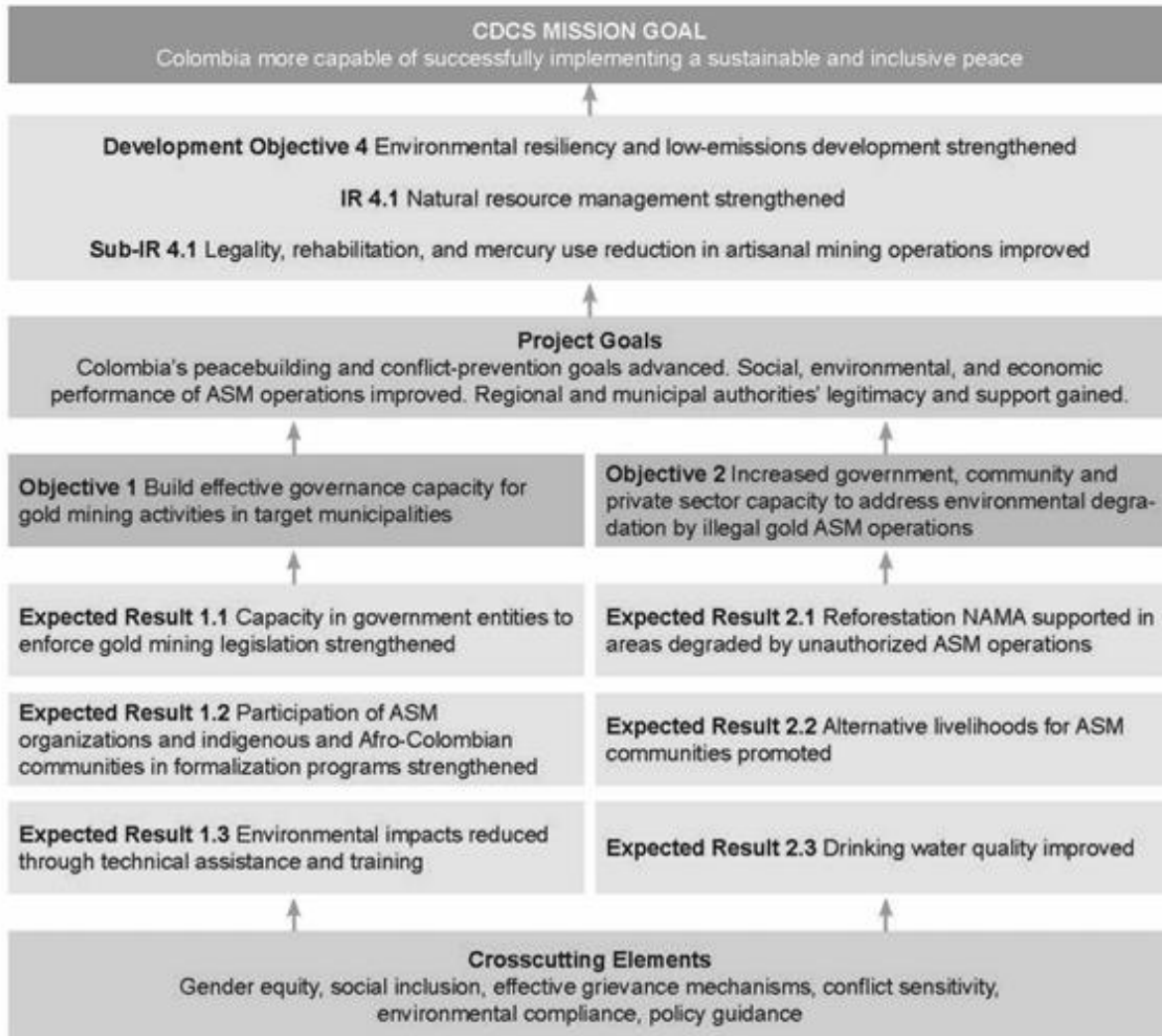
### **3.1 Description of Theory of Change and Results Framework**

The Theory of Change (TOC) underlying the Oro Legal Activity is that if the program strengthens government capacity to effectively manage gold mining and address environmental damages, then the social, environmental, and economic performance of gold mining operations will be improved, thereby supporting the Government of Colombia to create a sustainable and inclusive peace. Each of the two objectives of the Oro Legal has its own TOC.

The Oro Legal Activity has two Objectives: the first objective focuses on supporting mining sector institutions and organizations to improve and/or better enforce regulations covering gold mining in target regions, thus reducing the negative environmental and social impacts often implied by these activities. The second objective seeks to increase the capacities of the GOC, communities and the private sector to address the environmental degradation caused by unauthorized gold mining.

The results framework (see chart below) guides Oro Legal's approach to implementing USAID's vision for the Activity, is linked directly to USAID/Colombia Strategy at CDCS 2014-2018. It incorporates crosscutting responses to tasks, including a focus on our differentiated approach on gender inequity and vulnerable population.

**Chart 2: The Oro Legal Results Framework:**



\*ASM: Artisanal and Small-Scale Miners. NAMA: Nationally Appropriate Mitigation Actions.

The following are the underlying critical assumptions accompanying the results framework and acting as external potential factors influencing objectives:

- The security situation in target municipalities is conducive to implementation.
- The GOC continues supporting Oro Legal objectives through the implementation of policies and legal reforms conducive to responsible artisanal mining.



- There are a sufficient number of MPU<sup>84</sup>s in the defined geographies, able and willing to become legal and formal.
- Cooperation and goodwill between key partners is maintained: GOC, municipal administrations, mining associations and private mining companies, etc.

The set of Oro Legal goals depends on the following factors that fall outside Activity control:

- Fluctuation in gold prices, which affects miner earnings and provides incentives/ disincentives for operators to enter or exit this activity.
- The opportunity cost to mining of prices of alternate goods and services that produce returns on investment for private investors, and returns to labor and investment for small-scale miners, affecting the decision to mine.

### 3.2 Lines of Intervention :

Based on the objectives and sub-objectives previously set forth in the Oro Legal Results Framework, the Activity develops four main lines of work:

*A: To promote sustainable rural development*

**Mining Legalization and Formalization:** Legalization (titling) and formalization (compliance with all relevant regulatory requirements) is one of the best means to reduce illegal activity and environmental devastation caused by illegal mining, which includes mercury contamination, deforestation, and a costly legacy of abandoned mining sites. Oro Legal’s goal is to support to small and medium miners to legalize \$155 million dollars’ worth of gold (equivalent to five tons of gold at current prices. of 8 tons of gold, effectively removing it from the illegal economy.

**Alternative Livelihoods:** A key component to combating illegal economies is strengthening opportunities for licit economic activities. Where responsible mining is not economically, technically, or environmentally feasible, which is the case for the vast majority of artisanal miners, Oro Legal provides assistance to generate licit economic alternatives to illegal mining. Oro Legais supporting commercial honey production in Antioquia and annatto production in Choco. Together, these two value chains are expected to benefit

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<sup>84</sup> MPU: Mining Production Unit

10,500 families and produce an income per participant of approximately twice the Colombian minimum wage.

*B: To promote environmental rehabilitation:*

**Rehabilitation of Degraded Lands:** Oro Legal aims to rehabilitate 11,500 hectares of highly degraded land using reforestation with *Acacia mangium* in Antioquia and assisted natural regeneration in Choco. In Chocó, agreements have been signed with Afro Colombian Community Councils (CCs) to rehabilitate 8,220 hectares (18%) of an estimated total of 45,000 hectares of degraded land. In Antioquia, 8 projects with private investors, local governments and communities will rehabilitate 3,280 hectares (15%) of an estimated total of 22,000 hectares of degraded land. **Mercury Elimination:** The formalization process supported by Oro Legal introduces technologies and practices that initially reduce and, if fully implemented, have the capacity to fully eliminate the use of mercury. Through this work with small and medium mines in the process of formalization, the program will remove 55 tons of mercury from the gold production chain. In addition, Oro Legal is working to measure airborne mercury contamination, a far greater risk to human health and located right in the middle of mining towns. USAID is collaborating with several diplomatic Missions in a joint effort to implement a communications campaign to support the elimination of mercury.

### 3.3 Summary of relevant documents, information and data of the Oro Legal Activity

The following documents contain information regarding the design, implementation, reporting and performance monitoring of the Oro Legal Activity. The Contractor must do a careful and detailed review and analysis of the documents, information, and data listed below as follows:

Mandatory:

- [USAID/Colombia Country Development Cooperation Strategy \(CDCS\)](#)<sup>85</sup>
- Section C and F of the Base Contract, and Contract Modifications on this sections
- Program Annual Work plans
- Monitoring, Evaluation and Learning Plan (MEL Plan)
- Performance monitoring data
- Annual Reports
- Gender analysis

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<sup>85</sup> <https://www.usaid.gov/sites/default/files/documents/1862/USAID-Colombia-CDCS.pdf>



As Needed:

- Quarterly Performance Reports
- Quarterly or Annual Financial Reports
- Biweekly Highlights, press materials, and social media posts
- BioREDD/Mining documentation as available. [Check the Development Experience Clearinghouse \(DEC\)](#)<sup>86</sup>.
- UNODC y GOC. Colombia. *Explotación de Oro de Aluvión: Evidencia a partir de percepción remota*. Julio 2016. PDF 164 pp.
- List of beneficiaries by type, sex, organization, value chain, geolocation so they can design their surveys.

The Activity utilizes the USAID/Colombia MONITOR System to report the progress under the indicators described in the Monitoring, Evaluation and Learning Plan (MEL Plan). For those indicators requiring a baseline, the Oro Legal Activity had collected the baseline data.

## EVALUATION QUESTIONS

Considering the Oro Legal Activity purpose stated above, the Contractor will assess the performance of the Activity in its main goals and lines of work in order to answer the following questions. Questions will be reviewed and finalized in collaboration with USAID prior to the finalization of the evaluation design.

- 1) **Peace Accords:** What are the contributions of Oro Legal to sustainable rural development in support of CDCS Mission Goal<sup>87</sup> and GOC and FARC peace accords (as per chapters 1 on sustainable rural development and 4 on illicit crops) in its targeted geography (Annex A)?
- 2) **Governance and Policy:** To what extent is Oro Legal reaching its objectives of strengthening Colombian regional mining and environmental governance and policies?
- 3) **Formalization:** Are Oro Legal formalization activities promoting responsible mining? What are the barriers and incentives for this process? If successful, what are the opportunities and challenges?

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<sup>86</sup> <https://dec.usaid.gov/dec/content/search.aspx>

<sup>87</sup> “Colombia more capable of successfully implementing a sustainable and inclusive peace”.

for replication and scaling up? One of the the factors that must be addressed for this question is land property.

- 4) **Reforestation:** Are the Oro Legal reforestation and rehabilitation models viable and sustainable from a profit and local governance perspective? What are the potential and barriers to replication and scaling up?
- 5) **Value Chain Livelihoods:** What are the perceptions of beneficiaries and the most important incentives of undertaking targeted value chain production as a licit economic alternative in the zones of Oro Legal interventions? What are the value chain producers perspectives on how the alternative livelihoods offered by Oro Legal may affect their income? What is the market potential and barriers to replication and scaling up the honey and annatto value chain models? What are the comparative cost and earnings data to compare financial aspects between staying in existing business (illegal mining) versus licit alternatives (legal mining or productive activities).

The evaluation must offer findings and analyses, allowing USAID/Colombia to make decisions for improving the sustainability of the initiatives supported. Those findings and analysis must consider or be disaggregated by municipal level as well as categorized by the actors as working dimensions of the Activity's developments: GOC, gold miners, livelihood beneficiaries, and watershed beneficiaries. Information and analysis should also be disaggregated by gender. According to the findings and conclusions obtained from the analyses to answers the questions, the evaluation must provide lessons learned, conclusions, recommendations, and best practices, for improving the achievement of Oro Leal outcomes and results, including potential means for replication and scaling up its models. In general, the evaluation must offer a body of relevant information for future mining programming of USAID/Colombia and sharing with its stakeholders. Its design and methodology must be replicable in order to be the point of departure for a future final performance evaluation.

#### **4. EVALUATION DESIGN AND METHODOLOGY**

The Contractor through the Evaluation Team (ET) must propose the design and methodology that will generate the highest-quality and most credible evidence in order to correspond to the evaluation purpose and questions. The design and methodology must be formal and replicable; if any novel or non-traditional method of sampling, data collection or analysis is proposed, it must be justified in its purpose and properly backed by indexed references. As general guiding principle, all the procedures and methods used must be documented and sources properly credited. The evaluation design and methodology should take into account the following general principles and guidance:

##### **5.1 Identification of the Actors and Dimensions, Variables and Indicators of the Evaluation**



Based on the Results Framework and the Lines of Intervention of the Oro Legal Activity previously set forth, the Contractor will identify the dimensions, variables and indicators necessary to include in the design aimed to respond the evaluation questions. It must also clearly map all the actors linked directly and indirectly to Oro Legal and according to this identify the units of analysis of the evaluation and all the other key agents relevant for the analysis.

## 5.2 Methodological Approach

### 5.2.1 Methodology and Sources of Information

Based on the identification of variables, the Evaluation Question, and the geographic scope of the Oro Legal Activity (see Annex A), the evaluation must offer empirical quantitative and qualitative information of Oro Legal performance and context linked to the dimensions, variables and indicators defined. The Evaluation must use a mix of secondary and primary data sources at the national, departmental, municipal, organizational, and individual (or household) level.

The Contractor must define and devise the sampling methods (if required)<sup>88</sup>, units, instruments, methods of collection, and data sources most suitable to produce the information necessary for achieving the objectives of this evaluation. The Contractor must also clarify the units of intervention linked to each component of Oro Legal and to the evaluation questions and according to these, specify the unit of analysis for each dimensions and variable selected.

The Contractor must construct a Design Matrix<sup>89</sup> template according to the USAID

template (#2) and corresponding guidance for constructing the USAID Evaluation Design

Matrix. The matrix must have the following columns:

1. Researchable Question(s)
2. Information Required and Source(s)
3. Scope and Methodology

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<sup>88</sup> In cases of using a sample, the contractor must clearly specify the techniques to use (randomized, purposively, etc.). Samples should allow representativeness for the most relevant variables at the clusters of interventions with a margin of error of less than 5 percent.

<sup>89</sup> [https://usaidlearninglab.org/sites/default/files/resource/files/evaluation\\_design\\_matrix\\_templates.pdf](https://usaidlearninglab.org/sites/default/files/resource/files/evaluation_design_matrix_templates.pdf)

4. Limitations and assumptions
5. What the answer to the researchable question will likely allow the Evaluation to Say

A central aspect of the evaluation design will be the definition of the universes of beneficiaries and the identification of those the will be surveyed or interviewed. The Evaluation Contractor will propose the criteria to identify the universe and must work closely with USAID/Colombia and the implementer to determine this identification.

The following illustrative chart shows in a succinct manner suggested units of intervention and sources for each of the evaluation questions. This chart must be taken as first step for the Evaluation Team to construct the Design Matrix of the evaluation.

**Chart 3. Suggested Units of Analysis and Sources of Information**

| Q # | Evaluation Question  | Dimension             | Evaluated Objective in the Results Framework | Unit of analysis  | Information Required and Source(s)   |
|-----|--|-----------------------|--|---|--|
| 1   | What are the contributions of Oro Legal to sustainable rural development in support of CDCS Mission Goal <sup>90</sup> and GOC <sup>91</sup> and FARC peace accords (as per chapters 1 on sustainable rural development and 4 on illicit crops) in its targeted geography (Annex A)? | Peace Accords         | Project Goal. Cross cutting elements.        | Individual beneficiaries, organizations and national and local institutions | Quantitative and Qualitative<br>Surveys, interviews and focus groups                       |
| 2   | To what extent is Oro Legal reaching its objectives of strengthening Colombian regional mining and environmental governance and policies?  | Governance and Policy | Objective 1, and Objective 2                 | National and local institutions   | Quantitative and Qualitative<br>Monitoring data, secondary sources, interviews and surveys |

<sup>90</sup> “Colombia more capable of successfully implementing a sustainable and inclusive peace”.

<sup>91</sup> GOC: Government of Colombia



|   |  |                         |                                      |  |   |
|---|--|-------------------------|--------------------------------------|--|---|
| 3 | <p>Are Oro Legal formalization activities promoting responsible mining? What are the barriers and incentives for this process? If successful, what are the opportunities and challenges for replication and scaling up? One of the the factors that must be addressed for this question is land property.</p>  | Formalization           | Objective 1, and Objective 2         | Individuals and organizations beneficiaries and national and local institutions    | <p>Quantitative Context data; monitoring data; surveys; focus groups</p> <p>The approach may use a econ/financial valuation</p> |
| 4 | <p>Are the Oro Legal reforestation and rehabilitation models viable and sustainable from a profit and local governance perspective? What are the potential and barriers to replication and scaling up?</p>   | Reforestation           | Objective 2, and Results 2.1 and 2.3 | Individuals and organizations beneficiaries, local institutions and municipalities | <p>Quantitative and Qualitative: Context data and survey</p> <p>The approach may use a econ/financial valuation</p>             |
| 5 | <p>What are the perceptions of beneficiaries and the most important incentives of undertaking targeted? value chain production as a licit economic alternative in the zones of Oro Legal interventions? What are the value chain producers perspectives on how the alternative livelihoods offered by Oro Legal may affect their income? What is the market potential and barriers to replication and scaling up the honey and annatto value chain models? What are the comparative cost and earnings data to compare financial aspects between staying in existing business (illegal mining) versus licit alternatives (legal mining or productive activities).</p> | Value chain livelihoods | Project Goal, and Result 2.2         | Individuals and organizations beneficiaries and municipalities                     | <p>Quantitative/ Qualitative</p> <p>Survey, interviews, context data and secondary sources</p>                                  |

## 5.2.2 Analysis Plan and Other Provisions

Once the Evaluation Team defines and agrees upon the design and methodology with USAID/Colombia, they must collect, organize, filter, compile, analyze, summarize and present the field information collected. The analysis will offer findings and conclusions that will concretely respond to the evaluation questions.

Each and every procedure and methods used must be documented and sources properly credited, regardless of whether the material was partially or fully employed. All of the data collection instruments devised and used must be annexed to the final report in a known readable format. The main outputs coming from analytical software packages (such as statistical analysis) containing further details not presented in the Final Report, should be annexed to it. All the surveys, queries, and data retrieved to answer the evaluation questions must be digitalized in know formats; the datasets collected and built, including GIS<sup>92</sup> information must include either annexed or embedded metadata.

When using monitoring data, the Evaluation Team must assess the quality of the data before using it.

The evaluation process and products must:

1. Provide useful recommendations that are specific, actionable, time-bound and targeted to specifics of the mining environment in each of Oro Legal's region
2. Obtain information of individuals from all relevant demographic groups (and be able to report on differential perception and experience among them), including: men and women; youth; afro-colombian and Indigenous populations and LGBTI.
3. According to the experience in collecting the information and doing the analysis to respond to the evaluation questions, suggest tools and/or frameworks to improve track progress of the remaining implementation of Oro Legal
4. Have the ability to adapt the team to complete a demanding data collection effort and complex analytic exercise
5. The Evaluation Team must elaborate protocols for ensuring respondents of primary sources instruments are not harmed (especially if there are sensitive questions involved) and for the collection and safety of private data.

As part of the overall security requirements, the Evaluation Contractor must report any security threats and/or incidents verbally in person or by telephone, immediately to USAID/Colombia. Subsequently, a written report must be promptly submitted within no more than three days after the incident occurred. All subcontractors will be required to report any threats/incidents to the prime Contractor, who will immediately after, notify the USAID/Colombia

## 5. EXECUTION, DELIVERABLES, AND REPORTING REQUIREMENTS






The Contractor is expected to begin work immediately upon contract signature. USAID/Colombia through the EAM may request to the Contractor a summarized report about the progress at any time

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<sup>92</sup> Geographic Information Systems

during the length of the contract for this evaluation. The total length of the contract is six (6) months, which should include three phases with an approximate duration as presented below:

**Chart 4: Execution Duration and Timeline**

| <b>Phase</b>                    | <b>Description</b>   | <b>Approximate Duration (Timeline)</b>  |
|---------------------------------|--|---|
| <u>Phase 1:</u><br>Planning     | Initial planning, design, and desk review                          | ~1 month (weeks 1-4)   |
| <u>Phase 2:</u><br>Fieldwork    | Fieldwork, data collection, compilation, tabulation, and analyses. | ~3 months (weeks 5-16)    |
| <u>Phase 3:</u><br>Final Report | Final report drafting, revisions, presentations, and approval.     | ~2 months (weeks 17-24)<br>*includes 1 month contingency time.<br>  |
| <b>Total</b>                    | Evaluation study achieved  | Maximum 6 months (24 weeks) <br> |

The Team must submit to the USAID the deliverables detailed in the following chart, taking into account the timeframe set forth to be finalized in the work plan, as presented below.

**Chart 5: Deliverables and Reporting During Execution**

| <b>Task/Deliverable</b>                  | <b>Timeframe</b>   | <b>Description</b>  |
|--|--------------------|---|
| <b>Phase 1 (Planning):</b>               | <b>(weeks 1-4)</b> |   |
| 1. Evaluation Planning Meeting completed | Week 1             | At the outset of the work, USAID and the Evaluation Team (ET) will hold an initial meeting in Bogotá to review expectations and brief the ET on the context and Activity to inform preparation of the evaluation. |

|   |                     |   |
|---|---------------------|---|
| 2. Desk Study completed   | Week 1              | <p>The ET will first conduct a desk study that covers all relevant documents and identifies stakeholders to be interviewed.</p> <p>The ET will hold initial conference calls with USAID and Oro Legal to seek their guidance and feedback on the draft evaluation design and list of stakeholders to be interviewed.</p>  |
| 3. Draft Evaluation Design and Work Plan Submitted                                      | Week 2              | The ET will submit the draft Evaluation Design and Work Plan. The work plan must include a timeline and is encouraged to be submitted first while the Evaluation design is being developed.   |
| 4. Meeting conducted to receive USAID feedback on Draft Evaluation Design and Work Plan | Week 3              | Prior to finalizing the Evaluation Design and Work Plan, USAID and the ET will meet to so that USAID can provide feedback and answer questions.   |
| 5. Submit Final Evaluation Design and Work Plan   | Week 4              | <p>The revised draft evaluation design and work plan will be submitted to USAID for final review and approval, , highlighting any agreed-upon changes from the draft submitted to USAID. The evaluation design and work plan must include: the methodology; a fully developed design matrix; the proposed sites; the proposed list of survey participants; the proposed list of people to be interviewed; the schedule, including location and dates for pilot survey questions; data collection instruments, and logistical arrangements.</p> <p>For the identification of barriers and incentives of question #2, the design include a conceptual framework or definitions that will guide the analysis.</p> <p>It design must also include an outline of the final report.</p> |
| <b>Phase 2: Fieldwork</b>   | <b>(weeks 5-16)</b> |   |

|  |  |   |
|--|--|---|
| <p>7. Field Work conducted; Weekly bullets submitted</p> | <p>Fieldwork is to be commenced by week 5 of contract signature.</p> <p>Weekly bullets submitted each week, beginning with the start of field work until fieldwork is completed (approximately through week 16).</p> | <p>Upon USAID approval of the Evaluation Design and Work Plan, the ET will commence field work. This fieldwork may imply the implementation of the instruments to collect qualitative and quantitative data.</p> <p>The ET will report to the EAM or his designate each week. Whether format will be in person, by telephone, or in writing will be agreed during the planning phase. Weekly bulleted lists of key achievements or issues (no more than 5-10 bullets) must be delivered.</p>  |
| <p>8. Pre-drafting debriefing meeting completed</p>      | <p>By week 16 (month 4)</p>  | <p>Prior to drafting the evaluation report, the ET will hold a debriefing with the EAM, and any others that the ET and EAM consider should attend, to share their preliminary insights on findings, conclusions and recommendations from the analysis to that point. Some of these preliminary notions will change as analysis and drafting continue. Recommendations should be discussed and finalized with USAID and stakeholders to check their feasibility..</p>  |
| <p><b>Phase 3: Final Report</b></p>                      | <p><b>(weeks 17-24)</b></p>  |   |
| <p>9. Draft evaluation report</p>                        | <p>Two weeks after the conclusion of field work (week 18), the ET should deliver a draft of the evaluation report.</p>   | <p>The ET must present orally and submit to USAID a draft evaluation report which includes findings, conclusions, recommendations, best practices and lessons learned for USAID’s review, discussion, and feedback.</p> <p>USAID will submit comments on the draft report to the ET, within two weeks after receipt of the draft report.</p>  |
| <p>10. Final report</p>                                  | <p>Two weeks after receiving USAID’s comments (week 20/ month 5)</p>   | <p>The ET will submit the final report electronically to USAID/Colombia. USAID/Colombia will have 10 working days to review the report.</p> <p>Recognizing that the review of the report by USAID will not agree with all comments, and to be sure that each and every comment is considered carefully by the ET, the Contractor will also submit a table that lists each comment, the response of the Evaluation Team to the comment, and where the changes resulting from the comment – if any – can be found in the document. This same cell will also indicate if no changes were</p> |

|                                     |                   |   |
|-------------------------------------|-------------------|---|
|                                     |                   | <p>made and why not.</p> <p>After the submission of the final report, USAID can still send comments that may entail final adjustments before approval and acceptance of the final report. These comments will be based in the criteria for ensuring the quality of the Evaluation as listed in section XIII.</p>  |
| 11. Presentations of the Evaluation | Week 22           | <p>The ET is expected to present the findings and recommendations of the final. At least 2 (and no more than 4) final presentations may be required in person to discuss the summary of findings and recommendations with USAID, the Evaluation contractor and other key stakeholders identified by USAID. These presentations will be scheduled as agreed upon with USAID. Some of the presentations may be in english,</p>  |
| 9. Technical Annexes submitted      | Week 24 (month 6) | <p>Complete evaluation documentation must be submitted in the final annexes of the report. The ET must submit to USAID the complete evaluation documentation as annexes, including listing of data sources used, such as: populated databases and records of data collected from interviews of key informants and focus groups conducted. These must be included along with the following, per the Evaluation Policy and consequent USAID guidance:</p> <ul style="list-style-type: none"> <li>a. The evaluation Statement of Work, including any adjustments agreed in writing during the course of the evaluation.</li> <li>b. Detailed description of the evaluation design and methods, and any instruments, surveys, question lists, interviews conducted, etc.</li> <li>c. Disclosure of any conflict of interest – a signed statement by evaluation team members that attests to a lack of conflict of interest or describes an existing conflict of interest relative to the project being evaluated</li> </ul> |

## 6. GEOGRAPHIC AREAS FOR THE EVALUATION

The evaluation will be conducted in Colombia. Specific geographic areas the Contractor's Evaluation Team plans to visit are the Oro Legal geographic coverage, which includes Bogotá where national institutions are based. Although the list of departments and municipalities covered by Oro Legal is at the Annex A, the definite list of municipalities visited by the Evaluation Team to retrieve the necessary information will be defined in the design stage of the evaluation.

## 7. PERIOD OF PERFORMANCE

It is estimated that this evaluation will be carried out over a six month period, approximately from March through August of 2018.

## 8. EVALUATION TEAM COMPOSITION

The key personnel that the Evaluation Contractor must furnish for the performance of this Evaluation are as follows and will constitute the Evaluation Team:

- a) Evaluation Team Leader
- b) Mining Formalization Expert
- c) Environmental Expert (rehabilitation, mercury, watersheds)
- d) Value Chain Expert
- e) Evaluation Specialist

This team will include expertise in gender and social analysis, and conflict mitigation and management, and may be supported with short-term advice from experts in mining, environmental management, and value chains when designing the study and when preparing the analysis of the information obtained. These experts may have masters or other advanced degrees and have at least five (5) years of experience in each respective field. This team may also be supported by assistants with at least 3 years of experience in its respective field.

The field data collection must be implemented by an experienced team performing the task. This work can be done through a sub-contract and may need to be coordinated by a survey manager having at least six (6) years of experience in coordinating surveys to collect quantitative and qualitative data; a data and statistics specialist having at least four (4) years in processing and data mining; and field work supervisors and interviewers having at least three (3) years of experience working with field surveys.

The initial starting salaries for all key personnel positions, unless previously approved and budgeted for in the Evaluation Contract, must be approved in advance and in writing by the Contracting Officer.

a) The key personnel that the Contractor must furnish for the performance of this contract are as follows:

**Evaluation Team Leader** The Team Leader will have overall responsibility for all aspects of the evaluation. S/he will be primarily responsible for communicating technical issues with USAID, developing and implementing the detailed baseline methodology, managing and implementing the work plan and all related mid-term evaluation team activities, leading the literature review, guiding the collection of data through surveys, conducting interviews, and leading the writing of the baseline technical products. S/he

will also be responsible for presenting findings during briefings, out-briefings, and final presentations and final report writing.

#### Required Qualifications:

- Masters or other advanced degrees in international development, economics, public policy, sociology, evaluation, or other relevant related areas.
- At least eight (8) years of experience in participating in field-based evaluations of development program and projects. Of these, experience should include managing and leading field-based evaluations; evaluating international cooperation funded projects.
- Understanding of project administration, finance and management of USAID.
- Knowledge of mining issues in Colombia; Desirable to have knowledge regarding mining legalization and formalization and environmental impacts of mining.
- Relevant subject matter expertise as demonstrated by published evaluations or peer reviewed articles.
- Good understanding of gender and ethnic minority issues in Colombia.
- Strong analytical skills.
- Excellent written and oral communication skills in English and Spanish.

### **Environmental Expert**

The Environmental Expert will serve on the evaluation team and will support the Team Leader with research, data collection, analysis, and writing.

#### Required Qualifications:

- Master's or an equivalent advanced degree in environmental sciences or related area.
- At least six (6) years of experience working in Colombia on environment issues.
- Strong knowledge regarding environmental issues as related to mining.
- Relevant expertise and experience conducting program evaluation or similar research and analytical work.
- Working-level written and verbal communication skills in English and Spanish and ability to conduct interviews and focus groups in Spanish and provide presentations and documents in English.

### **Mining Expert**

The Mining Expert will serve on the evaluation team and will support the Team Leader with research, data collection, analysis, and writing.

#### Required Qualifications:

- Master's or an equivalent advanced degree in mining or related area.
- At least six (6) years of experience working in Colombia on mining issues.
- Strong knowledge mining at the policy level as well as operational level with mining units.

- Relevant expertise and experience conducting program evaluation or similar research and analytical work.
- Working-level written and verbal communication skills in English and Spanish and ability to conduct interviews and focus groups in Spanish and provide presentations and documents in English.

### **Value Chain Expert**

The Value Chain Expert will serve on the evaluation team and will support the Team Leader with research, data collection, analysis, and writing.

Required Qualifications:

- Master's or an equivalent advanced degree in agronomy, business, or related area.
- At least six (6) years of experience working in Colombia on agricultural value chain issues.
- Strong knowledge regarding value chains development and commercialization in rural Colombia.
- Relevant expertise and experience conducting program evaluation or similar research and analytical work.
- Working-level written and verbal communication skills in English and Spanish and ability to conduct interviews and focus groups in Spanish and provide presentations and documents in English.

### **Evaluation Specialist**

The Evaluation Specialist will provide technical expertise in the qualitative and quantitative program baseline and evaluation methodologies, tools, and data analyses that can be applied to rural social and economic development and conflict resolution programs.

Required Qualifications:

- At least five (5) years of experience in conducting and leading field-based evaluations of development program and projects Two (2) of these five (5) years can be replaced by experience in monitoring development projects.
- Substantial knowledge and experience in evaluation quantitative and qualitative methodologies, preferably in the context of rural and alternative development.
- Demonstrated capability in designing evaluation tools, conducting evaluation interviews, focus groups, managing and interpreting qualitative and quantitative data collection, analysis processes and utilizing secondary data.
- Experience working with survey statistics, integrating and analyzing different datasets, and conducting group interviews/focus groups.

- Ability to manage logistics, including arranging key informant interviews and group interviews/focus groups, accommodations, and travel.
  - Excellent oral and writing skills in Spanish and English
- b) Key personnel are considered essential to the work being performed under this contract. The Evaluation Contractor will provide key personnel fully dedicated (100% level of effort) for the term of this contract unless otherwise approved by USAID. Each key person will be under the direct supervision of the prime Contractor (not under a subcontractor), unless otherwise approved by USAID.
- c) Failure to provide key personnel may be considered non-performance unless such failure is beyond the control of the Evaluation Contractor. All individuals listed as Key Personnel must reside in Colombia for the duration of the Activity.
- d) The Contractor must immediately notify USAID of any key personnel's departure and the reasons therefore. The Contractor must promptly propose a replacement for each vacated position. The proposed replacement must possess the qualifications listed above for the corresponding personnel. A budget impact statement must also be submitted in sufficient detail to permit evaluation of the impact on the program. The Contractor must not replace any of the Key Personnel without the prior written approval of USAID
- e) USAID reserves the right to adjust the number of Key Personnel during the performance of this contract.

Team members should not have any past or current business relationships with the Oro Legal Activity or the USAID BioREDD+ project / Mining component. The proposed personnel should sign an Organizational Conflict of Interest (OCI) letter and submitted with the proposal.

## **9. LOGISTICAL SUPPORT**

The Evaluation Team is responsible for arranging all logistical support for the evaluation. However, given the difficulties of travel within project intervention sites, Oro Legal will be available to provide advice on security issues to the Evaluation Team.

## **10. OVERSIGHT AND MANAGEMENT**

The Evaluation Team will report to USAID's Evaluation Activity Manager, as named above, or subsequently delegated. The Evaluation Activity Manager will work in close collaboration with the COR of the Artisanal Mining Program, as named above.

## **11. FINAL REPORT FORMAT AND CONTENTS**

The evaluation final report should include an abstract of no more than 250 words in English and Spanish ; an executive summary in English and Spanish; background of the local context and the strategies/projects/activities being evaluated; the evaluation purpose and main evaluation questions; the methodology or methodologies; the limitations to the evaluation; findings, conclusions, and recommendations. For more detail, see “How-To Note: Preparing Evaluation Reports” and **ADS<sup>93</sup> 201mah, USAID Evaluation Report Requirements**. A suggested evaluation report [template is available in the Evaluation Toolkit](#).

The executive summary should be 2–5 pages in length and summarize the purpose, background of the project being evaluated, main evaluation questions, methods, findings, conclusions, and recommendations and lessons learned (if applicable).

The evaluation methodology shall be explained in the report in detail in annexes. I. Limitations to the evaluation shall be disclosed in the report, with particular attention to the limitations associated with the evaluation methodology (e.g., selection bias, recall bias, unobservable differences between comparator groups, etc.)

The body of the report ( apart form the abstract, the executive summary and the annexe) should be of no more than 60 pages. All other detail analysis or data must be included in annexes.

The annexes to the report shall include:

- This Evaluation Statement of Work (SOW);
- All data collection and analysis tools used in conducting the evaluation, such as questionnaires, checklists, maps and GIS data, analytical outputs, technical procedures, etc;
- All sources of information properly cited and listed using a widely accepted standard format.
- Signed disclosure of conflict of interest forms for all evaluation team members, either attesting to a lack of conflicts of interest or describing existing conflicts of interest.
- Any “statements of difference” regarding significant unresolved differences of opinion by funders, implementers, and/or members of the evaluation team.
- Summary information about evaluation team members, including qualifications, experience, and role on the team.

In accordance with USAID ADS 201, the contractor will make the final evaluation reports publicly available through the Development Experience Clearinghouse (DEC) repository within three months of the evaluation’s conclusion.

## **12. CRITERIA TO ENSURE THE QUALITY OF THE EVALUATION REPORT**

Per **ADS 201maa, Criteria to Ensure the Quality of the Evaluation Report**, draft and final evaluation reports will be evaluated against the following criteria to ensure the quality of the evaluation report.<sup>94</sup>

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<sup>93</sup> USAID Automated Directive System (ADS) or Operational Policy.

<sup>94</sup> See ADS 201mah, USAID Evaluation Report Requirements and the Evaluation Report Review Checklist from the Evaluation Toolkit for additional guidance.

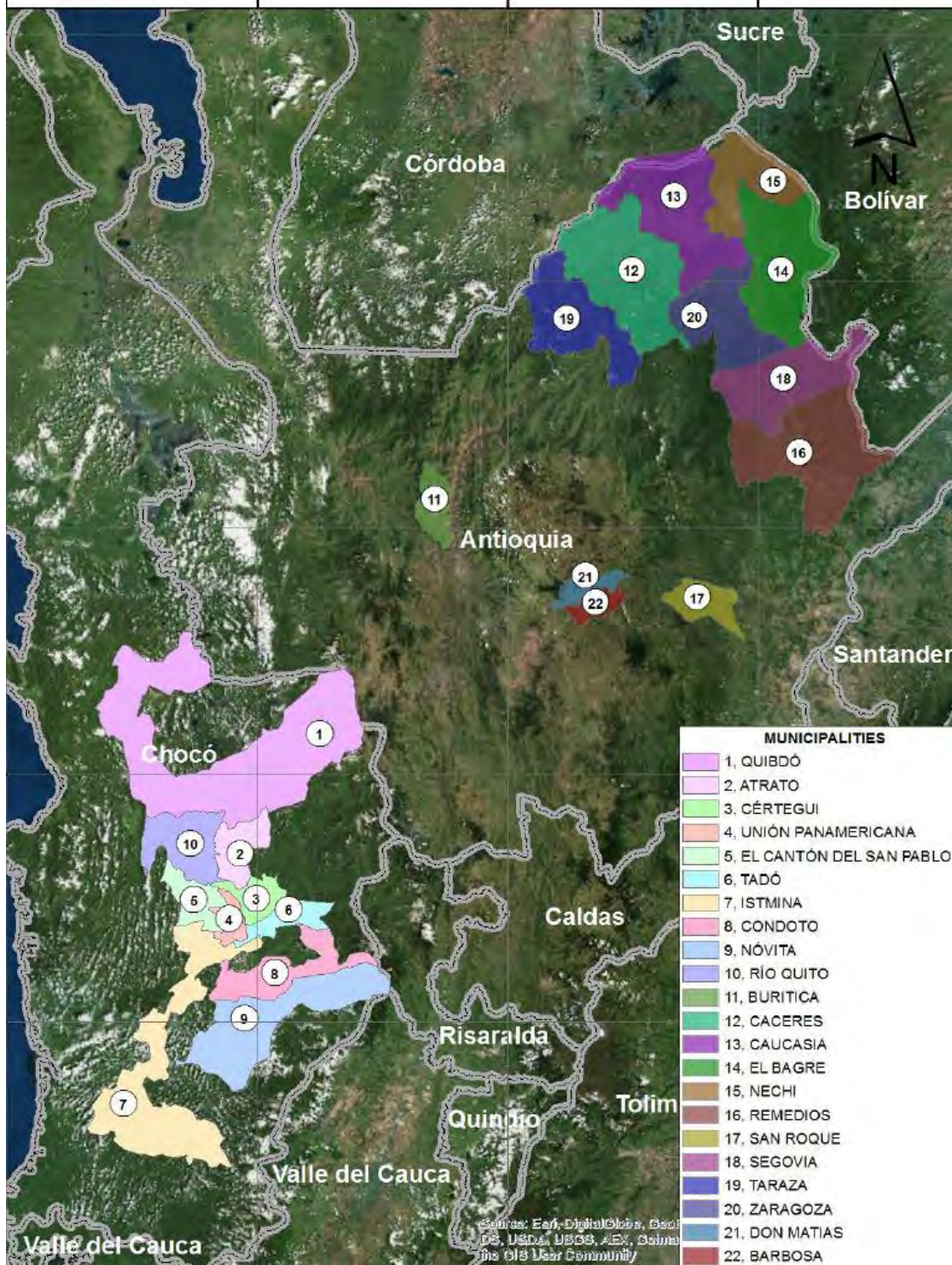
- Evaluation reports should represent a thoughtful, well-researched, and well-organized effort to objectively evaluate the strategy, project, or activity.
  - Evaluation reports should be readily understood and should identify key points clearly, distinctly, and succinctly.
  - The Executive Summary of an evaluation report should present a concise and accurate statement of the most critical elements of the report.
  - Evaluation reports should adequately address all evaluation questions included in the SOW, or the evaluation questions subsequently revised and documented in consultation and agreement with USAID.
  - Evaluation methodology should be explained in detail and sources of information properly identified.
  - Limitations to the evaluation should be adequately disclosed in the report, with particular attention to the limitations associated with the evaluation methodology (selection bias, recall bias, unobservable differences between comparator groups, etc.).
  - Evaluation findings should be presented as analyzed facts, evidence, and data and not based on anecdotes, hearsay, or simply the compilation of people’s opinions.
  - Findings and conclusions should be specific, concise, and supported by strong quantitative or qualitative evidence.
  - If evaluation findings assess person-level outcomes or impact, they should also be separately assessed for both males and females.
- If recommendations are included, they should be supported by a specific set of findings and should be action-oriented, practical, and specific.

### **13. OTHER REQUIREMENTS**

All quantitative data collected by the evaluation team must be provided in digital machine-readable, non-proprietary formats as required by USAID’s Open Data Policy (see ADS 579). The data should be organized and fully documented (i.e. containing metadata) for use by anyone not fully familiar with the Activity or the evaluation. USAID will retain ownership of the survey and all datasets developed.

All modifications to the required elements of the SOW in technical requirements, evaluation questions, evaluation team composition, methodology, or timeline, need to be agreed upon in writing by the COR. Any revisions should be updated in the SOW that is included as an annex to the Evaluation Report.

ANNEX A – The Artisanal Gold Mining (Oro Legal) Geography by Department and Municipality



GIS Representation of the The Artisanal Gold Mining (Oro Legal) Geography

### Departamento de Antioquia

1. Barbosa
2. Buriticá
3. Cáceres
4. Caucasia
5. Don Matías
6. El Bagre
7. Nechí
8. Remedios
9. San Roque
10. Segovia
11. Tarazá
12. Zaragoza

### Departamento de Chocó

1. Atrato (Yuto)
2. Cértegui
3. Condoto
4. El Cantón San Pablo
5. Istmina
6. Nóvita
7. Quibdó
8. Río Quito,
9. Tadó
10. Unión Panamericana

### ANNEX 3. LIST OF PRODUCTIVE CHAINS AND TABULATIONS - CENTRO NACIONAL DE CONSULTORÍA (CNC)

Tabulados

#### Tabulados Generales Minería

| 101. Municipio de residencia |    |              |
|------------------------------|----|--------------|
|                              | N  | Porcentaje % |
| Barbosa                      | 13 | 15.48        |
| Buriticá                     | 30 | 35.71        |
| Remedios                     | 10 | 11.90        |
| Segovia                      | 9  | 10.71        |
| Tarazá                       | 9  | 10.71        |
| Cértegui                     | 9  | 10.71        |
| Condoto                      | 4  | 4.76         |
| Total                        | 84 | 100.00       |

| 103. Sexo |  |  |
|-----------|--|--|
|-----------|--|--|

|        | N  | Porcentaje % |
|--------|----|--------------|
| Hombre | 70 | 83.33        |
| Mujer  | 14 | 16.67        |
| Total  | 84 | 100          |

| 104. Edad | Promedio | S.D        | Min | Max | N |
|-----------|----------|------------|-----|-----|---|
|           | 45.36619 |            |     |     | 8 |
|           | 5        | 11.1206645 | 19  | 69  | 4 |

| Rangos de edad |    |              |
|----------------|----|--------------|
|                | N  | Porcentaje % |
| 20-29          | 14 | 16.87        |
| 30-39          | 25 | 30.12        |
| 40-49          | 21 | 25.30        |
| 50-59          | 13 | 15.66        |
| 60-69          | 10 | 12.05        |
| Total          | 83 | 100.00       |

| <b>105. Vive en la cabecera municipal</b> |    |              |
|---|----|--------------|
|   | N  | Porcentaje % |
| si  | 46 | 54.76        |
| no  | 38 | 45.24        |
| Total                                     | 84 | 100          |

| <b>106. Estado Civil</b> |    |              |
|--------------------------|----|--------------|
|                          | N  | Porcentaje % |
| soltero(a)               | 16 | 19.05        |
| casado(a)                | 26 | 30.95        |
| en unión libre           | 36 | 42.86        |
| divorciado(a)            | 4  | 4.76         |
| viudo(a)                 | 2  | 2.38         |
| Total                    | 84 | 100.00       |

**107. Tiene hijos**

**107. Cuantos**

|       | N  | Porcentaje % |
|-------|----|--------------|
| Si    | 72 | 85.71        |
| No    | 12 | 14.29        |
| Total | 84 | 100          |

|       | N | Porcentaje % |
|-------|---|--------------|
| 1     | 1 | 16.67        |
| 2     | 2 | 33.33        |
| 3     | 1 | 26.39        |
| 4     | 5 | 6.94         |
| 5     | 1 | 1.39         |
| 6     | 6 | 8.33         |
| 7     | 4 | 5.56         |
| 10    | 1 | 1.39         |
| Total | 7 | 100.0        |

| <b>108. ¿Actualmente cuántas personas hacen parte de su hogar, incluyéndose usted?</b> |   |              |
|--|---|--------------|
|  | N | Porcentaje % |

|       |    |       |
|-------|----|-------|
| 1     | 2  | 2.38  |
| 2     | 7  | 8.33  |
| 3     | 11 | 13.10 |
| 4     | 30 | 35.71 |
| 5     | 19 | 22.62 |
| 6     | 7  | 8.33  |
| 7     | 4  | 4.76  |
| 8     | 3  | 3.57  |
| 9     | 0  | 0.00  |
| 10    | 1  | 1.19  |
| Total | 84 | 100   |

|  |    |              |
|--|----|--------------|
| <b>109.</b> Alguien de su hogar ha sido beneficiario de algunos de los siguientes programas o ayudas |    |              |
|  | N  | Porcentaje % |
| Familias en Acción   | 42 | 38.89        |

|  |     |        |
|--|-----|--------|
| Programas para el adulto mayor                               | 12  | 11.11  |
| Programas de formación para el trabajo                       | 1   | 0.93   |
| Jóvenes en Acción  | 2   | 1.85   |
| Red Juntos/Unidos  | 6   | 5.56   |
| Programas del ICBF   | 4   | 3.70   |
| Subsidio al desempleo  | 0   | 0.00   |
| Ayudas para desastres naturales                              | 0   | 0.00   |
| Ayudas para desplazados                                      | 9   | 8.33   |
| Programa Nacional Integral de Sustitución de cultivos (PNIS) | 2   | 1.85   |
| Programa de restitución de tierras                           | 0   | 0.00   |
| Antioquia Libre de Minas                                     | 2   | 1.85   |
| Ninguno  | 28  | 25.93  |
| Otro, ¿Cuál?   | 0   | 0.00   |
|  | 108 | 100.00 |

|  |              |
|--|--------------|
| <b>110. A cuál grupo étnico pertenece o se auto-reconoce usted</b> |              |
| N  | Porcentaje % |

|                      |    |       |
|----------------------|----|-------|
| Blanco               | 22 | 26.19 |
| negro/afrocolombiano | 15 | 17.86 |
| Mestizo              | 41 | 48.81 |
| Mulato               | 3  | 3.57  |
| otro, ¿cuál?         | 3  | 3.57  |
| Total                | 84 | 100   |

| 203. ¿Es usted miembro de alguna asociación? |    |              |
|--|----|--------------|
|  | N  | Porcentaje % |
| Si   | 66 | 78.57        |
| No   | 18 | 21.43        |
| ns/nr  | 0  | 0.00         |
| Total  | 84 | 100          |

| ¿Cual?                  | Porcentaje |       |
|-------------------------|------------|-------|
|                         | N          | %     |
|                         | 6          |       |
| 1 Minería               | 5          | 91.55 |
| 2 Productores           | 0          | 0.00  |
| 3 Comunitaria           | 2          | 2.82  |
| 4 Cabildo indígena      | 0          | 0.00  |
| 5 Asociación de mujeres | 0          | 0.00  |
| 6 Deportiva             | 0          | 0.00  |
| 7 Cultural              | 0          | 0.00  |
| 8 Víctimas              | 1          | 1.41  |

|                 |   |      |
|-----------------|---|------|
| 77 Otra. ¿Cuál? | 3 | 4.23 |
| Total           | 7 | 100  |

| I 12. sabe leer y escribir? |    |              |
|-----------------------------|----|--------------|
|                             | N  | Porcentaje % |
| Si                          | 80 | 95.24        |
| No                          | 4  | 4.76         |
| Total                       | 84 | 100          |

| I 13. Es usted el/la jefa de hogar |    |              |
|------------------------------------|----|--------------|
|                                    | N  | Porcentaje % |
| Si                                 | 67 | 79.76        |
| No                                 | 17 | 20.24        |
|                                    | 84 | 100          |

| 114. ¿Cuál es el nivel educativo más alto aprobado por usted? |    |              |
|---|----|--------------|
|   | N  | Porcentaje % |
| ninguno o preescolar  | 3  | 3.57         |
| básicaprimaria o básica secundaria                            | 47 | 55.95        |
| Media   | 19 | 22.62        |
| superioro universitario (1 a 4 años)                          | 10 | 11.90        |
| superior ouniversitario (5 años o más)                        | 5  | 5.95         |
| Total   | 84 | 100          |

| PPI | Promedio | S.D     | Mi | Max | N |
|-----|----------|---------|----|-----|---|
|     |          |         | n  |     |   |
|     | 44.91007 |         |    |     | 8 |
|     | 5        | 11.4774 | 21 | 68  | 4 |

| 125. Cuántas personas de su hogar tienen entre 12 y 18 años? |    |              |
|--|----|--------------|
|  | N  | Porcentaje % |
| 0  | 51 | 60.71        |
| 1  | 21 | 25.00        |

|       |    |      |
|-------|----|------|
| 2     | 7  | 8.33 |
| 3     | 5  | 5.95 |
| Total | 84 | 100  |

| <b>126. ¿Cuántas personas del hogar de 12 a 18 años están asistiendo a un establecimiento escolar?</b> |    |              |
|--|----|--------------|
|  | N  | Porcentaje % |
| 0  | 3  | 9.09         |
| 1  | 19 | 57.58        |
| 2  | 9  | 27.27        |
| 3  | 2  | 6.06         |
| Total  | 33 | 100          |

| <b>127. Cómo califica la calidad del servicio educativo que reciben</b> |    |              |
|---|----|--------------|
|   | N  | Porcentaje % |
| Mala  | 3  | 10.00        |
| Buena   | 22 | 73.33        |
| muy buena   | 5  | 16.67        |

|       |    |        |
|-------|----|--------|
| Total | 30 | 100.00 |
|-------|----|--------|

| 128. Actualmente, ¿Cuántas personas del hogar están inscritas en el sistema de salud |    |              |
|--|----|--------------|
|  | N  | Porcentaje % |
| 1  | 2  | 2.38         |
| 2  | 11 | 13.10        |
| 3  | 15 | 17.86        |
| 4  | 27 | 32.14        |
| 5  | 16 | 19.05        |
| 6  | 7  | 8.33         |
| 7  | 3  | 3.57         |
| 8  | 2  | 2.38         |
| 10   | 1  | 1.19         |
| Total  | 84 | 100.00       |

129. ¿Cómo califica la calidad del servicio de salud al que tienen acceso estas personas inscritas?

|           | N  | Porcentaje % |
|-----------|----|--------------|
| muy mala  | 13 | 15.48        |
| Mala      | 24 | 28.57        |
| Buena     | 44 | 52.38        |
| muy buena | 3  | 3.57         |
| Total     | 84 | 100.00       |

**130.** ¿De dónde viene o donde toman principalmente el agua para preparar los alimentos?

|  | N  | Porcentaje % |
|--|----|--------------|
| Rio, quebrada, manantial, nacimiento, agua embotellada | 21 | 25.00        |
| De pozo, lluvia, aljibe                                | 9  | 10.71        |
| Acueducto por tubería, otra fuente por tubería         | 54 | 64.29        |
| Total  | 84 | 100.00       |

**131.** ¿Cuánto tiempo le toma desplazarse para conseguir el agua que usa principalmente para preparar alimentos?

|                      | N  | Porcentaje % |
|----------------------|----|--------------|
| menos de 5 minutos   | 80 | 95.24        |
| entre 6 y 20 minutos | 2  | 2.38         |
| entre 1 y 2 horas    | 1  | 1.19         |
| ns/nr                | 1  | 1.19         |
| Total                | 84 | 100.00       |

**132.** ¿Cómo calificaría la calidad del agua que usan principalmente para preparar los alimentos?

|           | N  | Porcentaje % |
|-----------|----|--------------|
| muy mala  | 1  | 1.19         |
| Mala      | 12 | 14.29        |
| Buena     | 58 | 69.05        |
| muy buena | 13 | 15.48        |
| Total     | 84 | 100          |

**133.** ¿En cuál de los siguientes rangos se encuentran los ingresos familiares mensuales de su hogar, incluyendo las remesas del exterior y el ingreso de todos los adultos e hijos que trabajan?

|                             | N  | Porcentaje % |
|-----------------------------|----|--------------|
| ningún ingreso              | 2  | 2.38         |
| Menos de 140.000            | 2  | 2.38         |
| entre 140.001 y 300.000     | 4  | 4.76         |
| entre 300.001 y 500.000     | 12 | 14.29        |
| entre 500.001 y 700.000     | 15 | 17.86        |
| entre 700.001 y 1.000.000   | 17 | 20.24        |
| entre 1.000.001 y 1.500.000 | 17 | 20.24        |
| entre 1.500.001 y 2,000.000 | 7  | 8.33         |
| más de 2.000.000            | 8  | 9.52         |
| Total                       | 84 | 100.00       |

**134.** ¿Cuáles de las siguientes actividades representan una fuente de ingresos en su hogar?

|                                 | N  | Porcentaje % |
|---------------------------------|----|--------------|
| Explotación de minas o canteras | 71 | 63.39        |
| Agropecuario                    | 21 | 18.75        |

|  |     |        |
|--|-----|--------|
| Apicultura y miel                          | 2   | 1.79   |
| Siembra y comercialización de Achiote      | 0   | 0.00   |
| Siembra y comercialización de Acacia       | 0   | 0.00   |
| Artesanías                                 | 0   | 0.00   |
| Comercio                                   | 11  | 9.82   |
| Transporte                                 | 2   | 1.79   |
| Servicios sociales, comunales y personales | 1   | 0.89   |
| Otro. ¿Cuál?                               | 3   | 2.68   |
| Ns/Nr                                      | 1   | 0.89   |
|  | 112 | 100.00 |

| 135. ¿En cuál de los siguientes rangos se encuentran los gastos familiares mensuales de este hogar? |    |              |
|---|----|--------------|
|   | N  | Porcentaje % |
| menos de 140.000  | 2  | 2.38         |
| entre 140.001 y 300.000   | 1  | 1.19         |
| entre 300.001 y 500.000   | 10 | 11.90        |

|                             |           |               |
|-----------------------------|-----------|---------------|
| entre 500.001 y 700.000     | 18        | 21.43         |
| entre 700.001 y 1.000.000   | 30        | 35.71         |
| entre 1.000.001 y 1.500.000 | 14        | 16.67         |
| entre 1.500.001 y 2.000.000 | 8         | 9.52          |
| más de 2.000.000            | 1         | 1.19          |
| <b>Total</b>                | <b>84</b> | <b>100.00</b> |

**136.** En una escala de 1 a 5 dónde 1 es completamente en desacuerdo y 5 completamente de acuerdo, qué tan de acuerdo está con cada una de las siguientes afirmaciones.

|                             | a. La coca (amapola, marihuana) debería ser sustituida porque es ilegal. |              | b. La producción de coca (amapola, marihuana) es mala para las familias cultivadoras y la comunidad. |              | c. Los cultivos lícitos pueden remplazar los ingresos de cultivos de coca y garantizar la subsistencia de las familias que la cultivan. |              | d. Mi familia y amigos piensan que cultivar coca es malo. |              |
|-----------------------------|--|--------------|--|--------------|---|--------------|---|--------------|
|                             | N  | Porcentaje % | N  | Porcentaje % | N   | Porcentaje % | N   | Porcentaje % |
| Completamente en desacuerdo | 8  | 9.52         | 5  | 5.95         | 8   | 9.52         | 5   | 5.95         |

|                                |    |       |    |       |    |       |    |       |
|--------------------------------|----|-------|----|-------|----|-------|----|-------|
| Desacuerdo                     | 13 | 15.48 | 15 | 17.86 | 6  | 19.05 | 0  | 11.90 |
| Ni de acuerdo ni en desacuerdo | 5  | 5.95  | 5  | 5.95  | 6  | 7.14  | 7  | 8.33  |
| De acuerdo                     | 28 | 33.33 | 32 | 38.10 | 30 | 35.71 | 8  | 45.24 |
| Completamente de acuerdo       | 28 | 33.33 | 25 | 29.76 | 21 | 25.00 | 1  | 25.00 |
| NS/NR                          | 2  | 2.38  | 2  | 2.38  | 3  | 3.57  | 3  | 3.57  |
| Total                          | 84 | 100.0 | 84 | 100.0 | 84 | 100   | 84 | 100.0 |

| 137. ¿Usted o su familia hacen parte de una UPM |    |              |
|---|----|--------------|
|   | N  | Porcentaje % |
| Si  | 66 | 78.57        |
| No  | 18 | 21.43        |
| Total   | 84 | 100          |

| 138. ¿La UPM es suya o de su familia? |   |              |
|---------------------------------------|---|--------------|
|                                       | N | Porcentaje % |

|       |    |       |
|-------|----|-------|
| Si    | 56 | 84.85 |
| No    | 10 | 15.15 |
| Total | 66 | 100   |

| <b>139. ¿Cuántos empleados tiene la UPM a la cual pertenece?</b> |    |              |
|--|----|--------------|
|  | N  | Porcentaje % |
| de 1 a 5empleados  | 15 | 22.73        |
| de 6 a 10empleados   | 17 | 25.76        |
| de 11 a 15empleados  | 20 | 30.30        |
| de 16 a 20empleados  | 9  | 13.64        |
| más de 20empleados   | 5  | 7.58         |
| Total  | 66 | 100.00       |

| <b>140. ¿Cómo suele acordar la UPM los términos del trabajo con los empleados?</b> |    |              |
|--|----|--------------|
|  | N  | Porcentaje % |
| verbal   | 15 | 22.73        |
| escrito  | 48 | 72.73        |

|       |    |        |
|-------|----|--------|
| NS/NR | 3  | 4.55   |
| Total | 66 | 100.00 |

| I41. ¿La UPM vincula a sus empleados a seguridad social? |    |              |
|--|----|--------------|
|  | N  | Porcentaje % |
| si   | 56 | 84.85        |
| no   | 8  | 12.12        |
| NS/NR  | 2  | 3.03         |
| Total  | 66 | 100          |

| I42. ¿Usted o su familia han recibido algún ingreso de la actividad productiva de minería? |    |              |
|--|----|--------------|
|  | N  | Porcentaje % |
| Si   | 50 | 75.76        |
| No   | 16 | 24.24        |
| Total  | 66 | 100          |

| <b>143. ¿Con qué frecuencia se reciben ingresos por el desarrollo de la actividad productiva de minería?</b> |           |               |
|--|-----------|---------------|
|  | N         | Porcentaje %  |
| Diario   | 2         | 3.03          |
| Semanal  | 9         | 13.64         |
| Quincenal  | 30        | 45.45         |
| Mensual  | 16        | 24.24         |
| Bimensual  | 1         | 1.52          |
| Trimestral   | 1         | 1.52          |
| Anual  | 2         | 3.03          |
| ns/nr  | 5         | 7.58          |
| <b>Total</b>   | <b>66</b> | <b>100.00</b> |

### Tabulados Generales Cadenas

**301.** ¿Usted y su familia participan en la actividad de apicultura del programa Oro Legal?

|       | N       | Porcent<br>aje % |
|-------|---------|------------------|
| Si    | 11<br>0 | 45.27            |
| No    | 13<br>3 | 54.73            |
| Total | 24<br>3 | 100              |

**302.** ¿Hace cuánto tiempo es beneficiario o participante de la actividad de apicultura del programa Oro Legal?

|   | N | Porcent<br>aje % |
|---|---|------------------|
| 1 | 1 | 0.91             |
| 2 | 2 | 1.82             |
| 3 | 3 | 2.73             |
| 4 | 1 | 0.91             |
| 5 | 2 | 1.82             |
| 6 | 9 | 8.18             |
| 7 | 1 | 0.91             |

|       |     |       |
|-------|-----|-------|
| 8     | 2   | 1.82  |
| 9     | 2   | 1.82  |
| 10    | 2   | 1.82  |
| 11    | 2   | 1.82  |
| 12    | 39  | 35.45 |
| 14    | 2   | 1.82  |
| 15    | 3   | 2.73  |
| 18    | 8   | 7.27  |
| 24    | 13  | 11.82 |
| 30    | 2   | 1.82  |
| 36    | 5   | 4.55  |
| 48    | 2   | 1.82  |
| 60    | 2   | 1.82  |
| 99    | 2   | 1.82  |
| 120   | 1   | 0.91  |
| 999   | 4   | 3.64  |
| Total | 110 | 100   |

|

|  | I° Mención |              |
|--|------------|--------------|
|  | N          | Porcentaje % |
| -  | 13         | 54.73        |
| Poder comercializar más fácilmente el producido    | 11         | 4.53         |
| Mejorar ingresos                                   | 63         | 25.93        |
| Proteger el medio ambiente                         | 22         | 9.05         |
| Mejorar condiciones de salud suyas y de su familia | 1          | 0.41         |
| Evitar problemas con las autoridades               | 2          | 0.82         |
| Participar en una actividad menos riesgosa         | 8          | 3.29         |
| Otro, ¿Cuál?                                       | 2          | 0.82         |
| Ns/Nr  | 1          | 0.41         |

|       |    |       |
|-------|----|-------|
|       | 24 |       |
| Total | 3  | 100.0 |

|  |     |                  |
|--|-----|------------------|
| <b>304.</b> Desde su participación en el programa ¿Usted o su familia ha recibido algún ingreso de la actividad de apicultura? |     |                  |
|  | N   | Porcent<br>aje % |
| Si   | 26  | 23.64            |
| No   | 81  | 73.64            |
| ns/nr  | 3   | 2.73             |
| Total  | 110 | 100.01           |

|   |   |                  |
|---|---|------------------|
| <b>305.</b> ¿Con qué frecuencia se reciben ingresos por el desarrollo de la actividad de apicultura dentro del programa de Oro Legal? |   |                  |
|   | N | Porcent<br>aje % |
| mensual   | 2 | 7.69             |
| bimensual   | 3 | 11.54            |

|   |    |                  |
|---|----|------------------|
| trimestral  | 6  | 23.08            |
| semestral   | 10 | 38.46            |
| anual   | 5  | 19.23            |
| Total   | 26 | 100              |
| <p><b>306.</b> ¿Cómo califica en una escala de 1 a 5 siendo 1 Muy insatisfecho y 5 Muy satisfecho la frecuencia con la que se reciben ingresos por la actividad de apicultura dentro del programa de Oro Legal?</p> |    |                  |
|   | N  | Porcent<br>aje % |
| 1   | 2  | 7.69             |
| 2   | 2  | 7.69             |
| 3   | 1  | 3.85             |
| 4   | 7  | 26.92            |
| 5   | 14 | 53.85            |
| Total   | 26 | 100              |

| 307. ¿Qué medios de transporte usa la mayoría de las veces para transportar su producto de la actividad de apicultura para comercializarlo? |    |               |
|---|----|---------------|
|   | N  | Porcent aje % |
| Caballo o mula  | 0  | 0             |
| Lancha o canoa  | 4  | 1.65          |
| Carro   | 1  | 0.41          |
| Moto  | 19 | 7.82          |
| Camión  | 0  | 0             |
| Caminando   | 3  | 1.23          |
| Otro cual _____   | 3  | 1.23          |
| Total   | 30 | 12.34         |

| 308. Cuánto le cuesta habitualmente el transportar 1 litro de su producto de la actividad de apicultura para comercializarlo? |   | 308. Valor en letras |               |
|---|---|----------------------|---------------|
|   | N | Porcent aje %        |               |
|   |   |                      | N             |
|   |   |                      | Porcent aje % |

|       |   |       |                                       |     |      |
|-------|---|-------|---------------------------------------|-----|------|
| 9     | 2 | 7.69  | -                                     | 217 | 89.3 |
| 99    | 1 | 3.85  | 100                                   | 1   | 0.41 |
| 100   | 3 | 11.54 | 9                                     | 2   | 0.82 |
| 200   | 5 | 19.23 | 999                                   | 1   | 0.41 |
| 300   | 1 | 3.85  | Cien pesos                            | 3   | 1.23 |
| 400   | 1 | 3.85  | Cuatrocientos pesos                   | 1   | 0.41 |
| 800   | 1 | 3.85  | Doscientos pesos                      | 3   | 1.23 |
| 810   | 1 | 3.85  | Mil trescientos pesos                 | 1   | 0.41 |
| 999   | 2 | 7.69  | No tiene ningún gasto la asociación t | 1   | 0.41 |
| 1000  | 1 | 3.85  | gasto la asociación t..               | 1   | 0.41 |
| 1300  | 1 | 3.85  | Ochocientos pesos                     | 1   | 0.41 |
| 5000  | 1 | 3.85  | Quince mil pesos                      | 1   | 0.41 |
| 10000 | 2 | 7.69  | cinco mil pesos                       | 1   | 0.41 |
| 12000 | 1 | 3.85  | diez mil pesos                        | 2   | 0.82 |
| 15000 | 1 | 3.85  | doce mil pesos                        | 1   | 0.41 |
| 20000 | 1 | 3.85  | doscientos pesos                      | 1   | 0.41 |
| 80000 | 1 | 3.85  | mil pesos                             | 1   | 0.41 |

|       |     |        |                        |   |      |
|-------|-----|--------|------------------------|---|------|
| Total | 26  | 100.04 | ochenta mil pesos      | 1 | 0.41 |
|       |     |        | ochocientos diez pesos | 1 | 0.41 |
|       |     |        | trescientos pesos      | 1 | 0.41 |
|       |     |        | veintemil pesos        | 1 | 0.41 |
| Total | 243 | 99.96  |                        |   |      |

**309.** ¿Cuánto tiempo le toma, en promedio, transportar su producto de la actividad de apicultura para comercializarlo?

|                       | N  | Porcentaje % |
|-----------------------|----|--------------|
| menos de 15 minutos   | 2  | 7.69         |
| entre 16 y 30 minutos | 7  | 26.92        |
| entre 31 y 45 minutos | 5  | 19.23        |
| entre 46 y 60 minutos | 5  | 19.23        |
| entre 1 y 2 horas     | 5  | 19.23        |
| entre 2 y 3 horas     | 2  | 7.69         |
| Total                 | 26 | 99.99        |

| a. Acopio         |    |                  |
|-------------------|----|------------------|
|                   | N  | Porcent<br>aje % |
| Nada              | 4  | 15.38            |
| Menos de la mitad | 2  | 7.69             |
| La mitad          | 4  | 15.38            |
| Más de la mitad   | 7  | 26.92            |
| Todo              | 9  | 34.62            |
| Total             | 26 | 99.99            |

| 311. ¿La principal actividad económica suya o de su familia estaba relacionada con apicultura o producción y comercialización de miel antes de la llegada del programa Oro Legal? |    |                  |
|---|----|------------------|
|   | N  | Porcent<br>aje % |
| Sí  | 48 | 43.64            |

|       |    |       |
|-------|----|-------|
| No    | 62 | 56.36 |
|       | 11 |       |
| Total | 0  | 100   |

**312.** ¿Tuvo que firmar un contrato para participar en la actividad de apicultura del programa Oro Legal?

|       | N  | Porcentaje % |
|-------|----|--------------|
| Si    | 55 | 50           |
| No    | 48 | 43.64        |
| ns/nr | 7  | 6.36         |
|       | 11 |              |
| Total | 0  | 100          |

**313.** ¿Qué compromisos adquirió usted y su familia con el programa de Oro Legal al incorporarse a la actividad de apicultura?

|                      | N  | Porcentaje % |
|----------------------|----|--------------|
|                      | 10 |              |
| Aportar mano de obra | 6  | 43.62        |

|                                       |    |        |
|---------------------------------------|----|--------|
| Aportar dinero                        | 6  | 2.47   |
| Aportar tierra                        | 52 | 21.4   |
| Aportar materiales                    | 21 | 8.64   |
| Capacitarse                           | 88 | 36.21  |
| Seguir recomendaciones de asesores    | 66 | 27.16  |
| Dar al programa información verdadera | 62 | 25.51  |
| Nada                                  | 0  | 0      |
| Otro, ¿Cuál?                          | 2  | 0.82   |
| Ns/Nr                                 | 0  | 0      |
|                                       | 40 |        |
| Total                                 | 3  | 165.83 |

|                      | N  | Porcent<br>aje % | Max (Hectareas) |
|----------------------|----|------------------|-----------------|
| -                    | 13 |                  |                 |
|                      | 3  | 54.73            |                 |
| 1. Propia sin título | 20 | 8.23             | 150.000         |
| 2. Propia con título | 14 | 5.76             | 1,000,000.000   |

|                              |    |       |             |
|------------------------------|----|-------|-------------|
| 3. en Arriendo o subarriendo | 41 | 16.87 | 100,000.000 |
| 4. Aparcería                 | 4  | 1.65  | 6.000       |
| 5. En usufructo              | 18 | 7.41  | 300.000     |
| 6. En concesión              | 4  | 1.65  | 13.000      |
| 7. En sucesión con título    | 0  | 0     |             |
| 8. En sucesión sin título    | 2  | 0.82  | 10.000      |
| 9. Propiedad colectiva       | 7  | 2.88  | 500.000     |
| Total                        | 24 | 3     | 100         |

|    | a. Asesoría legal | c. Asesoría técnica en temas de abejas | d. Asesoría técnica en comercialización de miel y subproductos | e. Asistencia técnica en manipulación de equipos y herramientas | f. Capacitaciones técnicas apícolas | g. Capacitación seguridad en el trabajo | h. Capacitación empresarial |
|----|-------------------|--|--|---|-------------------------------------|---|-----------------------------|
|    | Porcentaje<br>N % | Porcentaje<br>N %                      | Porcentaje<br>N %  | Porcentaje<br>N %   | Porcentaje<br>N %                   | Porcentaje<br>N %                       | Porcentaje<br>N %           |
| Si | 88 80             | 93 84.55                               | 59 53.64   | 72 65.45  | 86 78.18                            | 70 63.64                                | 54 49.09                    |

|       |     |     |     |       |     |       |     |       |     |       |    |       |    |       |
|-------|-----|-----|-----|-------|-----|-------|-----|-------|-----|-------|----|-------|----|-------|
| No    | 22  | 20  | 17  | 15.45 | 51  | 46.36 | 38  | 34.55 | 24  | 21.82 | 4  | 36.36 | 5  | 50.91 |
| Total | 110 | 100 | 110 | 100   | 110 | 100   | 110 | 100   | 110 | 100   | 11 | 100   | 11 | 100   |

| 315. Otro cual?            |    |              |
|----------------------------|----|--------------|
|                            | N  | Porcentaje % |
| -                          | 13 | 96.4         |
| Acompañamientos técnicos   | 1  | 0.72         |
| Asistencia con siclogo     | 1  | 0.72         |
| Cajonera                   | 1  | 0.72         |
| Orden con los materiales   | 1  | 0.72         |
| Transporte de las colmenas | 1  | 0.72         |
| Total                      | 13 | 100          |

|                               | a. Asesoría legal | c. Asesoría técnica en temas de abejas | d. Asesoría técnica en comercialización de miel y subproductos | e. Asistencia técnica en manipulación de equipos y herramientas | f. Capacitaciones técnicas apícolas | g. Capacitación seguridad en el trabajo | h. Capacitación empresarial |
|-------------------------------|-------------------|--|--|---|-------------------------------------|---|-----------------------------|
|                               | N                 | N                                      | N  | N   | N                                   | N                                       | N                           |
|                               | Porcentaje %      | Porcentaje %                           | Porcentaje %   | Porcentaje %  | Porcentaje %                        | Porcentaje %                            | Porcentaje %                |
| Muy insatisfecho              | 2 2.27            |  |  | 1 1.39  |                                     |   |                             |
| Insatisfecho                  | 6 6.82            | 5 5.38                                 | 5.08 5.08  | 2 2.78  | 4 4.65                              | 2 2.86                                  | 1 1.85                      |
| Ni satisfecho ni insatisfecho | 5 5.68            | 7 7.53                                 | 5 8.47   | 2 2.78  | 3 3.49                              | 1 1.43                                  | 7 12.96                     |
| Satisfecho                    | 54 61.36          | 55 59.14                               | 42 71.19   | 46 63.89  | 51 59.3                             | 4 6 65.71                               | 3 5 64.81                   |
| Muy satisfecho                | 21 23.86          | 26 27.96                               | 9 15.25  | 21 29.17  | 28 32.56                            | 2 1 30                                  | 1 1 20.37                   |
| Total                         | 88 100            | 93 100                                 | 61 100   | 72 100  | 86 100                              | 7 0 100                                 | 5 4 100                     |

|  |  |   |  |
|--|--|---|--|
| a. El apoyo de Oro Legal para mi actividad de apicultura | c. El apoyo de Oro Legal para mi actividad de apicultura ha contribuido a que los ingresos en mi hogar sean más estables | d. Quisiera continuar en 5 años con la actividad apicultura del | e. Si no hubiera más apoyo del programa de Oro Legal, seguiría |
|--|--|---|--|

|                                   | ha<br>contribuido<br>a mejorar la<br>calidad de<br>vida de mi<br>familia |                  |     | programa Oro<br>Legal |     | trabajando<br>en la<br>apicultura |     |                  |
|-----------------------------------|--|------------------|-----|-----------------------|-----|-----------------------------------|-----|------------------|
|                                   | N  | Porcent<br>aje % | N   | Porcent<br>aje %      | N   | Porcent<br>aje %                  | N   | Porcen<br>taje % |
| completamente en<br>desacuerdo    | 1  | 0.91             | 3   | 2.73                  |     |                                   |     |                  |
| desacuerdo                        | 12   | 10.91            | 16  | 14.55                 | 1   | 0.91                              | 1   | 0.91             |
| ni de acuerdo ni en<br>desacuerdo | 12   | 10.91            | 20  | 18.18                 | 3   | 2.73                              | 2   | 1.82             |
| de acuerdo                        | 58   | 52.73            | 56  | 50.91                 | 64  | 58.18                             | 60  | 54.55            |
| completamente de acuerdo          | 27   | 24.55            | 15  | 13.64                 | 42  | 38.18                             | 47  | 42.73            |
| Total                             | 110  | 100              | 110 | 100                   | 110 | 100                               | 110 | 100              |

## Tabulados Generales Oro Legal

| 201. Conoce o ha escuchado del Programa Oro Legal, el cual busca formalizar la actividad minera y ayudar al cuidado del medio ambiente. |    |              |
|---|----|--------------|
|   | N  | Porcentaje % |
| Si  | 84 | 100          |
| No  | 0  | 0            |
| Total   | 84 | 100          |

| 201. ¿Cómo se enteró por primera vez del programa de Oro Legal? |    |              |
|---|----|--------------|
|   | N  | Porcentaje % |
| A través de una Unidad de producción Minera                     | 18 | 23.38        |

| 201. Otra, ¿Cuál? |    |              |
|-------------------|----|--------------|
|                   | N  | Porcentaje % |
| -                 | 79 | 94.05        |

|   |   |       |
|---|---|-------|
| Por una asociación a la que pertenece               | 2 | 28.57 |
| Por líderes de su comunidad                         | 4 | 5.19  |
| A través de la alcaldía                             | 0 | 0.00  |
| A través de los funcionarios del programa Oro Legal | 1 | 22.08 |
| Por un miembro de familia o amigo                   | 2 | 2.60  |
| Otro ¿Cuál?   | 1 | 18.18 |
| Ns/Nr   | 0 | 0.00  |
| Total   | 7 | 100   |

|  |    |       |
|--|----|-------|
| Atrás vez del consejo comunitario,y alcaldia | 3  | 3.57  |
| Por una asociación a la que pertenece        | 1  | 1.19  |
| Por líderes de su comunidad                  | 1  | 1.19  |
| Total  | 84 | 100.0 |

**203.** Hoy en día, ¿Usted y su familia participan en la actividad de minería del programa Oro Legal?

|       | N  | Porcentaje % |
|-------|----|--------------|
| Si    | 75 | 89.29        |
| no    | 9  | 10.71        |
| Total | 84 | 100.00       |

**204. ¿Cuántos miembros del hogar son beneficiarios del programa de Oro Legal?**

|   | N  | Porcentaje % |
|---|----|--------------|
| 1 | 35 | 46.67        |
| 2 | 6  | 21.33        |
| 3 | 7  | 9.33         |
| 4 | 9  | 12.00        |
| 5 | 3  | 4.00         |
| 6 | 4  | 5.33         |

|       |   |      |
|-------|---|------|
| 7     | 1 | 1.33 |
| Total | 7 | 100  |

| 205. ¿Hace cuánto tiempo es beneficiario o participante de la actividad de apicultura del programa Oro Legal? |   |              |
|---|---|--------------|
|   | N | Porcentaje % |
| 0   | 5 | 6.67         |
| 2   | 2 | 2.67         |
| 4   | 1 | 1.33         |
| 5   | 3 | 4.00         |
| 6   | 4 | 5.33         |
| 7   | 1 | 1.33         |
| 8   | 4 | 5.33         |
| 9   | 1 | 1.33         |
| 10  | 2 | 2.67         |

|       |   |   |       |
|-------|---|---|-------|
| 12    | 1 | 5 | 20.00 |
| 14    | 2 | 2 | 2.67  |
| 15    | 1 | 1 | 1.33  |
| 18    | 7 | 7 | 9.33  |
| 24    | 7 | 7 | 9.33  |
| 30    | 1 | 1 | 1.33  |
| 36    | 1 | 1 | 1.33  |
| 48    | 1 | 1 | 1.33  |
| 96    | 1 | 1 | 1.33  |
| 999   | 1 | 6 | 21.33 |
| Total | 7 | 5 | 100   |

|  |            |
|--|------------|
| <b>206. ¿Cuáles fueron sus 2 principales motivaciones para participar en la actividad de minería del programa Oro Legal?</b> |            |
| 1° Mención   | 2° Mención |

|  | Porcentaje |       | N  | Porcentaje % |
|--|------------|-------|----|--------------|
|  | N          | %     |    |              |
| -  |            |       |    |              |
| Formalizar y legalizar el negocio                  | 4          |       |    |              |
|  | 6          | 61.33 | 12 | 25.53        |
| Poder comercializar más fácilmente el producido    | 5          | 6.67  | 8  | 17.02        |
| Mejorar ingresos                                   | 9          | 12.00 | 7  | 14.89        |
| Proteger el medio ambiente                         | 5          | 6.67  | 12 | 25.53        |
| Mejorar condiciones de salud suyas y de su familia | 0          | 0.00  | 2  | 4.26         |
| Evitar problemas con las autoridades               | 4          | 5.33  | 4  | 8.51         |
| Participar en una actividad menos riesgosa         | 4          | 5.33  | 1  | 2.13         |
| Otro, ¿Cuál?                                       | 2          | 2.67  | 1  | 2.13         |
| Ns/Nr  | 0          | 0.00  | 0  | 0.00         |
| Total  | 7          |       |    |              |
|  | 5          | 100.0 | 47 | 100.0        |

| <b>207.</b> ¿La principal actividad económica suya o de su familia estaba relacionada con minería antes de la llegada del programa Oro Legal? |        |              |
|---|--------|--------------|
|   | N      | Porcentaje % |
| Si  | 5<br>6 | 74.67        |
| No  | 1<br>9 | 25.33        |
| ns/nr   | 0      | 0.00         |
| Total   | 7<br>5 | 100          |

| <b>208.</b> ¿Tuvo que firmar un contrato para participar en la actividad de minería del programa Oro Legal? |        |              |
|---|--------|--------------|
|   | N      | Porcentaje % |
| Si  | 5<br>1 | 68.00        |

|       |   |   |       |
|-------|---|---|-------|
| No    | 1 | 7 | 22.67 |
| ns/nr |   | 7 | 9.33  |
| Total | 7 | 5 | 100   |

**209. ¿Qué compromisos adquirió usted y su familia con el programa de Oro Legal al incorporarse a la actividad de minería?**

|                                    | N | Porcentaje % |
|------------------------------------|---|--------------|
| Aportar mano de obra               | 2 | 3 10.50      |
| Aportar dinero                     | 7 | 3.20         |
| Aportar tierra                     | 7 | 3.20         |
| Aportar materiales                 | 5 | 2.28         |
| Capacitarse                        | 5 | 6 25.57      |
| Seguir recomendaciones de asesores | 3 | 6 16.44      |

|   |   |      |       |
|---|---|------|-------|
| Realizar prácticas de minería responsable con el medio ambiente | 5 | 0    | 22.83 |
| Dar al programa información verdadera                           | 3 | 2    | 14.61 |
| Nada  | 1 | 0.46 |       |
| Otro, ¿Cuál?  | 0 | 0.00 |       |
| Ns/Nr   | 2 | 0.91 |       |
|   | 2 |      |       |
|   | 1 |      |       |
| Total   | 9 | 100  |       |

| 210. ¿Qué forma de tenencia tiene el lote que ocupa la actividad de minería del programa Oro Legal? |   |              |                           |                 |                 |
|---|---|--------------|---------------------------|-----------------|-----------------|
|   | N | Porcentaje % | Area promedio (hectareas) | Min (hectareas) | Max (Hectareas) |
| -   | 9 | 10.71        |                           |                 |                 |
| 1. Propia sin título  | 6 | 7.14         | 94.33335                  | 4               | 500             |
| 2. Propia con título  | 1 | 20.24        | 115.8962                  | 0.65            | 999             |

|                              |   |   |       |             |        |        |
|------------------------------|---|---|-------|-------------|--------|--------|
| 3. en Arriendo o subarriendo | 3 | 6 | 42.86 | 87653.15    | 0.0009 | 300000 |
| 4. Aparcería                 | 0 | 0 | 0.00  |             |        | 0      |
| 5. En usufructo              | 0 | 0 | 0.00  |             |        |        |
| 6. En concesión              | 4 | 4 | 4.76  | 750025      | 99     | 300000 |
| 7. En sucesión con título    | 4 | 4 | 4.76  | 500011      | 5      | 200000 |
| 8. En sucesión sin título    | 0 | 0 | 0.00  |             |        | 0      |
| 9. Propiedad colectiva       | 8 | 8 | 9.52  | 6268.556665 | 0      | 50000  |
| Total                        | 8 | 4 | 100   |             |        |        |

**211. ¿Qué aporta el programa Oro Legal a la actividad de minería en el convenio firmado con usted y su familia?**

|                   |                                 |                                 |  |                                    |   |                             |                                  |
|-------------------|---------------------------------|---------------------------------|--|------------------------------------|---|-----------------------------|----------------------------------|
| a. Asesoría legal | b. Asistencia técnica ambiental | c. Asesoría en técnicas mineras | d. Asistencia técnica en manipulación de equipos y | e. Capacitaciones técnicas mineras | a. Capacitación seguridad en el trabajo | g. Capacitación empresarial | h. Capacitación manejo ambiental |
|-------------------|---------------------------------|---------------------------------|--|------------------------------------|---|-----------------------------|----------------------------------|

|       | Porcentaje |       | Porcentaje % |       | Porcentaje |       | Porcentaje |       | Porcentaje |       | Porcentaje |       | herramientas |
|-------|------------|-------|--------------|-------|------------|-------|------------|-------|------------|-------|------------|-------|--------------|
|       | N          | %     | N            | %     | N          | %     | N          | %     | N          | %     | N          | %     |              |
| Si    | 73         | 97.33 | 74           | 98.67 | 71         | 94.67 | 61         | 81.33 | 67         | 89.33 | 71         | 94.67 |              |
| No    | 2          | 2.67  | 1            | 1.33  | 4          | 5.33  | 14         | 18.67 | 8          | 10.67 | 4          | 5.33  |              |
| Total | 75         | 100   | 75           | 100   | 75         | 100   | 75         | 100   | 75         | 100   | 75         | 100   |              |

| 211. Otro cual?            |                   |
|----------------------------|-------------------|
|                            | Porcentaje<br>N % |
|                            | 9 81.82           |
| Conocimiento legal         | 1 9.09            |
| Manejo de material mineral | 1 9.09            |
| Total                      | 11 100            |

211. ¿Cómo califica en una escala de 1 a 5 siendo 1 Muy insatisfecho y 5 Muy satisfecho cada uno de estos aportes?

|                               | a.<br>Asesoría legal | b. Asistencia técnica ambiental | c. Asesoría en técnicas mineras | d. Asistencia técnica en manipulación de equipos y herramientas | e. Capacitaciones técnicas mineras | a. Capacitación seguridad en el trabajo | g. Capacitación empresarial | h. Capacitación manejo ambiental |
|-------------------------------|----------------------|---------------------------------|---------------------------------|---|------------------------------------|---|-----------------------------|----------------------------------|
|                               | Porcentaje<br>N %    | N<br>Porcentaje %               | N<br>Porcentaje %               | Porcentaje<br>N %   | Porcentaje<br>N %                  | Porcentaje<br>N %                       | Porcentaje<br>N %           | Porcentaje<br>N %                |
| Muy insatisfecho              | 5 6.85               | 1 1.35                          | 1 1.41                          | 2 3.28  | 0 0.00                             | 0 0.00                                  | 1 1.49                      | 0 0.00                           |
| Insatisfecho                  | 2 2.74               | 2 2.70                          | 1 1.41                          | 0 0.00  | 1 1.49                             | 2 2.82                                  | 1 1.49                      | 2 2.74                           |
| Ni satisfecho ni insatisfecho | 2 2.74               | 5 6.76                          | 4 5.63                          | 4 6.56  | 3 4.48                             | 3 4.23                                  | 3 4.48                      | 3 4.11                           |
| Satisfecho                    | 4 60.27              | 45 60.81                        | 45 63.38                        | 5 57.38   | 7 55.22                            | 8 53.52                                 | 9 58.21                     | 4 56.16                          |
| Muy satisfecho                | 2 27.40              | 21 28.38                        | 20 28.17                        | 2 32.79   | 2 38.81                            | 2 39.44                                 | 2 34.33                     | 2 36.99                          |
| Total                         | 73 100               | 74 100                          | 71 100                          | 61 100  | 67 100                             | 71 100                                  | 67 100                      | 73 100                           |

212. En una escala de 1 a 5 dónde 1 es completamente en desacuerdo y 5 completamente de acuerdo, qué tan de acuerdo está con cada una de las siguientes afirmaciones

|                                | e. El apoyo de Oro Legal para mi actividad de minería ha contribuido a mejorar la calidad de vida de mi familia |    | f. El apoyo de Oro Legal para mi actividad de minería ha mejorado la salud de mi familia |    | g. El apoyo de Oro Legal para mi actividad de minería ha hecho que mi familia y yo nos sintamos más seguros |                | h. El apoyo de Oro Legal para mi actividad de minería ha hecho que mejoren los ingresos de mi hogar |                | i. El apoyo de Oro Legal para mi actividad de minería ha contribuido a que los ingresos en mi hogar sean más estables |                | j. El apoyo de Oro Legal para mi actividad de minería ha contribuido a que el ambiente sea más limpio. |                | k. El apoyo de Oro Legal ha contribuido a que utilice menos mercurio en mi actividad de minería |  | l. El apoyo de Oro Legal ha contribuido a manejar mejor los residuos que quedan de mi actividad productiva de minería |  |
|--------------------------------|---|----|--|----|---|----------------|---|----------------|---|----------------|--|----------------|---|--|---|--|
|                                | Porcentaje N %  | N  | Porcentaje %   | N  | Porcentaje %  | Porcentaje N % | Porcentaje N %  | Porcentaje N % | Porcentaje N %  | Porcentaje N % | Porcentaje N %   | Porcentaje N % | Porcentaje N %  |  |   |  |
| completamente en desacuerdo    | 7 9.33  | 7  | 9.33   | 6  | 8.00  | 7 9.33         | 7 9.33  | 3 4.00         | 2 2.67  | 2 2.67         |  |                |   |  |   |  |
| desacuerdo                     | 8 10.67   | 12 | 16.00  | 15 | 20.00   | 1 14.67        | 4 18.67   | 5 6.67         | 3 4.00  | 1 1.33         |  |                |   |  |   |  |
| ni de acuerdo ni en desacuerdo | 6 8.00  | 11 | 14.67  | 7  | 9.33  | 6 8.00         | 8 10.67   | 2 2.67         | 3 4.00  | 4 5.33         |  |                |   |  |   |  |

|                          |   |   |       |    |       |    |       |   |       |   |       |   |       |   |       |   |       |
|--------------------------|---|---|-------|----|-------|----|-------|---|-------|---|-------|---|-------|---|-------|---|-------|
| de acuerdo               | 3 | 2 | 42.67 | 27 | 36.00 | 26 | 34.67 | 4 | 45.33 | 1 | 41.33 | 3 | 57.33 | 1 | 54.67 | 1 | 54.67 |
| completamente de acuerdo | 2 | 2 | 29.33 | 18 | 24.00 | 21 | 28.00 | 1 | 22.67 | 1 | 20.00 | 2 | 29.33 | 2 | 34.67 | 7 | 36.00 |
| Total                    | 7 | 5 | 100   | 75 | 100   | 75 | 100   | 7 | 100   | 7 | 100   | 7 | 100   | 7 | 100   | 7 | 100   |

**401.** ¿Usted y su familia participan en la actividad de reforestación con acacia del programa Oro Legal?

|       | N  | Porcentaje % |
|-------|----|--------------|
| Si    | 7  | 29.22        |
| No    | 17 | 70.78        |
| Total | 24 | 100          |

**402.** ¿Cómo participa usted en la actividad de reforestación con acacia?

|                                     | N | Porcentaje % |
|-------------------------------------|---|--------------|
| -                                   | 1 |              |
|                                     | 7 |              |
|                                     | 2 |              |
| Mano de obra                        | 6 |              |
|                                     | 8 | 89%          |
| Prestando la tierra de su propiedad | 8 | 11%          |
| Total                               | 7 |              |
|                                     | 6 | 1            |

**403.**¿Hace cuánto tiempo es beneficiario o participante de la actividad de reforestación con acacia del programa Oro Legal? (Meses)

|   | N | Porcentaje % |
|---|---|--------------|
| 0 | 1 | 1.41         |
| 3 | 2 | 2.82         |
| 4 | 2 | 2.82         |

|    |   |       |
|----|---|-------|
| 5  | 3 | 4.23  |
| 6  | 6 | 8.45  |
| 7  | 2 | 2.82  |
| 8  | 1 | 1.41  |
| 9  | 2 | 2.82  |
| 10 | 2 | 2.82  |
| 11 | 5 | 7.04  |
|    | 1 |       |
| 12 | 7 | 23.94 |
| 13 | 1 | 1.41  |
| 14 | 1 | 1.41  |
| 15 | 1 | 1.41  |
| 17 | 2 | 2.82  |
| 24 | 6 | 8.45  |
| 30 | 1 | 1.41  |
| 36 | 2 | 2.82  |
| 48 | 2 | 2.82  |
| 50 | 1 | 1.41  |

|       |   |      |
|-------|---|------|
| 52    | 1 | 1.41 |
| 60    | 4 | 5.63 |
| 120   | 1 | 1.41 |
| 999   | 5 | 7.04 |
| Total | 7 | 100  |

|

| 404. ¿Cuáles fueron sus 2 principales motivaciones para participar en la actividad de reforestación con acacia del programa Oro Legal? |                   |            |              |
|--|-------------------|------------|--------------|
|  | 1° Mención        | 2° Mención |              |
|  | Porcentaje<br>N % | N          | Porcentaje % |
| -  | 1<br>7<br>2 70.78 |            |              |
| Poder comercializar más fácilmente el producido  |                   | 4          | 6.35         |
| Mejorar ingresos   | 3<br>2 13.17      | 21         | 33.33        |

|  |   |       |    |       |
|--|---|-------|----|-------|
| Proteger el medio ambiente                         | 2 |       |    |       |
|  | 8 | 11.52 | 23 | 36.51 |
| Mejorar condiciones de salud suyas y de su familia | 3 | 1.23  | 4  | 6.35  |
| Evitar problemas con las autoridades               | 2 | 0.82  | 4  | 6.35  |
| Participar en una actividad menos riesgosa         | 4 | 1.65  | 7  | 11.11 |
| Otro, ¿Cuál?                                       | 1 | 0.41  |    |       |
| Ns/Nr  | 1 | 0.41  |    |       |
|  | 2 |       |    |       |
|  | 4 |       |    |       |
| Total  | 3 | 100.0 | 63 | 100.0 |

|  |    |            |
|--|----|------------|
| <b>405.</b> Desde su participación en el programa ¿Usted o su familia ha recibido algún ingreso de la actividad de reforestación con acacia? |    |            |
|  |    | Porcentaje |
|  | N  | %          |
| Si   | 20 | 28.17      |

|       |   |       |
|-------|---|-------|
| No    | 5 |       |
| ns/nr | 1 | 71.83 |
| Total | 7 | 100   |

**406.** ¿Con qué frecuencia se reciben ingresos por el desarrollo de la actividad de reforestación con acacia dentro del programa de Oro Legal?

|            | N  | Porcentaje % |
|------------|----|--------------|
| diario     | 1  | 5            |
| semanal    | 9  | 45           |
| quincenal  | 2  | 10           |
| mensual    | 1  | 5            |
| trimestral | 1  | 5            |
| anual      | 5  | 25           |
| ns/nr      | 1  | 5            |
| Total      | 20 | 100          |

**407.** ¿Cómo califica en una escala de 1 a 5 siendo 1 Muy insatisfecho y 5 Muy satisfecho la frecuencia con la que se reciben ingresos por la actividad de reforestación con acacia dentro del programa de Oro Legal?

|       | N  | Porcentaje % |
|-------|----|--------------|
| 1     | 5  | 25           |
| 2     | 1  | 5            |
| 3     | 1  | 5            |
| 4     | 4  | 20           |
| 5     | 9  | 45           |
| Total | 20 | 100          |

**408.** ¿Qué medios de transporte usa la mayoría de las veces para transportar su producto de la actividad de reforestación para comercializarlo?

|                 | N | Porcentaje % |
|-----------------|---|--------------|
| Caballo o mula  | 1 | 0.41         |
| Lancha o canoa  | 1 | 0.41         |
| Carro           | 2 | 0.82         |
| Moto            | 2 | 0.82         |
| Camión          | 1 | 0.41         |
| Caminando       | 7 | 2.88         |
| Otro cual _____ | 8 | 3.29         |
| Total           | 2 | 9.04         |

**409.** Cuánto le cuesta habitualmente el transportar su producto de la actividad de reforestación para comercializarlo?

|   | N | Porcentaje % |
|---|---|--------------|
| 0 | 5 | 25           |
| 9 | 1 | 5            |

**409.** Valor en letras

|   | N   | Porcentaje % |
|---|-----|--------------|
| - | 223 | 91.77        |
| 0 | 1   | 0.41         |

|        |   |     |
|--------|---|-----|
| 99     | 7 | 35  |
| 999    | 3 | 15  |
| 14000  | 2 | 10  |
| 100000 | 2 | 10  |
| Total  | 0 | 100 |

|                               |     |       |
|-------------------------------|-----|-------|
| 99                            | 2   | 0.82  |
| 999                           | 3   | 1.23  |
| Cero                          | 3   | 1.23  |
| Cien mil pesos                | 1   | 0.41  |
| Nada                          | 1   | 0.41  |
| No sabe                       | 2   | 0.82  |
| Solo han hecho siembra        | 1   | 0.41  |
| Todavía no han comercializado | 1   | 0.41  |
| catorce mil pesos             | 2   | 0.82  |
| cien mil pesos                | 1   | 0.41  |
| nueve nueve                   | 2   | 0.82  |
| Total                         | 243 | 99.97 |

**410.** ¿Cuánto tiempo le toma, en promedio, transportar su producto de acacia para comercializarlo?

|                       | N  | Porcentaje % |
|-----------------------|----|--------------|
| menos de 15 minutos   | 3  | 15           |
| entre 16 y 30 minutos | 2  | 10           |
| entre 46 y 60 minutos | 1  | 5            |
| entre 1 y 2 horas     | 6  | 30           |
| entre 2 y 3 horas     | 1  | 5            |
| más de 4 horas        | 7  | 35           |
| Total                 | 20 | 100          |

| <b>411. ¿La principal actividad económica de usted o de su familia estaba relacionada con acacia o madera antes de la llegada del programa Oro Legal?</b> |   |              |
|---|---|--------------|
|   | N | Porcentaje % |
| Sí  | 1 | 14.08        |

|       |   |   |       |
|-------|---|---|-------|
| No    | 6 | 0 | 84.51 |
| Ns/nr | 1 | 1 | 1.41  |
| Total | 7 | 0 | 98.59 |

**412.** ¿Tuvo que firmar un contrato para participar en la actividad de reforestación con acacia del programa Oro Legal?

|       | N | Porcentaje % |
|-------|---|--------------|
| Sí    | 2 | 8 39.44      |
| No    | 3 | 9 54.93      |
| Ns/nr | 4 | 5 5.63       |
| Total | 7 | 1 100        |

**413.** ¿Qué compromisos adquirió usted y su familia con el programa de

| Oro Legal al incorporarse a la actividad de reforestación con acacia? |   |              |
|---|---|--------------|
|   | N | Porcentaje % |
| Aportar mano de obra  | 6 | 26.34        |
| Aportar dinero  | 1 | 0.41         |
| Aportar tierra  | 1 | 5.35         |
| Aportar materiales  | 3 | 1.23         |
| Capacitarse   | 4 | 17.7         |
| Seguir recomendaciones de asesores                                    | 3 | 14.81        |
| Dar al programa información verdadera                                 | 2 | 11.52        |
| Nada  | 3 | 1.23         |
| Otro, ¿Cuál?  | 1 | 0.41         |
| Ns/Nr   | 0 | 0            |

|       |   |    |
|-------|---|----|
|       | 1 |    |
|       | 9 |    |
| Total | 2 | 79 |

| 414. ¿Qué forma de tenencia tiene el lote que ocupa la actividad de reforestación con acacia del programa Oro Legal? |   |              |                           |                 |                 |
|--|---|--------------|---------------------------|-----------------|-----------------|
|  | N | Porcentaje % | Area promedio (hectareas) | Min (hectareas) | Max (Hectareas) |
| -  | 1 | 70.78        |                           |                 |                 |
| 1. Propia sin título   | 2 | 4.94         | 4.576667                  | 1.000           | 17.000          |
| 2. Propia con título   | 9 | 3.7          | 111,145.100               | 1.000           | 1,000,000.000   |
| 3. en Arriendo o subarriendo   | 8 | 3.29         | 6.580                     | 0.640           | 12.000          |
| 4. Aparcería   | 1 | 0.41         | 214.000                   | 214.000         | 214.000         |
| 5. En usufructo  | 8 | 7.41         | 104.000                   | 1.000           | 500.000         |
| 6. En concesión  | 2 | 0.82         | 8.000                     | 3.000           | 13.000          |
| 7. En sucesión con título  | 0 | 0            |                           |                 |                 |
| 8. En sucesión sin título  | 0 | 0            |                           |                 |                 |

|                        |   |   |       |         |       |         |
|------------------------|---|---|-------|---------|-------|---------|
| 9. Propiedad colectiva | 2 | 1 | 8.64  | 155.529 | 1.000 | 500.000 |
| Total                  | 2 | 3 | 99.99 |         |       |         |

**415. ¿Qué aporta el programa de oro legal para la actividad de reforestación con acacia en el convenio firmado con usted y su familia?**

|       | a. Asesoría legal | b. Asistencia técnica ambiental | c. Asesoría técnica en siembra, poda y mantenimiento de la acacia | d. Asesoría técnica en corte, acopio, transporte y comercialización | e. Asistencia técnica en manipulación de equipos y herramientas | f. Capacitaciones técnicas | g. Capacitación seguridad en el trabajo | h. Capacitación empresarial |
|-------|-------------------|---------------------------------|---|---|---|----------------------------|---|-----------------------------|
|       | Porcentaje<br>N % | Porcentaje<br>N %               | Porcentaje<br>N %   | Porcentaje<br>N %   | Porcentaje<br>N %   | Porcentaje<br>N %          | Porcentaje<br>N %                       | Porcentaje<br>N %           |
| Si    | 4<br>9 69.01      | 53<br>74.65                     | 59<br>83.1  | 31<br>43.66   | 4<br>6 64.79  | 4<br>8 67.61               | 4<br>2 59.15                            | 3<br>0 42.25                |
| No    | 2<br>2 30.99      | 18<br>25.35                     | 12<br>16.9  | 40<br>56.34   | 2<br>5 35.21  | 2<br>3 32.39               | 2<br>9 40.85                            | 4<br>1 57.75                |
| Total | 7<br>1 100        | 71<br>100                       | 71<br>100   | 71<br>100   | 7<br>1 100  | 7<br>1 100                 | 7<br>1 100                              | 7<br>1 100                  |

| 415. Otro cual?   |     |              |
|-------------------|-----|--------------|
|                   | N   | Porcentaje % |
| -                 | 174 | 99.43        |
| Pago por jornales | 1   | 0.57         |
| Total             | 175 | 100          |

**415.** ¿Cómo califica en una escala de 1 a 5 siendo 1 Muy insatisfecho y 5 Muy satisfecho cada uno de estos aportes?

| a. Asesoría legal | b. Asistencia técnica ambiental | c. Asesoría técnica en siembra, poda y mantenimiento de la acacia | d. Asesoría técnica en corte, acopio, transporte y comercialización | e. Asistencia técnica en manipulación de equipos y herramientas | f. Capacitaciones técnicas | g. Capacitación seguridad en el trabajo | h. Capacitación empresarial |
|-------------------|---------------------------------|---|---|---|----------------------------|---|-----------------------------|
| Porcentaje<br>N % | Porcentaje<br>N %               | Porcentaje<br>N %   | Porcentaje<br>N %   | Porcentaje<br>N %   | Porcentaje<br>N %          | Porcentaje<br>N %                       | Porcentaje<br>N %           |
|                   |                                 |   |   |   |                            |   |                             |

|                               |   |      |      |       |      |       |      |       |     |       |     |       |     |       |     |       |     |       |     |
|-------------------------------|---|------|------|-------|------|-------|------|-------|-----|-------|-----|-------|-----|-------|-----|-------|-----|-------|-----|
| Muy insatisfecho              |   | 1    | 1.89 | 4     | 6.78 | 1     | 3.23 |       | 2   | 4.17  | 1   | 2.38  |     |       |     |       |     |       |     |
| Insatisfecho                  | 5 | 10.2 | 4    | 7.55  | 7    | 11.86 | 2    | 6.45  | 6   | 13.04 | 4   | 8.33  | 2   | 4.76  | 1   | 3.33  |     |       |     |
| Ni satisfecho ni insatisfecho | 4 | 8.16 | 6    | 11.32 | 16   | 27.12 | 12   | 38.71 | 5   | 10.87 | 5   | 31.25 | 2   | 4.76  | 4   | 13.33 |     |       |     |
| Satisfecho                    | 2 |      | 6    | 53.06 | 28   | 52.83 | 18   | 30.51 | 6   | 19.35 | 5   | 54.35 | 6   | 33.33 | 4   | 57.14 | 9   | 63.33 |     |
| Muy satisfecho                | 1 |      | 4    | 28.57 | 14   | 26.42 | 14   | 23.73 | 10  | 32.26 | 0   | 21.74 | 1   | 22.92 | 3   | 30.95 | 6   | 20    |     |
| Total                         | 4 | 9    | 100  | 53    | 100  | 59    | 100  | 31    | 100 | 6     | 100 | 4     | 100 | 8     | 100 | 4     | 100 | 3     | 100 |

**416.** En una escala de 1 a 5 dónde 1 es completamente en desacuerdo y 5 completamente de acuerdo, qué tan de acuerdo está con cada una de las siguientes afirmaciones

|   |  |  |   |   |
|---|--|--|---|---|
| a. El apoyo de Oro Legal para mi actividad de reforestación con acacia ha contribuido a mejorar la calidad de | b. El apoyo de Oro Legal para mi actividad de reforestación con acacia ha hecho que mejoren los ingresos de mi hogar | c. El apoyo de Oro Legal para mi actividad de reforestación con acacia ha contribuido a que los ingresos en mi hogar sean más estables | d. Quisiera continuar en 5 años con la actividad de reforestación con acacia del programa Oro Legal | e. Si no hubiera más apoyo del programa de Oro Legal, seguiría trabajando o en la reforesta |
|---|--|--|---|---|

|                                | vida de mi familia |       |    |            |    |            |            |            | ción con acacia |       |
|--------------------------------|--------------------|-------|----|------------|----|------------|------------|------------|-----------------|-------|
|                                | Porcentaje         |       |    | Porcentaje |    | Porcentaje | Porcentaje | Porcentaje |                 |       |
|                                | N                  | %     | N  | %          | N  | %          | N          | %          | N               |       |
| completamente en desacuerdo    | 3                  | 4.23  | 3  | 4.23       | 5  | 7.04       | 3          | 4.23       | 3               | 4.23  |
| desacuerdo                     | 1                  | 15.49 | 12 | 16.9       | 16 | 22.54      | 2          | 2.82       | 6               | 8.45  |
| ni de acuerdo ni en desacuerdo | 7                  | 9.86  | 14 | 19.72      | 14 | 19.72      | 4          | 5.63       | 4               | 5.63  |
| de acuerdo                     | 37                 | 52.11 | 29 | 40.85      | 26 | 36.62      | 41         | 57.75      | 41              | 57.75 |
| completamente de acuerdo       | 13                 | 18.31 | 13 | 18.31      | 10 | 14.08      | 21         | 29.58      | 7               | 23.94 |
| Total                          | 71                 | 100   | 71 | 100        | 71 | 100        | 71         | 100        | 71              | 100   |

**501.** ¿Usted y su familia participan en la actividad de cultivo de achiote del programa Oro Legal?

|       | N           | Porcentaje % |
|-------|-------------|--------------|
| Si    | 6<br>7      | 27.57        |
| No    | 1<br>7<br>4 | 71.6         |
| ns/nr | 2           | 0.82         |
| Total | 2<br>4<br>3 | 99.99        |

**502. ¿Cómo participa usted en la actividad de reforestación con achiote?**

|              | N           | Porcentaje % |
|--------------|-------------|--------------|
| -            | 1<br>7<br>6 |              |
| Mano de obra | 5<br>7      | 50%          |

|                                     |        |     |
|-------------------------------------|--------|-----|
| Prestando la tierra de su propiedad | 5<br>6 | 50% |
| Total                               | 3      | 1   |

**503. ¿Hace cuánto tiempo es beneficiario o participante de la actividad de cultivo de achiote del programa Oro Legal?**

|   | N | Porcentaje % |
|---|---|--------------|
| 1 | 2 | 2.99         |
| 2 | 6 | 8.96         |
| 3 | 1 | 1.49         |
| 4 | 3 | 4.48         |
| 5 | 2 | 2.99         |
| 6 | 2 | 17.91        |
| 7 | 5 | 7.46         |
| 8 | 3 | 4.48         |

|       |    |      |
|-------|----|------|
| 9     | 6  | 8.96 |
| 10    | 3  | 4.48 |
| 11    | 2  | 2.99 |
| 12    | 6  | 8.96 |
| 13    | 1  | 1.49 |
| 16    | 4  | 5.97 |
| 18    | 2  | 2.99 |
| 21    | 2  | 2.99 |
| 24    | 3  | 4.48 |
| 48    | 2  | 2.99 |
| 60    | 1  | 1.49 |
| 72    | 1  | 1.49 |
| Total | 67 | 100  |

**504.** ¿Cuáles fueron sus 2 principales motivaciones para participar en la actividad de cultivo de achiote del programa Oro Legal?

**504.** otro ¿cuál?

|  | 1° Mención        | 2° Mención |              |  |
|--|-------------------|------------|--------------|--|
|  | Porcentaje<br>N % | N          | Porcentaje % |  |
| -  | 1<br>7<br>6 72.43 |            |              |  |
| Poder comercializar más fácilmente el producido    | 1<br>4 5.76       | 6          | 9.84         |  |
| Mejorar ingresos                                   | 2<br>7 11.11      | 19         | 31.15        |  |
| Proteger el medio ambiente                         | 3 1.23            | 12         | 19.67        |  |
| Mejorar condiciones de salud suyas y de su familia | 1<br>2 4.94       | 17         | 27.87        |  |
| Evitar problemas con las autoridades               | 3 1.23            | 2          | 3.28         |  |
| Participar en una actividad menos riesgosa         | 4 1.65            | 1          | 1.64         |  |

|                            | N   | Porcentaje % |
|----------------------------|-----|--------------|
|                            | 238 | 97.94        |
| generar empleo             | 1   | 0.41         |
| Es un cultivo de la region | 1   | 0.41         |
| Le gusta la agricultura    | 1   | 0.41         |
| Mejorar la forma red vida  | 1   | 0.41         |
| Tranquilidad               | 1   | 0.41         |
| Total                      | 243 | 99.99        |

|              |   |       |    |       |
|--------------|---|-------|----|-------|
| Otro, ¿Cuál? | 1 | 0.41  | 4  | 6.56  |
| Ns/Nr        | 3 | 1.23  |    |       |
|              | 2 |       |    |       |
|              | 4 |       |    |       |
| Total        | 3 | 100.0 | 61 | 100.0 |

|  |   |   |            |
|--|---|---|------------|
| <b>505.</b> Desde su participación en el programa ¿Usted o su familia ha recibido algún ingreso de la actividad de cultivo de achiote? |   |   |            |
|  |   |   | Porcentaje |
|  | N |   | %          |
| Si   | 3 | 3 | 49.25      |
| No   | 3 | 4 | 50.75      |
| ns/nr  |   |   |            |
| Total  | 6 | 7 | 100        |

|   |  |  |  |
|---|--|--|--|
| <b>506.</b> ¿Con qué frecuencia se reciben ingresos por el desarrollo de la actividad de cultivo de |  |  |  |
|---|--|--|--|

| achiote dentro del programa de Oro Legal? |   |              |
|---|---|--------------|
|   | N | Porcentaje % |
| semanal                                   | 1 | 3.03         |
| quincenal                                 | 4 | 12.12        |
| mensual                                   | 3 | 9.09         |
| bimensual                                 | 8 | 24.24        |
| trimestral                                | 5 | 15.15        |
| semestral                                 | 8 | 24.24        |
| anual                                     | 3 | 9.09         |
| ns/nr                                     | 1 | 3.03         |
| Total                                     | 3 | 99.99        |

**507.** ¿Cómo califica en una escala de 1 a 5 siendo 1 Muy insatisfecho y 5 Muy satisfecho la frecuencia con la que se reciben ingresos por la actividad de cultivo de achiote

| dentro del programa de Oro Legal? |    |              |
|-----------------------------------|----|--------------|
|                                   | N  | Porcentaje % |
| 1                                 | 6  | 18.18        |
| 2                                 | 4  | 12.12        |
| 3                                 | 7  | 21.21        |
| 4                                 | 7  | 21.21        |
| 5                                 | 9  | 27.27        |
| Total                             | 33 | 99.99        |

| <b>508.</b> ¿Qué medios de transporte usa la mayoría de las veces para transportar su producto de la actividad de cultivo de achiote para comercializarlo? |   |              |
|--|---|--------------|
|  | N | Porcentaje % |
|  |   |              |

|                    |   |       |
|--------------------|---|-------|
| Caballo o mula     | 3 | 1.23  |
|                    | 2 |       |
| Lancha o canoa     | 3 | 9.47  |
| Carro              | 1 | 0.41  |
| Moto               | 0 | 0     |
| Camión             | 3 | 1.23  |
| Caminando          | 4 | 1.65  |
| Otro<br>cual _____ | 5 | 2.06  |
|                    | 3 |       |
| Total              | 9 | 16.05 |

| <b>509. Cuánto le cuesta habitualmente el transportar su producto de la actividad de cultivo de achiote para comercializarlo?</b> |   |              |
|---|---|--------------|
|   | N | Porcentaje % |
| 0   | 1 | 3.03         |
| 1   | 3 | 9.09         |
| 2   | 2 | 6.06         |

| <b>509. Valor en letras</b> |     |  |              |
|-----------------------------|-----|--|--------------|
|                             | N   |  | Porcentaje % |
|                             | 210 |  | 86.42        |
| 2000                        | 1   |  | 0.41         |
| 99                          | 1   |  | 0.41         |

|        |   |       |
|--------|---|-------|
| 99     | 4 | 12.12 |
| 12000  | 1 | 3.03  |
| 15000  | 1 | 3.03  |
| 25000  | 1 | 3.03  |
| 50000  | 1 | 3.03  |
| 60000  | 2 | 6.06  |
| 80000  | 3 | 9.09  |
| 90000  | 1 | 3.03  |
| 100000 | 2 | 6.06  |
| 140000 | 1 | 3.03  |
| 150000 | 3 | 9.09  |
| 200000 | 2 | 6.06  |
| 250000 | 1 | 3.03  |
| 300000 | 1 | 3.03  |

|   |   |      |
|---|---|------|
| Cero                                    | 1 | 0.41 |
| Cien mil                                | 2 | 0.82 |
| Ciento cincuenta mil                    | 3 | 1.23 |
| Ciento cuarenta mil pesos               | 1 | 0.41 |
| Dos millones                            | 1 | 0.41 |
| Doscientos cincuenta mil                | 1 | 0.41 |
| Noventa y nueve                         | 1 | 0.41 |
| Ochenta mil                             | 1 | 0.41 |
| todavía no han hecho el primer transp.. | 1 | 0.41 |
| Trecientos mil                          | 1 | 0.41 |
| Veinticinco mil                         | 1 | 0.41 |
| cinco mkl                               | 1 | 0.41 |
| cincuenta mil pesos                     | 1 | 0.41 |
| dies mil peso                           | 1 | 0.41 |

|         |   |       |
|---------|---|-------|
| 500000  | I | 3.03  |
| 1200000 | I | 3.03  |
| 2000000 | I | 3.03  |
|         | 3 |       |
| Total   | 3 | 99.99 |

|                      |     |       |
|----------------------|-----|-------|
| dos                  | 2   | 0.82  |
| doscientos mil pesos | 2   | 0.82  |
| dose mil pesos       | 1   | 0.41  |
| millon dociento      | 1   | 0.41  |
| noventa mil pesos    | 1   | 0.41  |
| nueve nueve          | 1   | 0.41  |
| ochenta mil pesos    | 2   | 0.82  |
| quinze mil peso      | 1   | 0.41  |
| quinientos mil pesos | 1   | 0.41  |
| sesenta mil pesos    | 2   | 0.82  |
| sesenta mil pesos    | 2   | 0.82  |
|                      |     | 100.7 |
| Total                | 245 | 7     |

**510.** ¿Cuánto tiempo le toma, en promedio, transportar su producto de la actividad de cultivo de achiote para comercializarlo?

|                       | N  | Porcentaje % |
|-----------------------|----|--------------|
| menos de 15 minutos   | 3  | 9.09         |
| entre 16 y 30 minutos | 6  | 18.18        |
| entre 31 y 45 minutos | 3  | 9.09         |
| entre 1 y 2 horas     | 2  | 36.36        |
| entre 2 y 3 horas     | 4  | 12.12        |
| entre 3 y 4 horas     | 1  | 3.03         |
| más de 4 horas        | 4  | 12.12        |
| Total                 | 33 | 99.99        |

**511.** ¿La principal actividad económica de usted o de su familia estaba relacionada con cultivo o comercialización de achiote antes de la llegada del programa Oro Legal?

|       | N      | Porcentaje % |
|-------|--------|--------------|
| Sí    | 1<br>3 | 19.4         |
| No    | 5<br>4 | 80.6         |
| Total | 6<br>7 | 100          |

**512.** ¿Tuvo que firmar un contrato para participar en la actividad de cultivo de achiote del programa Oro Legal?

|       | N      | Porcentaje % |
|-------|--------|--------------|
| Sí    | 5<br>1 | 76.12        |
| No    | 1<br>3 | 19.4         |
| Ns/nr | 3      | 4.48         |
| Total | 6<br>7 | 100          |

| 513. ¿Qué compromisos adquirió usted y su familia con el programa de Oro Legal al incorporarse a la actividad de cultivo de achiote? |        |              |
|--|--------|--------------|
|  | N      | Porcentaje % |
| Aportar mano de obra   | 5<br>9 | 24.28        |
| Aportar dinero   | 2<br>5 | 10.29        |
| Aportar tierra   | 5<br>0 | 20.58        |
| Aportar materiales   | 2<br>4 | 9.88         |
| Capacitarse  | 4<br>4 | 18.11        |
| Seguir recomendaciones de asesores   | 4<br>4 | 18.11        |
| Dar al programa información verdadera  | 3<br>2 | 13.17        |
| Nada   | 2      | 0.82         |

|              |   |       |
|--------------|---|-------|
| Otro, ¿Cuál? | 2 | 0.82  |
| Ns/Nr        | 0 | 0     |
|              | 2 |       |
|              | 8 | 116.0 |
| Total        | 2 | 6     |

**514. ¿Qué forma de tenencia tiene el lote que ocupa la actividad decultivo de achote del programa Oro Legal?**

|                              | N   | Porcentaje % | Area promedio (hectareas) | Min (hectareas) | Max (Hectareas) |
|------------------------------|-----|--------------|---------------------------|-----------------|-----------------|
| -                            | 176 | 72.13 %      |                           |                 |                 |
| 1. Propia sin título         | 39  | 15.98 %      | 92,309.49                 | 0               | 1,500,000       |
| 2. Propia con título         | 7   | 2.87%        | 428,573.90                | 2               | 2,000,000       |
| 3. en Arriendo o subarriendo |     | 0.00%        |                           |                 |                 |
| 4. Aparcería                 | 1   | 0.41%        | 0.01                      | 0               | 0               |
| 5. En usufructo              | 8   | 3.28%        | 142,861.10                | 0               | 800,000         |
| 6. En concesión              |     | 0.00%        |                           |                 |                 |

|                           |   |       |      |   |    |
|---------------------------|---|-------|------|---|----|
| 7. En sucesión con título |   | 0.00% |      |   |    |
| 8. En sucesión sin título | 4 | 1.64% | 3.75 | 1 | 10 |
| 9. Propiedad colectiva    | 9 | 3.69% | 2.89 | 2 | 10 |
|                           | 2 |       |      |   |    |
|                           | 4 |       |      |   |    |
| Total                     | 4 | 1     |      |   |    |

**415. ¿Qué aporta el programa Oro Legal a la actividad de cultivo de achiote en el convenio firmado con usted y su familia?**

|       | a. Asesoría legal | b. Asistencia técnica ambiental | c. Asesoría técnica en manejo de subproductos | d. Asistencia técnica en manipulación de equipos y herramientas | e. Capacitaciones técnicas | f. Capacitación seguridad en el trabajo | g. Capacitación empresarial | h. Capacitación manejo ambiental |              |   |       |   |       |   |      |
|-------|-------------------|---------------------------------|---|---|----------------------------|---|-----------------------------|----------------------------------|--------------|---|-------|---|-------|---|------|
|       | Porcentaje<br>N % | N                               | Porcentaje %                                  | N   | Porcentaje %               | N                                       | Porcentaje %                | N                                | Porcentaje % | N |       |   |       |   |      |
| Si    | 5<br>3 79.1       | 57                              | 85.07   | 56  | 83.58                      | 57                                      | 85.07                       | 5                                | 86.57        | 4 | 73.13 | 3 | 52.24 | 5 | 79.1 |
| No    | 1<br>4 20.9       | 10                              | 14.93   | 11  | 16.42                      | 10                                      | 14.93                       | 9                                | 13.43        | 1 | 26.87 | 3 | 47.76 | 1 | 20.9 |
| Total | 6<br>7 100        | 67                              | 100   | 67  | 100                        | 67                                      | 100                         | 6                                | 100          | 6 | 100   | 6 | 100   | 6 | 100  |

| 415. Otro cual?                       |                   |
|---------------------------------------|-------------------|
|                                       | Porcentaje        |
|                                       | N %               |
|                                       | 1<br>7<br>8 98.34 |
| Acompañamiento por parte de ellos     | 1 0.55            |
| Asesoría inicial del proceso          | 1 0.55            |
| La persona no entienden las preguntas | 1 0.55            |
| Total                                 | 1 100             |

**415.** ¿Cómo califica en una escala de 1 a 5 siendo 1 Muy insatisfecho y 5 Muy satisfecho cada uno de estos aportes?

| a. Asesoría legal | b. Asistencia técnica ambiental | c. Asesoría técnica en manejo de subproductos | d. Asistencia técnica en manipulación de equipos y herramientas | e. Capacitaciones técnicas | f. Capacitación seguridad | g. Capacitación empresarial | h. Capacitación manejo |
|-------------------|---------------------------------|---|---|----------------------------|---------------------------|-----------------------------|------------------------|
|                   |                                 |   |   |                            |                           |                             |                        |

|                               | Porcentaje<br>N % | N  | Porcentaje<br>% | N  | Porcentaje<br>% | N  | Porcentaje<br>% | Porcentaje<br>N % | Porcentaje<br>N % | Porcentaje<br>N % | Porcentaje<br>N % | Porcentaje<br>N % | Porcentaje<br>N % |
|-------------------------------|-------------------|----|-----------------|----|-----------------|----|-----------------|-------------------|-------------------|-------------------|-------------------|-------------------|-------------------|
| Muy insatisfecho              | 3 5.66            | 3  | 5.26            | 2  | 3.57            | 1  | 1.75            | 1 1.72            | 4 8.16            | 1 2.86            | 3 5.66            |                   |                   |
| Insatisfecho                  | 1 1.89            |    |                 | 3  | 5.36            | 5  | 8.77            | 3 5.17            | 5 10.2            | 4 11.43           | 2 3.77            |                   |                   |
| Ni satisfecho ni insatisfecho | 7 13.21           | 9  | 15.79           | 10 | 17.86           | 7  | 12.28           | 4 6.9             | 3 6.12            | 3 8.57            | 6 11.32           |                   |                   |
| Satisfecho                    | 2 6 49.06         | 24 | 42.11           | 24 | 42.86           | 25 | 43.86           | 2 6 44.83         | 2 1 42.86         | 1 5 42.86         | 2 4 45.28         |                   |                   |
| Muy satisfecho                | 1 6 30.19         | 21 | 36.84           | 17 | 30.36           | 19 | 33.33           | 2 4 41.38         | 1 6 32.65         | 1 2 34.29         | 1 8 33.96         |                   |                   |
| Total                         | 5 3 100           | 57 | 100             | 56 | 100             | 57 | 100             | 5 8 100           | 4 9 100           | 3 5 100           | 5 3 100           |                   |                   |

**416.** En una escala de 1 a 5 dónde 1 es completamente en desacuerdo y 5 completamente de acuerdo, qué tan de acuerdo está con cada una de las siguientes afirmaciones

|  | a. El apoyo de Oro Legal para mi actividad | b. El apoyo de Oro Legal para mi actividad de cultivo de achiote ha hecho que mejoren los ingresos de mi hogar | c. El apoyo de Oro Legal para mi actividad de cultivo de achiote ha contribuido a que los ingresos en mi hogar sean más estables | d. Quisiera continuar en 5 años con la actividad cultivo de achiote del | e. Si no hubiera más apoyo del program |
|--|--|--|--|---|--|
|  |  |  |  |   |  |

| de cultivo de achiote ha contribuido a mejorar la calidad de vida de mi familia |   |       |            |       |            | programa Oro Legal |            | a de Oro Legal, seguiría cultivando achiote |      |       |       |
|---|---|-------|------------|-------|------------|--------------------|------------|---|------|-------|-------|
| Porcentaje  |   |       | Porcentaje |       | Porcentaje | Porcentaje         | Porcentaje | Porcentaje                                  |      |       |       |
| N   | % | N     | %          | N     | %          | N                  | %          | N   | %    |       |       |
| completamente en desacuerdo   |   | 3     | 4.48       | 5     | 7.46       |                    |            | 5   | 7.46 |       |       |
| desacuerdo  | 7 | 10.45 | 7          | 10.45 | 7          | 10.45              | 1          | 1.49  | 2    | 2.99  |       |
| ni de acuerdo ni en desacuerdo  | 1 | 20.9  | 21         | 31.34 | 18         | 26.87              | 7          | 10.45                                       | 2    | 17.91 |       |
| de acuerdo  | 2 | 35.82 | 19         | 28.36 | 18         | 26.87              | 29         | 43.28                                       | 9    | 43.28 |       |
| completamente de acuerdo  | 2 | 32.84 | 17         | 25.37 | 19         | 28.36              | 30         | 44.78                                       | 1    | 9     | 28.36 |
| Total   | 6 | 100   | 67         | 100   | 67         | 100                | 67         | 100   | 6    | 7     | 100   |

#### ANNEX 4. CONSISTENCY OF DATA IN THE ORO LEGAL PLATFORM

| N  | Municipio | Respondió pertenecer a: Apicultura | Respondió pertenecer a: Reforestación Acacia | Respondió pertenecer a: Reforestación Achiote | Estado  | Observación                  |
|----|-----------|------------------------------------|--|---|---------|------------------------------|
| 1  | El Bagre  | 1                                  | 0  | 0   | Bien    |                              |
| 2  | El Bagre  | 0                                  | 1  | 0   | Bien    |                              |
| 3  | El Bagre  | 1                                  | 0  | 0   | Bien    |                              |
| 4  | El Bagre  | 0                                  | 1  | 0   | No Está |                              |
| 5  | Quibdó    | 0                                  | 0  | 1   | Bien    |                              |
| 6  | Quibdó    | 0                                  | 0  | 1   | Bien    |                              |
| 7  | El Bagre  | 0                                  | 1  | 0   | Bien    |                              |
| 8  | El Bagre  | 0                                  | 1  | 0   | Bien    |                              |
| 9  | El Bagre  | 0                                  | 1  | 0   | No Está |                              |
| 10 | El Bagre  | 0                                  | 1  | 0   | No Está |                              |
| 11 | El Bagre  | 0                                  | 1  | 0   | No Está |                              |
| 12 | El Bagre  | 0                                  | 1  | 0   | Bien    |                              |
| 13 | El Bagre  | 0                                  | 1  | 0   | Bien    |                              |
| 14 | El Bagre  | 1                                  | 1  | 9   | Bien    | Sale solo para Reforestación |
| 15 | El Bagre  | 1                                  | 1  | 9   | Bien    | Sale solo para Reforestación |

|    |          |   |   |   |         |   |
|----|----------|---|---|---|---------|---|
| 16 | El Bagre | 0 | 1 | 0 | Bien    |   |
| 17 | El Bagre | 1 | 1 | 0 | Bien    | Sale solo para Reforestación  |
| 18 | El Bagre | 0 | 1 | 0 | Bien    |   |
| 19 | El Bagre | 0 | 0 | 0 | Mal     | Aparece en la lista de Reforestación pero dijo no participar en ninguno |
| 20 | El Bagre | 0 | 0 | 0 | Mal     | Aparece en la lista de Reforestación pero dijo no participar en ninguno |
| 21 | El Bagre | 0 | 0 | 0 | No Está |   |
| 22 | El Bagre | 0 | 1 | 0 | Bien    |   |
| 23 | El Bagre | 0 | 1 | 0 | No Está |   |
| 24 | El Bagre | 0 | 1 | 0 | No Está |   |
| 25 | El Bagre | 0 | 1 | 0 | Bien    |   |
| 26 | El Bagre | 0 | 1 | 0 | Bien    |   |
| 27 | El Bagre | 0 | 1 | 0 | Bien    |   |
| 28 | El Bagre | 1 | 1 | 0 | No Está |   |
| 29 | El Bagre | 0 | 0 | 0 | No Está |   |
| 30 | El Bagre | 0 | 1 | 0 | No Está |   |

|    |          |   |   |   |            |  |
|----|----------|---|---|---|------------|--|
| 31 | El Bagre | 0 | 1 | 0 | Bien       |  |
| 32 | El Bagre | 0 | 1 | 0 | Bien       |  |
| 33 | El Bagre | 0 | 1 | 0 | Bien       |  |
| 34 | El Bagre | 0 | 1 | 0 | Bien       |  |
| 35 | El Bagre | 0 | 1 | 0 | No<br>Está |  |
| 36 | El Bagre | 0 | 1 | 0 | Bien       |  |
| 37 | El Bagre | 0 | 1 | 0 | Bien       |  |
| 38 | El Bagre | 0 | 1 | 0 | Bien       |  |
| 39 | El Bagre | 0 | 1 | 0 | Bien       |  |
| 40 | El Bagre | 0 | 1 | 0 | Bien       |  |
| 41 | Nechí    | 1 | 0 | 0 | Bien       |  |
| 42 | Nechí    | 1 | 0 | 0 | Bien       |  |
| 43 | Nechí    | 1 | 0 | 0 | Bien       |  |
| 44 | Nechí    | 1 | 0 | 0 | Bien       |  |
| 45 | Nechí    | 1 | 0 | 0 | Bien       |  |
| 46 | Nechí    | 1 | 0 | 0 | Bien       |  |
| 47 | Nechí    | 1 | 0 | 0 | Bien       |  |
| 48 | Nechí    | 1 | 0 | 0 | Bien       |  |
| 49 | Nechí    | 1 | 0 | 0 | Bien       |  |
| 50 | Nechí    | 1 | 0 | 0 | No<br>Está |  |

|    |          |   |   |   |         |  |
|----|----------|---|---|---|---------|--|
| 51 | Nechí    | 1 | 0 | 0 | Bien    |  |
| 52 | Nechí    | 1 | 0 | 0 | Bien    |  |
| 53 | El Bagre | 1 | 0 | 0 | Bien    |  |
| 54 | El Bagre | 1 | 0 | 0 | Mal     | Sale solo para Reforestación             |
| 55 | El Bagre | 0 | 1 | 0 | Bien    |  |
| 56 | El Bagre | 0 | 1 | 0 | Bien    |  |
| 57 | El Bagre | 1 | 0 | 0 | Mal     | Sale solo para Reforestación             |
| 58 | El Bagre | 0 | 1 | 0 | Bien    |  |
| 59 | El Bagre | 0 | 1 | 0 | Bien    |  |
| 60 | El Bagre | 0 | 1 | 0 | Bien    |  |
| 61 | El Bagre | 0 | 1 | 0 | Bien    |  |
| 62 | El Bagre | 0 | 1 | 0 | Bien    |  |
| 63 | El Bagre | 0 | 1 | 0 | Bien    |  |
| 64 | El Bagre | 1 | 0 | 0 | Mal     | Sale solo para Reforestación             |
| 65 | El Bagre | 1 | 0 | 0 | Mal     | Sale solo para Reforestación             |
| 66 | El Bagre | 0 | 1 | 0 | Bien    |  |
| 67 | El Bagre | 0 | 1 | 0 | No Está | En la lista aparece la hermana           |
| 68 | El Bagre | 0 | 0 | 0 | Mal     | Aparece en el listado como Reforestación |

|    |          |   |   |   |      |  |
|----|----------|---|---|---|------|--|
| 69 | El Bagre | 0 | 0 | 0 | Mal  | Aparece en el listado como Reforestación |
| 70 | El Bagre | 0 | 0 | 0 | Mal  | Aparece en el listado como Reforestación |
| 71 | Nechí    | 1 | 0 | 0 | Bien |  |
| 72 | Nechí    | 1 | 0 | 0 | Bien |  |
| 73 | Nechí    | 1 | 0 | 0 | Bien |  |
| 74 | Nechí    | 1 | 0 | 0 | Bien |  |
| 75 | Nechí    | 1 | 0 | 0 | Bien |  |
| 76 | Nechí    | 1 | 0 | 0 | Bien |  |
| 77 | El Bagre | 0 | 1 | 0 | Bien |  |
| 78 | El Bagre | 0 | 0 | 0 | Mal  | Aparece en el listado como Reforestación |
| 79 | El Bagre | 0 | 1 | 0 | Bien |  |
| 80 | El Bagre | 0 | 0 | 0 | Mal  | Aparece en el listado como Reforestación |
| 81 | El Bagre | 0 | 1 | 0 | Bien |  |
| 82 | El Bagre | 0 | 1 | 0 | Bien |  |
| 83 | El Bagre | 1 | 1 | 0 | Bien | Sale solo para Reforestación             |
| 84 | El Bagre | 0 | 1 | 0 | Bien |  |
| 85 | El Bagre | 0 | 1 | 0 | Bien |  |
| 86 | El Bagre | 0 | 1 | 0 | Bien |  |

|     |           |   |   |   |         |  |
|-----|-----------|---|---|---|---------|--|
| 87  | El Bagre  | 0 | 0 | 0 | Mal     | Aparece en el listado como Reforestación |
| 88  | El Bagre  | 0 | 1 | 0 | Bien    |  |
| 89  | El Bagre  | 0 | 1 | 0 | Bien    |  |
| 90  | El Bagre  | 1 | 0 | 0 | Bien    |  |
| 91  | El Bagre  | 0 | 1 | 0 | Bien    |  |
| 92  | El Bagre  | 0 | 1 | 0 | Bien    |  |
| 93  | El Bagre  | 0 | 0 | 0 | Mal     | Aparece en el listado como Reforestación |
| 94  | El Bagre  | 1 | 0 | 0 | Bien    |  |
| 95  | El Bagre  | 1 | 0 | 0 | Bien    |  |
| 96  | El Bagre  | 0 | 1 | 0 | Bien    |  |
| 97  | El Bagre  | 1 | 0 | 0 | Mal     | Sale solo para Reforestación             |
| 98  | El Bagre  | 1 | 0 | 0 | Bien    |  |
| 99  | El Bagre  | 1 | 0 | 0 | Bien    |  |
| 100 | El Bagre  | 1 | 0 | 0 | Mal     | Aparece en el listado como Reforestación |
| 101 | El Bagre  | 1 | 0 | 0 | Bien    |  |
| 102 | El Bagre  | 1 | 0 | 0 | Bien    |  |
| 103 | Rio Quito | 0 | 0 | 1 | Bien    |  |
| 104 | Rio Quito | 0 | 0 | 1 | No Está |  |

|     |           |   |   |   |            |  |
|-----|-----------|---|---|---|------------|--|
| 105 | Rio Quito | 0 | 0 | 1 | No<br>Está |  |
| 106 | Rio Quito | 0 | 0 | 1 | Bien       |  |
| 107 | Rio Quito | 0 | 0 | 1 | Bien       |  |
| 108 | Rio Quito | 0 | 0 | 1 | Bien       |  |
| 109 | Rio Quito | 0 | 0 | 1 | Bien       |  |
| 110 | Rio Quito | 0 | 0 | 1 | No<br>Está |  |
| 111 | Rio Quito | 0 | 0 | 1 | Bien       |  |
| 112 | Rio Quito | 0 | 0 | 1 | No<br>Está | En la lista<br>aparece el<br>hermano           |
| 113 | Rio Quito | 0 | 0 | 1 | Bien       |  |
| 114 | Rio Quito | 0 | 0 | 1 | No<br>Está |  |
| 115 | Rio Quito | 0 | 0 | 1 | No<br>Está | En la lista<br>aparece el<br>hermano           |
| 116 | Rio Quito | 0 | 0 | 1 | No<br>Está |  |
| 117 | Rio Quito | 0 | 0 | 1 | Bien       |  |
| 118 | Rio Quito | 0 | 0 | 1 | Bien       |  |
| 119 | Rio Quito | 0 | 0 | 1 | Bien       |  |
| 120 | Rio Quito | 0 | 0 | 1 | Bien       |  |
| 121 | El Bagre  | 1 | 0 | 0 | Bien       |  |
| 122 | El Bagre  | 0 | 0 | 0 | Mal        | Aparece en el<br>listado como<br>Reforestación |

|     |           |   |   |   |            |                           |
|-----|-----------|---|---|---|------------|---------------------------|
| 123 | Rio Quito | 0 | 0 | 1 | No<br>Está |                           |
| 124 | Rio Quito | 0 | 0 | 1 | No<br>Está |                           |
| 125 | Rio Quito | 0 | 0 | 1 | Bien       |                           |
| 126 | Rio Quito | 0 | 1 | 1 | Bien       |                           |
| 127 | Rio Quito | 0 | 0 | 1 | No<br>Está |                           |
| 128 | Rio Quito | 0 | 0 | 1 | Bien       |                           |
| 129 | Rio Quito | 0 | 0 | 1 | No<br>Está |                           |
| 130 | Rio Quito | 0 | 0 | 1 | No<br>Está |                           |
| 131 | Rio Quito | 0 | 0 | 1 | Bien       |                           |
| 132 | Rio Quito | 1 | 0 | 1 | Mal        | sale solo para<br>achiote |
| 133 | Rio Quito | 0 | 0 | 1 | No<br>Está |                           |
| 134 | Rio Quito | 0 | 0 | 1 | No<br>Está |                           |
| 135 | Rio Quito | 0 | 0 | 1 | Bien       |                           |
| 136 | Rio Quito | 0 | 0 | 1 | Bien       |                           |
| 137 | Rio Quito | 0 | 0 | 1 | No<br>Está |                           |
| 138 | Rio Quito | 0 | 0 | 1 | No<br>Está |                           |
| 139 | Rio Quito | 0 | 0 | 1 | Bien       |                           |
| 140 | Rio Quito | 0 | 0 | 1 | Bien       |                           |

|     |           |   |   |   |            |  |
|-----|-----------|---|---|---|------------|--|
| 141 | Rio Quito | 0 | 0 | 1 | No<br>Está |  |
| 142 | El Bagre  | 1 | 0 | 0 | Mal        | Sale solo para<br>Reforestación                |
| 143 | El Bagre  | 1 | 0 | 0 | Mal        | Sale solo para<br>Reforestación                |
| 144 | El Bagre  | 1 | 0 | 0 | Bien       |  |
| 145 | El Bagre  | 1 | 0 | 0 | No<br>Está |  |
| 146 | El Bagre  | 1 | 0 | 0 | Bien       |  |
| 147 | El Bagre  | 1 | 0 | 0 | Bien       |  |
| 148 | El Bagre  | 1 | 0 | 0 | Mal        | Aparece en el<br>listado como<br>Reforestación |
| 149 | El Bagre  | 1 | 0 | 0 | Bien       |  |
| 150 | El Bagre  | 1 | 0 | 0 | No<br>Está |  |
| 151 | El Bagre  | 0 | 0 | 0 | Mal        | Aparece en el<br>listado como<br>Reforestación |
| 152 | El Bagre  | 1 | 1 | 0 | Mal        | Sale solo para<br>Reforestación                |
| 153 | El Bagre  | 1 | 0 | 0 | Mal        | Aparece en el<br>listado como<br>Reforestación |
| 154 | El Bagre  | 1 | 0 | 0 | Bien       |  |
| 155 | El Bagre  | 0 | 0 | 0 | Mal        | Aparece en el<br>listado como<br>Reforestación |
| 156 | El Bagre  | 0 | 0 | 0 | Mal        | Aparece en el<br>listado como<br>Reforestación |

|     |          |   |   |   |            |  |
|-----|----------|---|---|---|------------|--|
| 157 | El Bagre | 1 | 0 | 0 | No<br>Está |  |
| 158 | El Bagre | 1 | 0 | 0 | Mal        | Aparece en el<br>listado como<br>Reforestación |
| 159 | Atrato   | 0 | 0 | 1 | Bien       |  |
| 160 | Atrato   | 0 | 0 | 1 | No<br>Está |  |
| 161 | Atrato   | 0 | 0 | 1 | No<br>Está |  |
| 162 | Atrato   | 0 | 0 | 1 | No<br>Está |  |
| 163 | Atrato   | 0 | 0 | 1 | No<br>Está |  |
| 164 | Atrato   | 0 | 0 | 1 | No<br>Está |  |
| 165 | Atrato   | 0 | 0 | 1 | Bien       |  |
| 166 | Atrato   | 0 | 0 | 1 | No<br>Está |  |
| 167 | Atrato   | 0 | 0 | 1 | Bien       |  |
| 168 | Atrato   | 0 | 0 | 1 | No<br>Está |  |
| 169 | Quibdó   | 0 | 0 | 1 | Bien       |  |
| 170 | Atrato   | 0 | 0 | 1 | Bien       |  |
| 171 | Atrato   | 0 | 0 | 1 | Bien       |  |
| 172 | Caucasia | 1 | 1 | 0 | Mal        | Sale solo para<br>Reforestación                |
| 173 | Caucasia | 1 | 1 | 0 | Mal        | Sale solo para<br>Reforestación                |

|     |          |   |   |   |         |  |
|-----|----------|---|---|---|---------|--|
| 174 | Caucasia | 1 | 0 | 0 | Mal     | Aparece en el listado como Reforestación |
| 175 | Atrato   | 0 | 0 | 1 | Bien    |  |
| 176 | Atrato   | 0 | 0 | 1 | Bien    |  |
| 177 | Atrato   | 0 | 0 | 1 | Bien    |  |
| 178 | Atrato   | 0 | 0 | 1 | Bien    |  |
| 179 | Caucasia | 0 | 1 | 0 | Bien    |  |
| 180 | Caucasia | 1 | 1 | 0 | Mal     | Sale solo para Reforestación             |
| 181 | Caucasia | 1 | 1 | 0 | Mal     | Sale solo para Reforestación             |
| 182 | Caucasia | 1 | 1 | 0 | Mal     | Sale solo para Reforestación             |
| 183 | Caucasia | 1 | 1 | 0 | Mal     | Sale solo para Reforestación             |
| 184 | Caucasia | 1 | 1 | 0 | Mal     | Sale solo para Reforestación             |
| 185 | Atrato   | 0 | 0 | 1 | No Está |  |
| 186 | Atrato   | 0 | 0 | 1 | No Está |  |
| 187 | Atrato   | 0 | 0 | 1 | No Está |  |
| 188 | Atrato   | 0 | 0 | 1 | No Está |  |
| 189 | Caucasia | 1 | 1 | 0 | Bien    |  |
| 190 | Caucasia | 1 | 0 | 0 | Bien    |  |
| 191 | Caucasia | 1 | 0 | 0 | Bien    |  |

|     |          |   |   |   |         |                           |
|-----|----------|---|---|---|---------|---------------------------|
| 192 | Caucasia | 1 | 1 | 0 | Mal     | Sale solo para apicultura |
| 193 | Caucasia | 1 | 0 | 0 | Bien    |                           |
| 194 | Caucasia | 1 | 0 | 0 | Bien    |                           |
| 195 | Caucasia | 1 | 0 | 0 | Bien    |                           |
| 196 | Caucasia | 1 | 1 | 0 | Mal     | Sale solo para apicultura |
| 197 | Atrato   | 0 | 0 | 1 | Bien    |                           |
| 198 | Atrato   | 0 | 0 | 1 | No Está |                           |
| 199 | Atrato   | 0 | 0 | 1 | Bien    |                           |
| 200 | Zaragoza | 1 | 0 | 0 | Bien    |                           |
| 201 | Zaragoza | 1 | 0 | 0 | Bien    |                           |
| 202 | Zaragoza | 1 | 0 | 0 | Bien    |                           |
| 203 | Zaragoza | 1 | 0 | 0 | Bien    |                           |
| 204 | Zaragoza | 1 | 0 | 0 | Bien    |                           |
| 205 | Zaragoza | 1 | 0 | 0 | Bien    |                           |
| 206 | Zaragoza | 1 | 0 | 0 | No Está |                           |
| 207 | Zaragoza | 1 | 0 | 0 | Bien    |                           |
| 208 | Zaragoza | 1 | 0 | 0 | Bien    |                           |
| 209 | Zaragoza | 1 | 0 | 0 | Bien    |                           |
| 210 | Zaragoza | 1 | 0 | 0 | Bien    |                           |
| 211 | Zaragoza | 1 | 0 | 0 | Bien    |                           |

|     |          |   |   |   |            |                              |
|-----|----------|---|---|---|------------|------------------------------|
| 212 | Zaragoza | 1 | 0 | 0 | Bien       |                              |
| 213 | Zaragoza | 1 | 0 | 0 | Bien       |                              |
| 214 | Zaragoza | 1 | 0 | 0 | Bien       |                              |
| 215 | Caucasia | 1 | 0 | 0 | Bien       |                              |
| 216 | Tarazá   | 1 | 0 | 0 | No<br>Está |                              |
| 217 | Tarazá   | 1 | 0 | 0 | Bien       |                              |
| 218 | Tarazá   | 1 | 0 | 0 | Bien       |                              |
| 219 | Tarazá   | 1 | 0 | 0 | Bien       |                              |
| 220 | Tarazá   | 1 | 0 | 0 | No<br>Está |                              |
| 221 | Tarazá   | 1 | 0 | 0 | Bien       |                              |
| 222 | Tarazá   | 1 | 0 | 0 | Bien       |                              |
| 223 | Tarazá   | 1 | 0 | 0 | Bien       |                              |
| 224 | Tarazá   | 1 | 0 | 0 | Bien       |                              |
| 225 | Tarazá   | 1 | 0 | 0 | Bien       |                              |
| 226 | Tarazá   | 1 | 0 | 0 | Bien       |                              |
| 227 | Tarazá   | 1 | 0 | 0 | Bien       |                              |
| 228 | Tarazá   | 1 | 0 | 0 | Bien       |                              |
| 229 | Tarazá   | 1 | 0 | 0 | Bien       |                              |
| 230 | Tarazá   | 1 | 0 | 0 | Bien       |                              |
| 231 | Zaragoza | 1 | 1 | 0 | Mal        | Sale solo para<br>apicultura |

|     |           |   |   |   |         |                           |
|-----|-----------|---|---|---|---------|---------------------------|
| 232 | Zaragoza  | 1 | 0 | 0 | Bien    |                           |
| 233 | Zaragoza  | 1 | 0 | 0 | Bien    |                           |
| 234 | Zaragoza  | 1 | 1 | 0 | Mal     | Sale solo para apicultura |
| 235 | Zaragoza  | 1 | 1 | 0 | Mal     | Sale solo para apicultura |
| 236 | Zaragoza  | 1 | 0 | 0 | Bien    |                           |
| 237 | Zaragoza  | 1 | 0 | 0 | Bien    |                           |
| 238 | Zaragoza  | 1 | 0 | 0 | No Está |                           |
| 239 | Quibdó    | 0 | 0 | 1 | No Está |                           |
| 240 | Quibdó    | 0 | 0 | 0 | No Está |                           |
| 241 | Quibdó    | 0 | 0 | 1 | Bien    |                           |
| 242 | Quibdó    | 0 | 0 | 1 | No Está |                           |
| 243 | Rio Quito | 0 | 0 | 1 | Bien    |                           |

## ANNEX 5. CODE TABLE FOR THE QUALITATIVE ANALYSIS

| Familia      | Códigos                                | Preguntas  |
|--------------|--|--|
| Antecedentes | 1.1 Presentación                       |  |
|              | 1.2 Conocimiento y participación POL   | <p>¿Me podría describir en sus propias palabras qué es el Programa Oro Legal?</p> <p>¿Cómo participa Usted en este programa?</p> <p>¿Cuánto tiempo lleva en el programa?</p> <p>¿Cuénteme brevemente ¿Cómo es la relación de su entidad con el Programa Oro Legal?</p> <p>(Todos)</p>  |
|              | 1.3 Actividades diferentes al proyecto | <p>¿Cuál es su principal actividad económica?</p> <p>¿Ha sido Usted beneficiario del programa de Sustitución de Cultivos?</p> <p>¿Cuál es su principal fuente de ingresos actualmente?</p> <p>(Beneficiarios cadenas)</p>  |
|              | 1.4 Motivación participar              | <p>¿Cuál fue su motivación para pertenecer al Programa Oro Legal?</p> <p>¿Qué le interesa del proyecto?</p> <p>¿Qué potencial ve en el negocio?</p> <p>¿Cuándo se concreta o concretó la participación de la empresa?</p> <p>¿Fue fácil involucrar a campesinos en este cultivo?</p> <p>¿Cómo ha sido la receptividad del programa por parte de los beneficiarios?</p> <p>¿Qué incentivos ha tenido?: mayores ingresos, más seguridad (por ser legal), capacitación, asesoría jurídica, asesoría técnica, convenio</p> |

|  |   |   |
|--|---|---|
|  |   | <p>para mejorar el precio en la venta del oro producido</p> <p>(Cadenas, minería)</p>   |
|  | 1.5 Vinculación proyecto                            | <p>¿Acordó o firmó algún compromiso con el Programa Oro Legal? ¿Cuál y a qué se comprometió?</p> <p>¿Cuál fue el proceso por el que llegaron a Usted y su organización para manejar el tema técnico?</p> <p>¿Cuántas UPM están en el proceso de formalización con su empresa?</p> <p>¿A cuántos mineros representa Usted? ¿Están asociados bajo algún mecanismo?</p> <p>(Cadenas, minería)</p>          |
|  | 1.6 Proyectos o actividades complementarias         | <p>¿Tiene la empresa proyectos o actividades que complementan los objetivos del Programa Oro Legal en la actividad minera? ¿Cuáles?</p> <p>¿Tiene la asociación proyectos o actividades que complementan los objetivos del programa Oro Legal en la actividad minera?. ¿Cuáles?</p> <p>¿Conoce algún proyecto de la misma índole en el área? ¿En qué consiste? ¿Quién lo promueve?</p> <p>(Minería)</p> |
|  | 1.7 Conocimiento legislación                        | <p>¿Conoce la Ley 1658 del mercurio? Si la respuesta es sí, ¿Cree necesario implementarla?</p> <p>(Minería)</p>   |
|  | 1.8 Políticas y estrategias de formalización minera | <p>¿Actualmente la Alcaldía tiene políticas o proyectos para la actividad minera?. Si la respuesta es sí, cuénteme de ellos. ¿Están contemplados en el Plan de Desarrollo del municipio? Tuvieron acompañamiento del Programa Oro Legal?</p>  |

|                               |                                |   |
|-------------------------------|--------------------------------|---|
|                               |                                | <p>¿Previo a la llegada del programa Oro Legal, Ustedes realizaban proyectos para apoyar la formalización de las UPMs?</p> <p>¿Existe algún proyecto para la formalización de estas áreas libres?. Si la respuesta es sí, ¿están articulados con el Programa Oro Legal?</p> <p>(Funcionarios públicos)</p>  |
|                               | 1.9 Sostenibilidad proyecto    | <p>¿El modelo permite hacer economías de escala?</p> <p>¿La escala que se tiene en el programa es la adecuada? ¿Si no lo es, explicar cómo compensar este problema?</p> <p>(Cadenas)</p>  |
| Proceso técnico de producción | 2.1 Experiencia previa         | <p>¿Había experiencia en la actividad de...en esta región?</p> <p>¿Usted tenía experiencia en la actividad de...? minería/reforestación/achiote/miel</p> <p>(Cadenas)</p>   |
|                               | 2.2 Etapas proyecto productivo | <p>¿Me puede explicar el proceso de la actividad minería/reforestación/achiote/miel y sus principales etapas e hitos? Definir las fases, los tiempos y los hitos en cada una de ellas</p> <p>¿En qué etapa del proyecto productivo se encuentra? Negociación, firma de Acuerdo/Convenio, en proceso de firma, en establecimiento del cultivo o explotación</p> <p>(Cadenas)</p> |
|                               | 2.3 Inicio del proyecto        | <p>¿Cuándo inició las actividades del proyecto?.<br/>¿Cómo se definió el cronograma de actividades para el desarrollo del proyecto?.<br/>¿Cómo se ha aplicado el cronograma?</p> <p>(Cadenas)</p>   |
|                               | 2.4 Requerimientos proyecto    | <p>¿Cuáles son los requerimientos en cada una de las etapas del proceso productivo en términos</p>  |

|                       |                                |  |
|-----------------------|--------------------------------|--|
|                       |                                | <p>de recursos (tierra, inversión, mano de obra, asesoría técnica) ) instrumentos y tecnología?</p> <p>¿Cuáles son los principales riesgos en cada etapa y cuál es el mejor mecanismo para limitarlo?</p> <p>(Cadenas)</p>   |
|                       | 2.5 Nivel de producción actual | <p>¿El nivel de producción actual corresponde a lo planeado?</p> <p>¿Cuenta con una zona de almacenamiento para insumos y materia prima? ¿Qué características tiene?</p> <p>¿Están identificadas y delimitadas las áreas destinadas para el proyecto? ¿Cómo se definieron?</p> <p>¿Cuánto tiempo dedica (al mes) al desarrollo de las actividades del proyecto?</p> <p>(Cadenas)</p> |
|                       | 2.6 Acopio y transporte        | <p>¿Usted ofrece apoyo en el proceso de acopio, almacenamiento y transporte del producto terminado?</p> <p>¿Cuenta con apoyo para el proceso de acopio, almacenamiento y transporte del producto?</p> <p>(Cadenas)</p>   |
|                       | 2.7 Condiciones de compra      | <p>¿Cuáles son las condiciones de compra de la empresa? pago contra entrega, 3 meses, adelanto, etc.</p> <p>¿En el caso de compra cuáles son las condiciones de calidad que requiere?</p> <p>¿Qué certificaciones específicas se necesitan?</p> <p>(Compradores, inversionistas)</p>   |
| Mercado y competencia | 3.1 Usos del producto          | <p>¿Cuáles son los principales usos del producto y cuáles son los posibles mercados?</p> <p>(Cadenas)</p>  |

|                   |   |  |
|-------------------|---|--|
|                   | 3.2 Comercialización                    | <p>¿Está definido el esquema de comercialización y venta?</p> <p>(Cadenas)</p>   |
| Temas ambientales | 4.1 Mejora condiciones medio ambiente   | <p>¿Los proyectos establecidos aportan a mejorar las condiciones del medio ambiente y los efectos de la minería?. ¿Se han hecho mediciones?</p> <p>¿A futuro considera usted que el/los proyectos le aportan a la región en materia ambiental y en la recuperación de las fuentes hídricas, el suelo y a disminuir la huella de carbón dejada por la industria minera?</p> <p>(Cadenas)</p>                                |
|                   | 4.2 Condiciones ambientales encontradas | <p>¿Las condiciones ambientales encontradas para establecer los proyectos son óptimas o se debieron hacer trabajos previos para la adecuación de los terrenos? Costos</p> <p>(Cadenas)</p>   |
|                   | 4.3 Manejo agua y residuos              | <p>¿De dónde toma el agua para el proceso de beneficio?</p> <p>¿Qué hace con los residuos? (disposición de residuos). Neutraliza los residuos sólidos, los líquidos, realiza disposición de lodos de amalgación? Tiene piscina de sedimentación?</p> <p>¿Qué clase de mediciones realizan para verifican el uso de mercurio en la UPM?</p> <p>¿Cómo trata los sedimentos sólidos (Colas del Proceso)?</p> <p>(Minería)</p> |
|                   | 4.4 Política ambiental                  | <p>¿Considera que el Programa Oro Legal ha contribuido en la recuperación de pasivos ambientales en los municipios donde se está desarrollando el programa?. ¿Por qué?</p> <p>¿El Programa Oro Legal ha facilitado la aplicación de la legislación minera por parte de las entidades locales?</p>  |

|               |                               |   |
|---------------|-------------------------------|---|
|               |                               | (Funcionarios públicos)   |
| Formalización | 5.1 Conocimiento              | <p>¿Su empresa tiene claro en qué consiste el proceso de formalización?</p> <p>¿Cuál es su percepción del proceso de reconversión con el Programa Oro Legal?</p> <p>¿Por qué se escogió dicho figura?</p> <p>¿Con cuántas UPMs lo están realizando o lo realizaron?</p> <p>(Minería, Funcionarios)</p>  |
|               | 5.2 Ayudas recibidas          | <p>¿Recibió financiación o asesoría jurídica para la formalización? Asesoría y cofinanciación en construcción PTO, EIA (Estudio de impacto ambiental), otra?</p> <p>¿Recibió capacitación técnica en procesos de explotación y beneficio? Si la respuesta es sí, ¿Qué recomienda para mejorar esa capacitación?</p> <p>¿Ha recibido asistencia técnica? Si la respuesta es sí, ¿Le ha servido? ¿Qué recomendaría para mejorarla?</p> <p>(Mineros)</p> |
|               | 5.3 Obstáculos formalización  | <p>¿Cuáles son los mayores obstáculos que se encontraron en el proceso de formalización?</p> <p>¿Cuáles podrían ser las estrategias para resolver dichos obstáculos?</p> <p>(Mineros, Funcionarios)</p>   |
|               | 5.4 Compromisos formalización | <p>¿Durante el proceso de formalización, las UPM adquieren compromisos de mejora de los procesos en la actividad minera?. Si la respuesta es sí, cómo los establecen?</p> <p>¿Qué tipo de compromisos?. ¿Se verifica el cumplimiento de estos compromisos periódicamente?</p> <p>(Mineros, Funcionarios)</p>  |

|  |   |  |
|--|---|--|
|  | <p>5.5 Tiempo proceso formalización</p>     | <p>¿Cuánto tiempo lleva en el proceso de formalización de las UPM?</p> <p>¿El tiempo de formalización y adecuación ha sido una barrera? Si la respuesta es sí, explique por qué.</p> <p>(Mineros, Funcionarios)</p>  |
|  | <p>5.6 Formalización laboral</p>            | <p>¿Hoy en la UPM, trabaja solo o con otros trabajadores? ¿Si tiene trabajadores, ¿Cuántos están cubiertos por la seguridad social?</p> <p>¿Cuántos días a la semana laboran en la UPM? ¿Cuántos turnos laborales realizan? ¿Cuántas horas por turno?</p> <p>¿Conoce las políticas de SST? ¿Las aplica o las está implementando?</p> <p>(Mineros, Funcionarios)</p>  |
| <p>Proceso técnico de producción: minería.</p> | <p>6.1 Métodos utilizados anteriormente</p> | <p>¿Qué métodos de beneficio de minerales utilizaba anteriormente y cuáles utiliza ahora? (Molienda, concentración, extracción del oro por amalgamación, fundición directa o lixiviación). Se verifica utilización de Hg antes y actual, puede ser realizando un diagrama de flujo del proceso de la UPM o realizando preguntas concretas como cantidad de mineral por cada coco o barril, cantidad de Hg en cada coco o barril, si es una UPM de veta). (Si la UPM es aluvión se pregunta por cribas, canalones, etc.). ¿Hg utilizado en el proceso de amalgamación?</p> <p>(Mineros)</p> |
|  | <p>6.2 Métodos utilizados actualmente</p>   | <p>¿Mejoró su capacidad de producción y eficiencia (en porcentaje) con la intervención realizada por Oro Legal?</p> <p>¿Tiene retorta? Si sí, qué cantidad de mercurio recupera en la retorta a la semana?</p> <p>(Mineros)</p>  |
|  | <p>6.3 Sostenibilidad proyecto</p>          | <p>¿Me podría decir cuál es el tiempo de vida útil del proyecto minero?</p>  |

|                               |                                 |   |
|-------------------------------|---------------------------------|---|
|                               |                                 | <p>¿Cuál es el área del terreno y el tipo de titulación (cesión de área o área de explotación formalizada (el modelo de formalización))?</p> <p>¿Cuál es el promedio de mineral beneficiado al día (Kg, Ton) en la UPM?</p> <p>(Mineros)</p>  |
| Fortalecimiento institucional | 7.1 Capacidades institucionales | <p>Basados en la responsabilidad de su entidad en el control y apoyo en el desarrollo de la actividad minera, ¿cree que ha habido asistencia por parte del Programa Oro Legal? Si la respuesta es sí, ¿en qué? Si la respuesta es no, ¿por qué?</p> <p>¿Cuáles deberían ser las capacidades institucionales mínimas de su entidad para implementar las políticas y normatividad en minería?</p> <p>¿Considera que el Programa Oro Legal ha contribuido con el mejoramiento de esas capacidades?</p> <p>(Funcionarios)</p> |
|                               | 7.2 Capacitación y formación    | <p>¿Ha participado el SENA en las capacitaciones ofrecidas a los mineros por el Programa Oro Legal? Si la respuesta es si, ¿cómo? Si la respuesta es no, por qué?</p> <p>¿Ha contribuido el Programa Oro Legal en el diseño y fortalecimiento de los programas de capacitación a los mineros del Centro de Formación Minero Ambiental del SENA? Si la respuesta es si, ¿cómo?</p> <p>(Funcionarios)</p>   |
|                               | 7.3 Rentas municipio            | <p>¿Los municipios han recibido nuevas rentas (regalías) a partir del Programa Oro Legal?</p> <p>(Funcionarios)</p>   |
|                               | 7.4 Relación municipio UPM      | <p>¿Cuáles son las principales dificultades que tiene la población minera para formalizarse?</p> <p>¿Conoce las estrategias que está</p>  |

|                 |                         |  |
|-----------------|-------------------------|--|
|                 |                         | <p>implementando el Programa Oro Legal para resolverlas? ¿Considera que han sido exitosas?</p> <p>¿Tiene alguna relación o comunicación con los mineros formalizados de los municipios en donde se desarrolla el Programa Oro Legal?. Si la respuesta es sí, ¿cómo es ella?</p> <p>(Funcionarios)</p>  |
| Recomendaciones | 8.1 Recomendaciones     | <p>¿Para Usted cuáles son los principales problemas que tiene que superar en el proyecto? en los frentes de capacitación y generación de conocimiento, aspectos técnico, financiero, ambiental, y de comercialización</p> <p>¿Qué recomendación le hace al programa en términos generales?</p> <p>¿Cómo se garantiza la sostenibilidad del proyecto cuando termine el Programa Oro legal?</p> <p>(Todos)</p> |
|                 | 8.2 Replicación         | <p>¿Cree que a otras Comunidades, Consejos Comunitarios, Asociaciones u Organizaciones les gustaría participar en este proyecto?</p> <p>¿Cree que el Programa Oro Legal puede ser replicado en otras regiones del país? Explique su respuesta</p> <p>(Todos)</p>   |
| Acuerdos de paz | Desarrollo rural        | <p>Cuando aparezca en las entrevistas, ya que no existen preguntas específicas sobre el tema, pero es una pregunta de la evaluación.</p>   |
|                 | Cultivos ilícitos       |  |
|                 | Participación política. |  |
| Transversales   | Logros                  | <p>Se cruza con todos los códigos anteriores.</p>  |
|                 | Dificultades            |  |
|                 | Expectativas            |  |
| Productos       | Minería                 | <p>Se cruza con todos los códigos anteriores.</p>  |
|                 | Reforestación           |  |

|  |         |  |
|--|---------|--|
|  | Achiote |  |
|  | Miel    |  |

## ANNEX 6. SURVEY RESPONDENTS, INTERVIEWS, AND BIBLIOGRAPHY

a. Beneficiarios encuestados por tipología.

| Tipología              | Departamento           | Municipio              | # Encuestas |
|------------------------|------------------------|------------------------|-------------|
| <b>Apícola</b>         | Antioquia              | Caucasia               | 9           |
|                        |                        | El Bagre               | 31          |
|                        |                        | Nechí                  | 18          |
|                        |                        | Tarazá                 | 15          |
|                        |                        | Zaragoza               | 23          |
| <b>Total Antioquia</b> |                        |                        | <b>96</b>   |
| <b>Acacia</b>          | Antioquia              | Caucasia               | 9           |
|                        |                        | El Bagre               | 69          |
|                        |                        | <b>Total Antioquia</b> |             |
| <b>Achiote</b>         | Chocó                  | Atrato (Yuto)          | 23          |
|                        |                        | Quibdó                 | 7           |
|                        |                        | Rio Quito              | 38          |
|                        |                        | <b>Total Chocó</b>     |             |
| <b>Minería</b>         | Antioquia              | Barbosa                | 13          |
|                        |                        | Buriticá               | 30          |
|                        |                        | Remedios               | 10          |
|                        |                        | Segovia                | 9           |
|                        |                        | Tarazá                 | 9           |
|                        | <b>Total Antioquia</b> |                        |             |
| <b>Chocó</b>           | Chocó                  | Cértegui               | 9           |
|                        |                        | Condoto                | 4           |
|                        |                        | <b>Total Chocó</b>     |             |
| <b>TOTAL</b>           |                        |                        | <b>326</b>  |

b. Entrevistas por tipología.

|                                   | Municipios                     | Funcionario<br>Oro Legal | Sector<br>Público | Minería             |                   |                    | Cadenas   |           |           |                            |                                 |          |
|-----------------------------------|--------------------------------|--------------------------|-------------------|---------------------|-------------------|--------------------|-----------|-----------|-----------|----------------------------|---------------------------------|----------|
|                                   |                                |                          |                   | Beneficiario<br>UPM | Gran              |                    | Miel      | Acacia    | Achiote   | Comprador<br>Inversionista | Reforestación<br>Rehabilitación | Otro**   |
|                                   |                                |                          |                   |                     | Empresa<br>Minera | No<br>beneficiario |           |           |           |                            |                                 |          |
| ANTIOQUIA                         | Barbosa                        |                          | 2                 | 2                   |                   | 1                  |           |           |           |                            |                                 |          |
|                                   | Buriticá                       |                          |                   | 2                   |                   |                    |           |           |           |                            |                                 |          |
|                                   | Cáceres                        |                          |                   |                     |                   |                    |           | 1         |           |                            |                                 |          |
|                                   | Caucasia                       | 5                        |                   |                     |                   |                    | 7         |           |           |                            |                                 |          |
|                                   | El Bagre                       |                          | 2                 |                     |                   |                    | 1         |           |           |                            |                                 |          |
|                                   | Medellín                       | 3                        | 8                 |                     | 3                 |                    | 1         |           |           | 1                          |                                 |          |
|                                   | Nechí                          |                          |                   |                     |                   | 1                  | 4         |           |           |                            |                                 |          |
|                                   | Remedios                       | 3                        | 1                 |                     | 7                 |                    |           |           |           |                            |                                 |          |
|                                   | Segovia                        |                          | 1                 |                     |                   |                    | 5         |           |           |                            |                                 |          |
|                                   | Tarazá                         |                          |                   |                     | 1                 |                    |           |           |           |                            |                                 | 1        |
|                                   | Zaragoza*                      |                          |                   | 1                   |                   |                    |           | 4         | 1         |                            |                                 |          |
|                                   | <b>TOTAL</b>                   | <b>11</b>                | <b>15</b>         | <b>12</b>           | <b>3</b>          | <b>7</b>           | <b>17</b> | <b>2</b>  | <b>0</b>  | <b>1</b>                   | <b>1</b>                        | <b>0</b> |
| CHOCO                             | Quibdó                         | 2                        | 3                 |                     |                   |                    |           |           |           |                            |                                 |          |
|                                   | Atrato*                        |                          |                   |                     |                   |                    |           |           | 2         |                            | 1                               |          |
|                                   | El Cantón<br>del San<br>Pablo* |                          |                   |                     |                   |                    |           |           | 3         |                            |                                 |          |
|                                   | Cértegui*                      |                          |                   | 4                   |                   |                    |           |           | 1         |                            |                                 |          |
|                                   | Condoto*                       |                          |                   | 4                   |                   |                    |           |           | 2         |                            |                                 |          |
|                                   | Río Quito*                     |                          |                   |                     |                   |                    |           |           | 6         |                            |                                 |          |
|                                   | <b>TOTAL</b>                   | <b>2</b>                 | <b>3</b>          | <b>8</b>            | <b>0</b>          | <b>0</b>           | <b>0</b>  | <b>0</b>  | <b>14</b> | <b>0</b>                   | <b>1</b>                        | <b>0</b> |
| Bogotá D.E.                       |                                | 2                        |                   |                     |                   |                    |           |           |           |                            | 1                               |          |
| Londres                           |                                |                          |                   |                     |                   |                    |           |           | 1         |                            |                                 |          |
| <b>TOTAL</b>                      | <b>13</b>                      | <b>20</b>                | <b>20</b>         | <b>3</b>            | <b>7</b>          | <b>17</b>          | <b>2</b>  | <b>14</b> | <b>2</b>  | <b>2</b>                   | <b>1</b>                        |          |
| <b>NUMERO DE ENTREVISTAS: 101</b> |                                |                          |                   |                     |                   |                    |           |           |           |                            |                                 |          |

**LISTADO ENTREVISTAS EQUIPO DE EVALUACION - PROGRAMA ORO LEGAL**

| <b>No.</b> | <b>Nombre</b>       | <b>Cargo</b>  | <b>Entidad</b>                                     | <b>Municipio</b> | <b>Departamento</b> |
|------------|---------------------|---|--|------------------|---------------------|
| 1          | Alfonso Martinez    | Socio   | UPM Buenaventura                                   | Segovia          | Antioquia           |
| 2          | Eneida Guzmán       | Socia   | UPM Torre Gold                                     | Segovia          | Antioquia           |
| 3          | Fernando Gomez      | Secretario de Minas   | Alcaldía de Segovia                                | Segovia          | Antioquia           |
| 4          | Ovidio Gomez        | Socio   | UPM La Revelación                                  | Segovia          | Antioquia           |
| 5          | Wilman Cañas        | Secretario de Minas y Medio Ambiente  | Alcaldía de Remedios                               | Remedios         | Antioquia           |
| 6          | Wilson Arango       | Socio   | UPM Fortuna Gold                                   | Segovia          | Antioquia           |
| 7          | Darlin E. Palacios  | Beneficiario  | Área de Reserva Especial de COCOMACER              | Certegui         | Choco               |
| 8          | Ervin Rentería      | Asesor  | Consejo Comunitario Mayor del Municipio de CONDOTO | Condoto          | Choco               |
| 9          | Francisco Aguilar   | Representante Legal Subcontrato de formalización otorgado                           | Consejo Comunitario Mayor del Municipio de CONDOTO | Condoto          | Choco               |
| 10         | Iván Darío Ramírez  | Beneficiario  | Área de Reserva Especial de COCOMACER              | Certegui         | Choco               |
| 11         | Jackson Mosquera    | Beneficiario  | Área de Reserva Especial de COCOMACER              | Certegui         | Choco               |
| 12         | Johnny A. Robledo   | Beneficiario  | Área de Reserva Especial de COCOMACER              | Certegui         | Choco               |
| 13         | Jose David Mosquera | Representante Legal/Titular   | Consejos Comunitarios del Alto Condoto - COOMACON  | Condoto          | Choco               |
| 14         | Marcelino Mosquera  | Representante Legal Subcontrato de formalización otorgado/Inversiones Esfuerzo Jose | Consejos Comunitarios del Alto Condoto - COOMACON  | Condoto          | Choco               |

|    |  |  |  |          |           |
|----|--|--|--|----------|-----------|
| 15 | Alveiro Londoño                                | Secretario de Gobierno   | Alcaldía de Barbosa                          | Barbosa  | Antioquia |
| 16 | Camilo Chica                                   | Representante Legal  | El Progreso Gold Mine                        | Buritica | Antioquia |
| 17 | Guillermo Avendaño                             | Coordinador POL  | Oro Legal                                    | Remedios | Antioquia |
| 18 | Jader A. Londoño                               | Representante Legal  | UPM Minerales Santa Isabel                   | Remedios | Antioquia |
| 19 | Dairo Gutiérrez                                | Representante Legal  | UPM La Panelera                              | Remedios | Antioquia |
| 20 | Darío A. Soto                                  | Administrador  | UPM Aluviones La Palma                       | Barbosa  | Antioquia |
| 21 | Diego Garcia y Mauricio Garcia                 | Representante Legal/Administrador                                  | UPM Dragueros Puente Nuevo                   | Barbosa  | Antioquia |
| 22 | Durley Londoño                                 | Especialista Ambiental   | Oro Legal                                    | Remedios | Antioquia |
| 23 | Elkin Alberto Bonilla                          | Administrador  | UPM La Vetilla                               | Remedios | Antioquia |
| 24 | Gloria Munera                                  | Representante  | UPM El Diamante                              | Remedios | Antioquia |
| 25 | Hugo Valle                                     | Representante Legal  | UPM San Román                                | Buritica | Antioquia |
| 26 | James Londoño                                  | Subsecretario espacio publico                                      | Alcaldía de Barbosa                          | Barbosa  | Antioquia |
| 27 | Jenny Ofir Caro                                | Coordinadora   | UPM El Aguinaldo                             | Remedios | Antioquia |
| 28 | Jesus Eliecer Betancur                         | Administrador  | UPM La Polentea                              | Remedios | Antioquia |
| 29 | Juan Jaramillo/Johavy Henao/Jesus Guarín       | Socios   | UPM Dragueros Yarumito                       | Barbosa  | Antioquia |
| 30 | Lida Isabel Avendaño                           | Consultora S.S.T.  | Oro Legal                                    | Remedios | Antioquia |
| 31 | Robinson Augusto Palencia                      | Coordinador  | UPM El Edén                                  | Remedios | Antioquia |
| 32 | Socorro Gaviria                                | Socia  | UPM La Aparecida                             | Segovia  | Antioquia |
| 33 | Eliana Yépez                                   | Abogada - Supervisora Convenio                                     | Sun Valley                                   | Medellín | Antioquia |
| 34 | Jaime Gutiérrez                                | Gerente General  | Nugget S.A.S.                                | Medellín | Antioquia |
| 35 | Jaime Jaramillo                                | Director   | Mineros S.A.                                 | Medellín | Antioquia |
| 36 | Yenny Quintero Herrera/Laura Benavides Escobar | Directora de Titulación/Abogada de Titulación Supervisión convenio | Secretaria de Minas Gobernación de Antioquia | Medellín | Antioquia |

|    |  |  |  |             |           |
|----|--|--|--|-------------|-----------|
| 37 | Daniel Cadavid                           | Presidente/Representante Legal                                 | Asociación de Ganaderos y Agricultores del Bajo Cauca y el Alto San Jorge - ASOGAUCA | Cáceres     | Antioquia |
| 38 | Jose Dumar Monsalve                      | Facilitador Comunitario - Enlace entre Oro Legal y la Alcaldía | .  | Taraza      | Antioquia |
| 39 | Wilson Marín                             | Coordinador de Minas y Medio Ambiente                          | Alcaldía de Zaragoza   | Zaragoza    | Antioquia |
| 40 | Paulo Cesar Murcia                       | Director de Minas  | Alcaldía del Bagre   | El Bagre    | Antioquia |
| 41 | Sergio Santa                             | Subdirector  | Servicio Nacional de Aprendizaje - SENA CFMA   | El Bagre    | Antioquia |
| 42 | Roger Patino Jaramillo                   | Secretario   | Asociación de Mineros de Taraza - ASOMIT   | Taraza      | Antioquia |
| 43 | Maria Teresa Martinez                    | Profesional Especializado                                      | Corporación Autónoma Regional del Centro de Antioquia - CORANTIOQUIA                 | Medellín    | Antioquia |
| 44 | Carlos Andres Naranjo/Laura Andrea Villa | Subdirector de Regionalización/Practicante Comunicaciones      | Corporación Autónoma Regional del Centro de Antioquia - CORANTIOQUIA                 | Medellín    | Antioquia |
| 45 | Juan Jose Castano Vergara                | Director Fomento   | Gobernación de Antioquia   | Medellín    | Antioquia |
| 46 | Juan Felipe Lopez Londoño                | Profesional Universitario                                      | Gobernación de Antioquia   | Medellín    | Antioquia |
| 47 | Adolfo Guevara                           | Representante Legal  | Consejo Comunitario Mayor de la Organización Campesina del Alto Atrato – COCOMOPOCA  | Atrato Yuto | Choco     |
| 48 | Alex Mauricio Jiménez                    | Subdirector de Planeación                                      | Corporación Autónoma Regional para el Desarrollo Sostenible del Chocó - CODECHOCO    | Quibdó      | Choco     |
| 49 | Carlos A. Arroyave                       | Representante Legal  | ASOCCOR  | Caucasia    | Antioquia |
| 50 | Débora Córdoba                           | Brigadista/Líder   | Consejo Comunitario Mayor de SAN ISIDRO  | Rio Quito   | Choco     |
| 51 | Eladio Córdoba                           | Representante Legal  | Consejo Comunitario Mayor de SAN ISIDRO  | Rio Quito   | Choco     |

|    |                         |   |  |                        |           |
|----|-------------------------|---|--|------------------------|-----------|
| 52 | Guillermo Castillo      | Coordinador Técnico   | FIBRARTE -<br>Asociación<br>Multiactiva del Bajo<br>Cauca antioqueño<br>(Zaragoza y El Bagre)      | Zaragoza               | Antioquia |
| 53 | Héctor Sepúlveda        | Coordinador   | Oro Legal  | Caucasia               | Antioquia |
| 54 | Jaidier Johan Teherán   | Coordinador técnico   | Fundación Mineros -<br>ASOPIBAR  | Medellín               | Antioquia |
| 55 | Jorge Garzón            | Asesor Forestal   | Oro Legal  | Quibdó                 | Choco     |
| 56 | Jose Fabio Hurtado      | Coordinador   | Consejo Comunitario<br>General del Cantón<br>de San Pablo -<br>COPOCANTON                          | Cantón de<br>San Pablo | Choco     |
| 57 | Manuel Rodriguez        | Brigadista  | Consejo Comunitario<br>de VILLA CONTO  | Rio Quito              | Choco     |
| 58 | Marino Palacios Murillo | Representante Legal   | Consejo Comunitario<br>SANTO DOMINGO<br>BOCA DE TANANDO  | Rio Quito              | Choco     |
| 59 | Mario Herrera           | Coordinador Academia  | Servicio Nacional de<br>Aprendizaje - SENA   | Quibdó                 | Choco     |
| 60 | Natalia Castillo        | Coordinadora Regional   | Oro Legal  | Quibdó                 | Choco     |
| 61 | Roque Rentería          | Secretario de Desarrollo<br>Económico y Recursos<br>Naturales | Gobernación del<br>Choco   | Quibdó                 | Choco     |
| 62 | Francisco E Mosquera    | Administración  | Consejo Comunitario<br>Mayor de la<br>Organización<br>Campesina del Alto<br>Atrato –<br>COCOMOPOCA | Atrato Yuto            | Choco     |
| 63 | Jimmy Lozano            | Asesor Técnico  | Consejo Comunitario<br>Mayor del Municipio<br>de CONDOTO   | Condoto                | Choco     |
| 64 | Hilda Valdobino         | Cacica  | Resguardo Indígena<br>VEGAS DE SEGOVIA   | Zaragoza               | Antioquia |
| 65 | Zoraida Silgado         | Representante Legal   | Asociación Apícola<br>Abejas y Miel de<br>CARBEIBAS  | Nechi                  | Antioquia |
| 66 | Jose Omar Rodriguez     | Fiscal  | Consejo Comunitario<br>Mayor del Municipio<br>de CONDOTO   | Condoto                | Choco     |
| 67 | John Jairo Urrutia      | Representante Legal   | Consejo Comunitario<br>Mayor de Certegui -<br>COCOMACER  | Certegui               | Choco     |
| 68 | Maria Enoc Mosquera     | Brigadista  | Consejo Comunitario<br>de VILLA CONTO  | Rio Quito              | Choco     |

|    |                        |                                     |   |                        |           |
|----|------------------------|-------------------------------------|---|------------------------|-----------|
| 69 | Miguel E. Palacios     | Brigadista                          | Consejo Comunitario<br>SAN ISIDRO   | Rio Quito              | Choco     |
| 70 | Darío J. Córdoba       | Coordinador técnico<br>producción   | Consejo Comunitario<br>Mayor de la<br>Asociación<br>Campesina Integral<br>del Atrato -<br>COCOMACIA | Atrato Yuto            | Choco     |
| 71 | Jose Ceberiano Palacio | Representante Legal                 | Consejo Comunitario<br>General del Cantón<br>de San Pablo -<br>COPOCANTON                           | Cantón de<br>San Pablo | Choco     |
| 72 | Sandra Elena Murillo   | Técnica                             | Consejo Comunitario<br>General del Cantón<br>de San Pablo -<br>COPOCANTON                           | Cantón de<br>San Pablo | Choco     |
| 73 | Jaime Martinez         | Tesorero                            | Asociación de<br>Apicultores del Bajo<br>Cauca y Sur de Bolívar<br>- ASAPIBAS                       | Caucasia               | Antioquia |
| 74 | Abel Pérez             | Vicepresidente                      | Asociación de<br>Apicultores del Bajo<br>Cauca y Sur de Bolívar<br>- ASAPIBAS                       | Caucasia               | Antioquia |
| 75 | Norberto Castillo      | Representante Legal                 | Asociación de<br>Apicultores del Bajo<br>Cauca y Sur de Bolívar<br>- ASAPIBAS                       | Caucasia               | Antioquia |
| 76 | .                      | Vocal                               | Asociación de<br>Apicultores del Bajo<br>Cauca y Sur de Bolívar<br>- ASAPIBAS                       | Caucasia               | Antioquia |
| 77 | Diana Cardenas         | Técnica Campo                       | Oro Legal   | Caucasia               | Antioquia |
| 78 | Cristian Hernández     | Técnico Campo                       | Oro Legal   | Caucasia               | Antioquia |
| 79 | Gerardo Rodriguez      | Consultor - Especialista<br>Apícola | Oro Legal   | Caucasia               | Antioquia |
| 80 | James Alvarado         | Técnico Apícola                     | ASOCCOR   | Caucasia               | Antioquia |
| 81 | Rafael Martinez        | Representante Legal                 | Asociación Apícola<br>Abejas y Miel de<br>CARBEIBAS   | Nechi                  | Antioquia |
| 82 | John Jairo Salazar     | Técnico Campo                       | Asociación Apícola<br>Abejas y Miel de<br>CARBEIBAS   | Nechi                  | Antioquia |
| 83 | Constantino L          | Fiscal                              | Asociación Apícola<br>Abejas y Miel de<br>CARBEIBAS   | Nechi                  | Antioquia |
| 84 | Edilberto Mejía        | Técnico Apícola                     | Oro Legal   | Caucasia               | Antioquia |

|     |                   |  |   |          |             |
|-----|-------------------|--|---|----------|-------------|
| 85  | David Pulgarin    | Técnico  | FIBRARTE -<br>Asociación<br>Multiactiva del Bajo<br>Cauca antioqueño<br>(Zaragoza y El Bagre) | Zaragoza | Antioquia   |
| 86  | Amelia German     | Secretaria   | Asociación de<br>productores agrícolas<br>y pecuarios de Cuturu<br>- ASOCUTURU                | Caucasia | Antioquia   |
| 87  | Sandra Marques    | .  | Campo Dulce   | El Bagre | Antioquia   |
| 88  | Alejandro Pérez   | Presidente   | FIBRARTE -<br>Asociación<br>Multiactiva del Bajo<br>Cauca antioqueño<br>(Zaragoza y El Bagre) | Zaragoza | Antioquia   |
| 89  | Emilda Pérez      | Tesorera   | Asociación de<br>productores agrícolas<br>y pecuarios de Cuturu<br>- ASOCUTURU                | Zaragoza | Antioquia   |
| 90  | Nelly Álvarez     | Administradora                                     | UPM Los Álvarez   | Nechi    | Antioquia   |
| 91  | Luz Abusaid       | Contratista de inversión                           | Chemonics   | Londres  |             |
| 92  | Peter Doyle       | CDOP   | Oro Legal   | Medellín | Antioquia   |
| 93  | Miguel Molano     | Subdirector  | Oro Legal   | Medellín | Antioquia   |
| 94  | Beatriz Duque     | Líder Formalización Minera                         | Oro Legal   | Medellín | Antioquia   |
| 95  | Oscar Arenas      | Dueño  | Naranja Madura  | Medellín | Antioquia   |
| 96  | Emily Waytoti     | Oficial de Desarrollo de la<br>Oficina de Ambiente | USAID   | Bogotá   | Bogotá D.C. |
| 97  | Mónica Grand      | Directora de Formalización<br>Minera               | Ministerio de Minas y<br>Energía  | Bogotá   | Bogotá D.C. |
| 98  | David Gonzalez    | Vicepresidente de<br>Promoción y Fomento<br>Minero | Agencia Nacional de<br>Minería  | Bogotá   | Bogotá D.C. |
| 99  | Dora Elena Balvin | Secretaria de Minas                                | Gobernación de<br>Antioquia   | Medellín | Antioquia   |
| 100 | Lucy Rivera       | Secretaria de Medio<br>Ambiente                    | Gobernación de<br>Antioquia   | Medellín | Antioquia   |
| 101 | Juan Jose Castaño | Asesor   | Secretaria de Minas<br>Gobernación de<br>Antioquia  | Medellín | Antioquia   |

c. Bibliografía

| Lista de documentos revisados   |
|---|
| <b>DOCUMENTOS PROGRAMA ORO LEGAL Y USAID</b>  |
| Final Performance Evaluation of the BIOREDD+ (Biodiversity – Reduced Emissions from Deforestation and Forest Degradation) Climate Change Component (September 2015) |
| Oro Legal Work Plan 2015-2016 (November 2015)   |
| USAID Oro Legal Contract AID-514-C-15-00003 Mod 2 (September 2016)  |
| USAID Oro Legal Contract AID-514-C-15-00003 (September 2016)  |
| Oro Legal Work Plan 2016-2017 (September 2016)  |
| ORO LEGAL Convocatoria anual del programa – APS No. OL-APS-002 (October 2016)   |
| Oro Legal Annual Progress Report FY16 (October 2016)  |
| Oro Legal Quarterly Reports (2016)  |
| Environment Peace Initiative for Colombia (EPIC) Report Q3 FY 2016  |
| Oro Legal MEL Plan (March 2017)   |
| USAID Oro Legal Contract AID-514-C-15-00003 Mod 3 (March 2017)  |
| Oro Legal MEL Plan (October 2017)   |
| Oro Legal Quarterly Reports (2017)  |
| Oro Legal Work Plan 2017-2018 (August 2017)   |
| USAID Oro Legal Contract AID-514-C-15-00003 Mod 4 (December 2017)   |
| Oro Legal Annual Progress Report FY17 (December 2017)   |
| Monitor web-based Information System  |
| Documentos suministrados por el Programa Oro Legal  |
| Correos electrónicos suministrados por el Programa Oro Legal  |

|   |
|---|
| USAID Colombia CDCS   |
| MOUs  |
| <b>OTROS DOCUMENTOS</b>   |
| Ley de Mercurio – LEY 1658 DEL 15 DE JULIO DE 2013  |
| Environmental Performance Review Colombia OECD (2014)   |
| Gender, Child Labor, and Vulnerable Populations Strategy (October 2015)   |
| Explotación de oro de aluvión: Evidencias a partir de percepción remota (Junio 2016)  |
| Documento Proyecto de Asesoría y Asistencia técnica para la Reducción y Eliminación del uso del Mercurio en Colombia (December 2017)  |
| Notes from Meeting with Oro Legal M&E Specialist (February 2018)  |
| Eval Mining in Afghanistan  |
| Acuerdo final para la terminación del conflicto y la construcción de una paz estable y duradera.<br><a href="http://www.altocomisionadoparalapaz.gov.co/procesos-y-conversaciones/Documentos%20compartidos/24-11-2016NuevoAcuerdoFinal.pdf">http://www.altocomisionadoparalapaz.gov.co/procesos-y-conversaciones/Documentos%20compartidos/24-11-2016NuevoAcuerdoFinal.pdf</a>   |
| Ortiz-Riomalo, Juan Felipe y Rettberg, Angelika. “Minería de oro, conflicto y criminalidad en los albores del siglo XXI en Colombia: Perspectivas para el posconflicto colombiano”.2018. Colombia Internacional (93): 17-63. DOI: <a href="https://dx.doi.org/10.7440/colombiaint93.2018.02">https://dx.doi.org/10.7440/colombiaint93.2018.02</a> .   |
| Kooiman, 1993 (Hufty et al., 2006). Tomado de <a href="https://revistas.uexternado.edu.co/index.php/opera/article/view/3839/4150">https://revistas.uexternado.edu.co/index.php/opera/article/view/3839/4150</a>   |
| Conny Havel, La formalización de la minería artesanal y de pequeña escala de oro en Colombia y su contribución a los Objetivos de Desarrollo Sostenible, Junio 2018 en <a href="http://www.responsiblemines.org/blog/formalizacion-mape-ods/">http://www.responsiblemines.org/blog/formalizacion-mape-ods/</a>  |
| Informe de banda ancha reportado en 2016 por ECLAC (Economic Commission for Latin America and the Caribbean)  |
| Sistema Nacional de Áreas Protegidas (SINAP) y territorios colectivos.<br><a href="http://www.minambiente.gov.co/index.php/component/content/article?id=914:plantilla-bosques-biodiversidad-y-servicios-ecosistematicos-58#reservas-forestales-establecidas-por-la-ley-2a">http://www.minambiente.gov.co/index.php/component/content/article?id=914:plantilla-bosques-biodiversidad-y-servicios-ecosistematicos-58#reservas-forestales-establecidas-por-la-ley-2a</a> |
| Andrés Ricardo Santamaría (Feb. 2009). Diagnóstico productivo y comercial de la cadena apícola de los programas para la sustitución de cultivos ilícitos y desarrollo alternativo de Acción Social y UNODC. UNODC y Acción Social   |

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[http://www.aaep.org.ar/anales/download/2015/Cerro\\_AAEP2015.pdf](http://www.aaep.org.ar/anales/download/2015/Cerro_AAEP2015.pdf)

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Leonardo Raffo (2011) Teoría económica de los bienes ilegales: una revisión de la literatura; Sociedad y Economía No. 20 (pp. 291-311).

## ANNEX 7. SURVEY AND INTERVIEW INSTRUMENTS

### a. Entrevista a Funcionarios Públicos.

Programa EVAL de USAID  
**PROGRAMA ORO LEGAL**

**ENTREVISTA A FUNCIONARIOS PUBLICOS**  
(MME/ANM, GOBERNACION, CAR, ALCALDIA, SENA REGIONAL)

|                       |  |
|-----------------------|--|
| <b>Entrevistado:</b>  |  |
| <b>Entidades:</b>     |  |
| <b>Ocupación:</b>     |  |
| <b>Municipio</b>      |  |
| <b>Fecha:</b>         |  |
| <b>Entrevistador:</b> |  |

Buen día/tarde. Muchas gracias por permitirnos realizar esta entrevista. Mi nombre es... y hago parte del Programa EVAL de USAID que actualmente está realizando una evaluación de desempeño del Programa Oro Legal. El objetivo es analizar la manera como ha funcionado el programa, determinar sus resultados hasta ahora, y proponer recomendaciones de mejora. Para la evaluación es muy importante conocer sus opiniones y percepciones. Esta entrevista es confidencial y sus opiniones solo van a hacer usadas para la evaluación.

¿Me permite grabar la entrevista?. ¿Podemos comenzar?

## A. ANTECEDENTES

**1. ¿Actualmente la Alcaldía tiene políticas o proyectos para la actividad minera?. Si la respuesta es sí, cuénteme de ellos. ¿Están contemplados en el Plan de Desarrollo del municipio?. ¿Tuvieron acompañamiento del Programa Oro Legal?. ALCALDIA.**

**2. ¿Existe algún proyecto para la formalización de estas áreas libres?. Si la respuesta es sí, ¿están articulados con el Programa Oro Legal?. MME/ANM, GOBERNACION.**

**3. ¿Están identificadas por su entidad las áreas libres en el Departamento de Antioquia/Chocó?. MME/ANM, GOBERNACION.**

**4. ¿Previo a la llegada del programa Oro Legal, Ustedes realizaban proyectos para apoyar la formalización de las UPMs?. GOBERNACION, ALCALDIA.**

**5. ¿Me podría describir en sus propias palabras qué es el Programa Oro Legal?. MME/ANM, GOBERNACION, CAR, ALCALDIA, SENA REGIONAL.**

**6. ¿Son claros para su entidad los objetivos del Programa Oro Legal?. MME/ANM, GOBERNACION, CAR, ALCALDIA, SENA REGIONAL.**

**7. Cuénteme brevemente cómo es la relación de su entidad con el Programa Oro Legal. MME/ANM, GOBERNACION, CAR, ALCALDIA.**

**8. ¿Participó su entidad en el proceso de planeación y definición del programa?. Si la respuesta es sí, especifique cómo. MME/ANM, GOBERNACION, CAR, ALCALDIA, SENA REGIONAL.**

**9. ¿Existen otros proyectos de Cooperación Internacional en el Departamento o en la Alcaldía que estén relacionados con la minería de oro?. Si la respuesta es afirmativa, ¿compiten o se complementan con los objetivos del Programa Oro Legal?. MME/ANM, GOBERNACION, CAR, ALCALDIA.**

**10. Basados en la responsabilidad de su entidad en el control y apoyo en el desarrollo de la actividad minera, ¿cree que ha habido asistencia por parte del Programa Oro Legal?. Si la respuesta es sí, ¿en qué?. Si la respuesta es no, ¿por qué?. MME/ANM, GOBERNACION, CAR, ALCALDIA, SENA REGIONAL.**

**11. ¿Cuáles considera Usted son los obstáculos para que un mayor número de mineros se involucren en estas estrategias de formalización?. MME/ANM, GOBERNACION.**

**12. ¿Cuáles deberían ser las capacidades institucionales mínimas de su entidad para implementar las políticas y normatividad en minería?. MME/ANM, GOBERNACION, CAR, ALCALDIA, SENA REGIONAL.**

**13. ¿Considera que el Programa Oro Legal ha contribuido con el mejoramiento de esas capacidades?. MME/ANM, GOBERNACION, CAR, ALCALDIA, SENA REGIONAL.**

**14. ¿Su entidad ha participado en las capacitaciones ofrecidas a los mineros por el Programa Oro Legal?. Si la respuesta es si, ¿cómo?. Si la respuesta es no, por qué?. SENA REGIONAL.**

**15. ¿Ha contribuido el Programa Oro Legal en el diseño y fortalecimiento de los programas de capacitación a los mineros del Centro de Formación Minero Ambiental del SENA?. Si la respuesta es si, ¿cómo?. CAR, ALCALDIA, SENA REGIONAL.**

**16. ¿Los municipios han recibido rentas (regalías) a partir del Programa Oro Legal?. GOBERNACION, ALCALDIA.**

**17. ¿Cuáles son las principales dificultades que tiene la población minera para formalizarse?. ¿Conoce las estrategias que está implementando el Programa Oro Legal para resolverlas?.**

**¿Considera que han sido exitosas?.** MME/ANM, GOBERNACION, CAR, ALCALDIA, SENA REGIONAL.

**18. ¿Tiene alguna relación o comunicación con los mineros formalizados de los municipios en donde se desarrolla el Programa Oro Legal?. Si la respuesta es sí, ¿cómo es ésta?.** MME/ANM, GOBERNACION, CAR, ALCALDIA.

**19. ¿Conoce el modelo de capacitación ofrecido a los mineros participantes del Programa Oro Legal?. ¿En qué consiste y cómo se articula con otros programas de capacitación?.** MME/ANM, GOBERNACION, CAR, ALCALDIA, SENA REGIONAL.

**20. ¿Considera que el Programa Oro Legal ha contribuido en la recuperación de pasivos ambientales en los municipios donde se está desarrollando el programa?. ¿Por qué?.** MME/ANM, GOBERNACION, CAR, ALCALDIA.

**21. ¿Que se podría mejorar por parte del programa en este aspecto?.** MME/ANM, GOBERNACION, CAR, ALCALDIA, SENA REGIONAL.

**22. ¿Cuáles son los mayores obstáculos que enfrentan los mineros en el proceso de formalización?.** MME/ANM, GOBERNACION, CAR, ALCALDIA, SENA REGIONAL.

**23. ¿Cuáles podrían ser las estrategias para resolver dichos obstáculos?.** MME/ANM, GOBERNACION, CAR, ALCALDIA, SENA REGIONAL.

## B. RECOMENDACIONES

**24. ¿Cuáles son los logros más importantes del Programa Oro Legal hasta este momento?.** MME/ANM, GOBERNACION, CAR, ALCALDIA, SENA REGIONAL.

**25. ¿Cuáles son los principales cuellos de botella, y cuales las sugerencias para mejorar los resultados del programa?.** MME/ANM, GOBERNACION, CAR, ALCALDIA, SENA REGIONAL.

**26. La entidad que Usted representa tendría interés en continuar con las actividades del Programa Oro Legal una vez este termine?.** MME/ANM, GOBERNACION, CAR, ALCALDIA, SENA REGIONAL.

**27. ¿Qué tendría que hacer el Programa Oro Legal para que estas actividades sean sostenibles?.** MME/ANM, GOBERNACION, CAR, ALCALDIA, SENA REGIONAL.

**28. ¿El Programa Oro Legal ha facilitado la aplicación de la legislación minera por parte de las entidades locales?.** MME/ANM, GOBERNACION, CAR, ALCALDIA, SENA REGIONAL.

**29. ¿Cuál es su concepto del Programa Oro Legal?. ¿Cuáles son las expectativas de su entidad respecto a los objetivos del Programa Oro Legal?. ¿Qué recomendaría para mejorar en términos generales?.** MME/ANM, GOBERNACION, CAR, ALCALDIA, SENA REGIONAL.

## b. Entrevista a Compradores y Posibles Inversionistas

Programa EVAL de USAID  
**PROGRAMA ORO LEGAL**

### ENTREVISTA A COMPRADORES Y POSIBLES INVERSIONISTAS

|                       |  |
|-----------------------|--|
| <b>Entrevistado:</b>  |  |
| <b>Entidades:</b>     |  |
| <b>Ocupación:</b>     |  |
| <b>Municipio</b>      |  |
| <b>Fecha:</b>         |  |
| <b>Entrevistador:</b> |  |

Buen día/tarde. Muchas gracias por permitirnos realizar esta entrevista. Mi nombre es... y hago parte del Programa EVAL de USAID que actualmente está realizando una evaluación de desempeño del Programa Oro Legal. El objetivo es analizar la manera como ha funcionado el programa, determinar sus resultados hasta ahora, y proponer recomendaciones de mejora. Para la evaluación es muy importante conocer sus opiniones y percepciones. Esta entrevista es confidencial y sus opiniones solo van a hacer usadas para la evaluación.

¿Me permite grabar la entrevista?. ¿Podemos comenzar?

### C. ANTECEDENTES

1. ¿Me podría describir en sus propias palabras qué es el Programa Oro Legal?
2. ¿Cómo participa Usted en este programa?
3. ¿Cuánto tiempo lleva en el programa?
4. ¿Qué le interesa del proyecto de minería/reforestación/achiote/miel del Programa Oro Legal?. Explique por qué
5. ¿Qué potencial ve en el negocio?
6. ¿Cuándo se concreta o concretó la participación de la empresa?
7. ¿Cómo se enteró del proyecto de ...? minería/reforestación/achiote/miel

### D. RECOMENDACIONES

8. **¿Qué riesgos podría tener para el desarrollo del proyecto y por qué razón?**
9. **¿El modelo permite hacer economías de escala?**
10. **¿La escala que se tiene en el programa es la adecuada?. ¿Si no lo es, explicar cómo compensar este problema?**
11. **¿Cuáles son las condiciones de compra de la empresa? pago contra entrega, 3 meses, adelanto, etc.**
12. **¿En el caso de compra cuáles son las condiciones de calidad que requiere?**
13. **¿Cuáles son las cuantías mínimas requeridas por mes?**
14. **¿Qué certificaciones específicas se necesitan?**
15. **¿Cuáles son las condiciones de precios? Qué referentes de precio utilizan para la compra o qué valor se fija**
16. **¿Qué condiciones adicionales se deben considerar? empaques, transporte, tratamientos específicos de pos cosecha, etc.**
17. **¿Tiene algún tipo de asistencia que la empresa vaya a proveer a nivel técnico en la producción o en el procesamiento?**
18. **¿Qué sigue en un futuro próximo para que se dé una relación comercial?**
19. **¿Cree que el componente ambiental de estos proyectos es relevante para la comercialización de los productos?**
20. **¿Cree que el componente social de estos proyectos es relevante para la comercialización de los productos?**

c. Entrevista a Especialistas Técnicos de Cadenas

Programa EVAL de USAID  
**PROGRAMA ORO LEGAL**

**ENTREVISTA A ESPECIALISTAS TÉCNICOS DE CADENAS**

|                       |  |
|-----------------------|--|
| <b>Entrevistado:</b>  |  |
| <b>Entidades:</b>     |  |
| <b>Ocupación:</b>     |  |
| <b>Municipio</b>      |  |
| <b>Fecha:</b>         |  |
| <b>Entrevistador:</b> |  |

Buen día/tarde. Muchas gracias por permitirnos realizar esta entrevista. Mi nombre es... y hago parte del Programa EVAL de USAID que actualmente está realizando una evaluación de desempeño del Programa Oro Legal. El objetivo es analizar la manera como ha funcionado el programa, determinar sus resultados hasta ahora, y proponer recomendaciones de mejora. Para la evaluación es muy importante conocer sus opiniones y percepciones. Esta entrevista es confidencial y sus opiniones solo van a hacer usadas para la evaluación.

¿Me permite grabar la entrevista?. ¿Podemos comenzar?

**E. ANTECEDENTES**

- 1. ¿Me podría describir en sus propias palabras qué es el Programa Oro Legal?**
- 2. ¿Cómo participa Usted en este programa?**
- 3. ¿Cuánto tiempo lleva en el programa?**
- 4. ¿Fue fácil involucrar a campesinos en este cultivo?**
- 5. ¿Cómo ha sido la receptividad del programa por parte de los beneficiarios?**
- 6. ¿Cuál fue el proceso por el que llegaron a Usted y su organización para manejar el tema técnico en...? minería/reforestación/achiote/miel**
- 7. ¿Hubo capacitación en las diferentes fases del cultivo a los beneficiarios?. ¿Cómo fue este proceso?**
- 8. ¿Qué tipo de apoyo necesita un beneficiario a lo largo del proyecto?**
- 9. ¿Ofreció asesorías o acompañamiento en las diferentes fases del cultivo?. ¿Cómo fueron?. ¿Cada cuánto las hacen, quiénes las hacen, van a todas las zonas?**

10. ¿Qué problemas se han presentado y cómo se han adecuados a ellos?

11. ¿Ha habido algún tipo de apoyo institucional para desarrollar su actividad en el programa?. ¿Cómo ha sido?

12. ¿Los Cabildos, Asociaciones, Consejos Comunitarios tienen algún papel en la capacitación o implementación técnica?

## F. PROCESO PRODUCTIVO

13. ¿Qué problemas se han presentado para el desarrollo del proyecto y cuál ha sido la razón?

14. ¿Qué acciones se han tomado para resolver estos problemas?. ¿Cómo se han documentado?

15. ¿Qué compromisos adquirió Usted para el desarrollo del proyecto?

16. ¿Cuál es el papel que las entidades nacionales, departamentales y locales han desempeñado? técnicas como las UMATA y el SENA y políticas como la Alcaldía o la CAR

17. ¿El modelo permite hacer economías de escala?

18. ¿La escala que se tiene en el programa es la adecuada?. ¿Si no lo es, explicar cómo compensar este problema?

19. ¿Había experiencia en la actividad de...en esta región?  
minería/reforestación/achiote/miel

20. ¿Me puede explicar el proceso de la actividad minería/reforestación/achiote/miel y sus principales etapas e hitos? Definir las fases, los tiempos y los hitos en cada una de ellas

21. ¿En qué etapa del proyecto productivo se encuentra? Negociación, firma de Acuerdo/Convenio, en proceso de firma, en establecimiento del cultivo o explotación

22. ¿Cuándo inició las actividades del proyecto?. ¿Cómo se definió el cronograma de actividades para el desarrollo del proyecto?. ¿Cómo se ha aplicado el cronograma?

23. ¿Cuáles son los requerimientos en cada una de las etapas del proceso productivo en términos de recursos (tierra, inversión, mano de obra, asesoría técnica), instrumentos y tecnología?

24. ¿Cuáles son los principales riesgos en cada etapa y cuál es el mejor mecanismo para limitarlo?

25. ¿El nivel de producción actual corresponde a lo planeado?

26. **¿Usted ofrece apoyo en el proceso de acopio, almacenamiento y transporte del producto terminado?**
27. **¿Cuáles son los principales usos del producto y cuáles son los posibles mercados?**
28. **¿Está definido el esquema de comercialización y venta?**  
a. **Si la respuesta es sí, ¿cuáles son sus compradores?**  
b. **Si la respuesta es no ¿Cómo piensa que se debe organizar la cosecha, tratamiento y comercialización desde la región?**
29. **¿Conoce y aplica el Plan de Manejo Ambiental del proyecto productivo?**
30. **¿Conoce y aplica el Plan de Acción para el Uso Seguro de Plaguicidas -PERSUAP?**
31. **¿Los proyectos establecidos aportan a mejorar las condiciones del medio ambiente y los efectos de la minería?. ¿Se han hecho mediciones?**
32. **¿A futuro considera usted que el/los proyectos le aportan a la región en materia ambiental y en la recuperación de las fuentes hídricas, el suelo y a disminuir la huella de carbón dejada por la industria minera?**
33. **¿Las condiciones ambientales encontradas para establecer los proyectos son óptimas o se debieron hacer trabajos previos para la adecuación de los terrenos? costos aproximados, y quién los asumió**

## G. RECOMENDACIONES

34. **¿Para Usted cuáles son los principales problemas que tiene que superar en el proyecto? en los frentes de capacitación y generación de conocimiento, aspectos técnico, financiero, ambiental, y de comercialización**
35. **¿Qué recomendación le hace al programa en términos generales?**
36. **¿Cómo se garantiza la sostenibilidad del proyecto cuando termine el Programa Oro Legal?**
37. **¿Cree que a otras Comunidades, Consejos Comunitarios, Asociaciones u Organizaciones les gustaría participar en este proyecto?**

d. Entrevista a Beneficiarios de Cadenas

Programa EVAL de USAID  
**PROGRAMA ORO LEGAL**

**ENTREVISTA A BENEFICIARIOS DE CADENAS**  
(LÍDERES/FAMILIAS DE CONSEJOS COMUNITARIOS, ORGANIZACIONES, ASOCIACIONES Y  
TENEDOR DE LA TIERRA)

|                       |  |
|-----------------------|--|
| <b>Entrevistado:</b>  |  |
| <b>Entidades:</b>     |  |
| <b>Ocupación:</b>     |  |
| <b>Municipio</b>      |  |
| <b>Fecha:</b>         |  |
| <b>Entrevistador:</b> |  |

Buen día/tarde. Muchas gracias por permitirnos realizar esta entrevista. Mi nombre es... y hago parte del Programa EVAL de USAID que actualmente está realizando una evaluación de desempeño del Programa Oro Legal. El objetivo es analizar la manera como ha funcionado el programa, determinar sus resultados hasta ahora, y proponer recomendaciones de mejora. Para la evaluación es muy importante conocer sus opiniones y percepciones. Esta entrevista es confidencial y sus opiniones solo van a hacer usadas para la evaluación.

¿Me permite grabar la entrevista?. ¿Podemos comenzar?

## H. ANTECEDENTES

1. **¿Me podría describir en sus propias palabras qué es el Programa Oro Legal?**
2. **¿Cómo participa Usted en este programa?**
3. **¿Cuánto tiempo lleva en el programa?**
4. **¿Cuál es su principal actividad económica?**
5. **¿Ha sido Usted beneficiario del programa de Sustitución de Cultivos?**
6. **¿Cuál es su principal fuente de ingresos actualmente?**
7. **¿Cuál fue su motivación para pertenecer al Programa Oro Legal?**
8. **¿Acordó o firmó algún compromiso con el Programa Oro Legal?. ¿Cuál y a qué se comprometió?**

9. **¿Cómo se enteró del proyecto de ...? minería/reforestación/achiote/miel**
10. **¿Recibió capacitación en las diferentes fases del cultivo?. ¿Cómo fue este proceso?**
11. **¿Qué tipo de apoyo necesita un beneficiario a lo largo del proyecto?**
12. **¿Recibió asistencia técnica en las diferentes fases del cultivo?. ¿Cómo fue?. ¿Cada cuánto la recibe, quién las hace?**
13. **¿Qué problemas se han presentado y cómo se han adecuados a ellos?**
14. **¿Ha recibido apoyo institucional para desarrollar su actividad en el programa? ¿Cómo se lo han entregado y en qué tiempos?**
15. **¿Los Cabildos, Asociaciones, Consejos Comunitarios tienen algún papel en la capacitación o implementación técnica?**

## I. PROCESO PRODUCTIVO

16. **¿Qué problemas se han presentado para el desarrollo del proyecto y cuál ha sido la razón?**
17. **¿Qué acciones se han tomado para resolver estos problemas?. ¿Cómo se han documentado?**
18. **¿Qué compromisos adquirió usted para el desarrollo del proyecto?**
19. **¿Está Usted cubierto por el sistema de seguridad social?**
20. **¿Cuál es el papel que las entidades nacionales, departamentales y locales han desempeñado? técnicas como las UMATA y el SENA y políticas como la Alcaldía o la CAR**
21. **¿El modelo permite hacer economías de escala?**
22. **¿La escala que se tiene en el programa es la adecuada?. ¿Si no lo es, explicar cómo compensar este problema?**
23. **¿Usted tenía experiencia en la actividad de...? minería/reforestación/achiote/miel**
24. **¿Conoce el proceso de la actividad minería/reforestación/achiote/miel y sus principales etapas e hitos? Definir las fases, los tiempos y los hitos en cada una de ellas**
25. **¿En qué etapa del proyecto productivo se encuentra? Negociación, firma de Acuerdo/Convenio, en proceso de firma, en establecimiento del cultivo o explotación**
26. **¿Cuándo inició las actividades del proyecto? ¿Cómo se definió el cronograma de actividades para el desarrollo del proyecto? ¿Cómo se ha desarrollado el cronograma?**

27. ¿Cuáles son los requerimientos en cada una de las etapas del proceso productivo en términos de recursos (tierra, inversión, mano de obra, asesoría técnica), instrumentos y tecnología?
28. ¿Conoce cuáles son los principales riesgos en cada etapa y cuál es el mejor mecanismo para mitigarlo?
29. ¿Están identificadas y delimitadas las áreas destinadas para el proyecto?. ¿Cómo se definieron?
30. ¿Cuánto tiempo dedica (al mes) al desarrollo de las actividades del proyecto?
31. ¿Sabe si el nivel de producción actual corresponde a lo planeado?
32. Conoce y aplica el Plan de Manejo Ambiental del proyecto productivo?
34. ¿Conoce y cumple el proyecto con el PERSUAP (Evaluación de Uso de Plaguicidas y Plan de Acción para su Uso Más Seguro)?
34. ¿Cuenta con una zona de almacenamiento para insumos y materia prima?. ¿Qué características tiene?
35. ¿Cuenta con lugar apropiado para el acopio y la transformación?. ¿Qué características tiene?
36. ¿Cuenta con apoyo para el proceso de acopio, almacenamiento y transporte del producto terminado?. ¿Por parte de quién?
37. ¿Cuenta con apoyo para el manejo de subproductos? ¿Por parte de quién?
38. ¿Cuál es su principal fuente de sustento mientras el proyecto muestra resultados?
39. ¿Sabe Usted cuáles son los principales usos del producto y cuáles son los posibles mercados?
40. ¿Sabe cómo está definido el esquema de comercialización y venta?
- Si la respuesta es sí, ¿cuáles son sus compradores?
  - Si la respuesta es no ¿Cómo piensa que se debe organizar la cosecha, tratamiento y comercialización desde la región?
41. ¿Conoce y aplica el Plan de Manejo Ambiental del proyecto productivo?
42. ¿Los proyectos establecidos aportan a mejorar las condiciones del medio ambiente y los efectos de la minería?. ¿Se han hecho mediciones?

**43. ¿A futuro considera usted que el/los proyectos le aportan a la región en materia ambiental y en la recuperación de las fuentes hídricas, el suelo y a disminuir la huella de carbón dejada por la industria minera?**

**44. ¿Cuenta con asistencia técnica en el manejo ambiental?**

**45. ¿Dadas las condiciones ambientales, le tocó hacer trabajos previos para la adecuación de los terrenos? costos aproximados, y quién los asumió**

## **J. RECOMENDACIONES**

**46. ¿Qué recomendaría al programa sobre la capacitación y asistencia técnica?**

**47. ¿Para Usted cuáles son los principales problemas que tiene que superar en el proyecto? en los frentes de capacitación y generación de conocimiento, aspectos técnico, financiero, ambiental, y de comercialización**

**48. ¿Qué recomendación le hace al programa en términos generales?**

**49. ¿Cómo se garantiza la sostenibilidad del proyecto cuando termine el Programa Oro Legal?**

**50. ¿El proyecto le da tranquilidad en términos de ingresos?**

**51. ¿Cree que a otras Comunidades, Consejos Comunitarios, Asociaciones u Organizaciones les gustaría participar en este proyecto?**

e. Entrevista a Grandes Empresas Mineras

Programa EVAL de USAID  
**PROGRAMA ORO LEGAL**

**ENTREVISTA A GRANDES EMPRESAS MINERAS**  
(REPRESENTANTE LEGAL SECTOR PRIVADO)

|                       |  |
|-----------------------|--|
| <b>Entrevistado:</b>  |  |
| <b>Entidades:</b>     |  |
| <b>Ocupación:</b>     |  |
| <b>Municipio</b>      |  |
| <b>Fecha:</b>         |  |
| <b>Entrevistador:</b> |  |

Buen día/tarde. Muchas gracias por permitirnos realizar esta entrevista. Mi nombre es... y hago parte del Programa EVAL de USAID que actualmente está realizando una evaluación de desempeño del Programa Oro Legal. El objetivo es analizar la manera como ha funcionado el programa, determinar sus resultados hasta ahora, y proponer recomendaciones de mejora. Para la evaluación es muy importante conocer sus opiniones y percepciones. Esta entrevista es confidencial y sus opiniones solo van a hacer usadas para la evaluación.

¿Me permite grabar la entrevista?. ¿Podemos comenzar?

## K. ANTECEDENTES

1. **¿Me podría describir en sus propias palabras qué es el Programa Oro Legal**
2. **¿Cuénteme cómo conoció el Programa Oro Legal?. ¿Cómo participa en este?**
3. **¿Son claros para la empresa, los objetivos del Programa Oro Legal?**
4. **¿Por qué se involucró en el Programa Oro Legal?**
5. **¿Qué incentivos ha tenido?** mayores ingresos, control de informalidad, capacitación, asesoría jurídica, asesoría técnica, convenio para mejorar el precio en la venta del oro producido
6. **¿Cuántas UPM están en el proceso de formalización con su empresa?**
7. **¿Acordó o firmó algún compromiso con el Programa Oro Legal?. ¿Cuál y a qué se comprometió?.**
8. **¿Qué compromisos adquirió con las UPMs que están en proceso de formalización?**

9. **¿Tiene la empresa proyectos o actividades que complementan los objetivos del Programa Oro Legal en la actividad minera?. ¿Cuáles?**

10. **¿Conoce algún proyecto de la misma índole en el área?. ¿En qué consiste?. ¿Quién lo promueve?**

## L. FORMALIZACIÓN

11. **¿Su empresa tiene claro en qué consiste el proceso de formalización?**

12. **¿A través de cuál figura jurídica se está realizando o se realizó el proceso de formalización? Cesión de área, Contrato de operación o Subcontrato de formalización**

13. **¿Por qué se escogió dicho figura?**

14. **¿Con cuántas UPMs lo están realizando o lo realizaron?**

15. **¿Recibió financiación o asesoría jurídica para la formalización? Asesoría y cofinanciación en construcción PTO, EIA (Estudio de impacto ambiental), otra?**

16. **¿Cuáles son los mayores obstáculos que se encontraron en el proceso de formalización?**

17. **¿Cuáles podrían ser las estrategias para resolver dichos obstáculos?**

18. **¿Durante el proceso de formalización, las UPMs adquieren compromisos de mejora de los procesos en la actividad minera?. Si la respuesta es sí, cómo los establecen? Documento escrito, acuerdo verbal, otro**

19. **¿Qué tipo de compromisos?. ¿Se verifica el cumplimiento de estos compromisos periódicamente?**

## M. RECOMENDACIONES

20. **¿Cuánto tiempo lleva en el proceso de formalización de las UPMs?**

21. **¿El tiempo de formalización y adecuación ha sido una barrera?. Si la respuesta es sí, explique por qué**

22. **¿Las actividades que realiza el Programa Oro Legal en el proceso de formalización completan las de las entidades públicas? ANM, CARs, Secretarías? Explíqueme por qué**

23. **¿El Programa Oro Legal cumplió con sus expectativas?**

24. **¿Qué calificación le da al Programa Oro Legal: Buena, Regular, Mala?**

**25. ¿Qué se tendría que hacer para que este programa sea sostenible?**

**26. ¿Cree que el Programa Oro Legal puede ser replicado en otras regiones del país?  
Explique su respuesta**

**27. Dada su experiencia con el Programa Oro Legal, ¿Qué recomendaría al Programa para lograr la formalización y compromiso de las UPMs con el proceso de explotación minera?**

f. Entrevista a Especialistas Técnicos Minería Oro Legal.

Programa EVAL de USAID  
**PROGRAMA ORO LEGAL**

**ENTREVISTA A ESPECIALISTAS TECNICOS MINERIA ORO LEGAL**

|                       |  |
|-----------------------|--|
| <b>Entrevistado:</b>  |  |
| <b>Entidades:</b>     |  |
| <b>Ocupación:</b>     |  |
| <b>Municipio</b>      |  |
| <b>Fecha:</b>         |  |
| <b>Entrevistador:</b> |  |

Buen día/tarde. Muchas gracias por permitirnos realizar esta entrevista. Mi nombre es... y hago parte del Programa EVAL de USAID que actualmente está realizando una evaluación de desempeño del Programa Oro Legal. El objetivo es analizar la manera como ha funcionado el programa, determinar sus resultados hasta ahora, y proponer recomendaciones de mejora. Para la evaluación es muy importante conocer sus opiniones y percepciones. Esta entrevista es confidencial y sus opiniones solo van a hacer usadas para la evaluación.

¿Me permite grabar la entrevista?. ¿Podemos comenzar?

**N. ANTECEDENTES**

- 1. ¿Fue fácil involucrar mineros en el proceso de formalización?**
- 2. ¿Cómo ha sido la receptividad del programa por parte de los beneficiarios?**
- 3. ¿Ustedes dan capacitación al personal operativo de las UPMs?. ¿En qué consiste dicha capacitación? y ¿Cuánto dura?**
- 4. ¿Ofrecen asistencia técnica permanente a cada UPM?. ¿Con qué perioricidad lo hacen?**
- 5. ¿En qué consiste esa asistencia técnica?**
- 6. ¿Además de capacitación y asistencia técnica, el programa otorga otro tipo de apoyo a las UPMs?**

**O. FORMALIZACIÓN**

7. **¿Qué problemas se han presentado para el desarrollo del proyecto y cuál ha sido la razón?**
8. **¿Qué acciones se han tomado para resolver estos problemas?. ¿Cómo se han documentado?**
9. **¿Cuánto tiempo dura el apoyo ofrecido por Ustedes a los mineros?. ¿Alcanzan a cumplir los objetivos en ese tiempo?**
10. **¿Cuál es el papel que las entidades nacionales, departamentales y locales han desempeñado? Técnicas como las UMATA y el SENA y políticas como la Alcaldía o la CAR**
11. **¿Realizan una línea base del proceso desarrollado en el beneficio de minerales por cada UPM?**
12. **¿Qué aspectos técnicos tiene esa línea base?. ¿Cantidad de mineral procesado?. ¿Cantidad de mercurio que utilizan o utilizaban las UPMs en el proceso de beneficio?. ¿Cantidad de oro obtenido?. ¿Utiliza retorta?. ¿Cuánto mercurio recuperaban y en que parte del proceso?**
13. **Teniendo en cuenta los aspectos técnicos (línea base) de cada UPM, ¿Qué plan inmediato desarrollan para mejorar los procesos?**
14. **¿Evalúan los diferentes procesos de beneficio elaborados en la UPM y de qué manera lo hacen?. ¿Proceso de conminución?. ¿Proceso de concentración?. ¿Proceso de remolienda?. ¿Proceso de lixiviación?. ¿Proceso de precipitación?. ¿Proceso de fundición?. ¿Proceso de neutralización de residuos líquidos y sólidos?**
15. **¿Realizan toma de muestras en las diferentes corrientes del proceso de beneficio de minerales de las UPMs?**
16. **¿A dichos muestreos que clase de análisis mineralógicos y metalúrgicos les realizan?**
17. **¿Realizan propuesta de mejoramiento del proceso de beneficio de minerales que sea amigable con el medio ambiente a cada UPM?. ¿Qué clase de propuestas de mejoras realizan?. ¿Evalúan las mejoras en los diferentes procesos?**
18. **¿Realizan algún seguimiento o control posterior a las UPMs?**
19. **¿La asistencia técnica capacita a las UPMs en temas ambientales?. Explique en qué.**
20. **¿Qué clase de mediciones realizan para verifican el uso de mercurio en las UPMs? ¿Toma muestras de sólidos (colas de amalgamación, líquidos del proceso)? ¿En qué laboratorio?**

## P. RECOMENDACIONES

21. **¿Para Usted cuáles son los principales problemas que tiene que superar el proyecto en los frentes de capacitación y generación de conocimiento, aspectos técnico, financiero, ambiental, y de comercialización?**

**22. ¿Cree que el Programa Oro Legal puede ser replicado en otras regiones del país?  
Explique su respuesta**

**23. ¿Qué recomendaría al Programa Oro Legal en términos generales?**

g. Entrevista a Líder UPM.

Programa EVAL de USAID  
**PROGRAMA ORO LEGAL**

**ENTREVISTA A LIDER UPM**

|                       |  |
|-----------------------|--|
| <b>Entrevistado:</b>  |  |
| <b>Entidad:</b>       |  |
| <b>Ocupación:</b>     |  |
| <b>Municipio</b>      |  |
| <b>Fecha:</b>         |  |
| <b>Entrevistador:</b> |  |

Buen día/tarde. Muchas gracias por permitirnos realizar esta entrevista. Mi nombre es... y hago parte del Programa EVAL de USAID que actualmente está realizando una evaluación de desempeño del Programa Oro Legal. El objetivo es analizar la manera como ha funcionado el programa, determinar sus resultados hasta ahora, y proponer recomendaciones de mejora. Para la evaluación es muy importante conocer sus opiniones y percepciones. Esta entrevista es confidencial y sus opiniones solo van a hacer usadas para la evaluación.

¿Me permite grabar la entrevista?. ¿Podemos comenzar?

**Q. ANTECEDENTES**

- 1. ¿Cuál es su principal actividad económica?**
- 2. ¿Cuáles eran sus actividades económicas antes de participar en el Programa Oro Legal?**
- 3. ¿Me podría describir en sus propias palabras qué es el Programa Oro Legal?**
- 4. ¿Cuénteme cómo conoció el Programa Oro Legal?. ¿Cómo participa en éste?**
- 5. ¿Son claros para las UPMs, los objetivos del Programa Oro Legal?**
- 6. ¿Por qué se involucró en el Programa Oro Legal?**
- 7. ¿Qué incentivos ha tenido? mayores ingresos, más seguridad (por ser legal), capacitación, asesoría jurídica, asesoría técnica, convenio para mejorar el precio en la venta del oro producido**
- 8. ¿A cuántos mineros representa Usted?. ¿Está asociado bajo algún mecanismo?**

9. **¿Acordó o firmó algún compromiso con el Programa Oro Legal?. ¿Cuál y a qué se comprometió?**

10. **¿Tiene la asociación proyectos o actividades que complementan los objetivos del programa Oro Legal en la actividad minera?. ¿Cuáles?**

11. **¿Ha participado en otros proyectos en el área de minería? Si la respuesta es sí, ¿Con qué organización?**

12. **¿Conoce algún otro programa de Oro en la región?**

13. **¿Conoce la Ley 1658 del mercurio? Si la respuesta es sí, ¿Cree necesario implementarla?**

14. **¿Ha utilizado mercurio en su proceso de minería?. ¿Conoce los riesgos que el mercurio produce en el ambiente, en su salud y la de su familia?. Explíqueme cuáles son y si los ha experimentado**

15.

## R. FORMALIZACIÓN

15. **¿Cuál es su percepción del proceso de reconversión con el Programa Oro Legal?**

16. **¿A través de cuál figura jurídica se está realizando o se realizó el proceso de formalización? Cesión de área, Contrato de operación o Subcontrato de formalización, Áreas de Reserva Especial**

17. **¿Por qué se escogió dicho figura?**

18. **¿Recibió financiación o asesoría jurídica para la formalización? Asesoría y cofinanciación en construcción PTO, EIA (Estudio de impacto ambiental), guías ambientales, otra?**

19. **¿Recibió capacitación técnica en procesos de explotación y beneficio? Si la respuesta es sí, ¿Qué recomienda para mejorar esa capacitación?**

20. **¿Qué clase de capacitación ha recibido?: talleres en formalización minera, talleres en beneficio de minerales (métodos de conminación y clasificación, métodos de concentración gravimétrica, métodos de lixiviación), talleres en métodos de explotación, en SST, emprendimiento, administración, entre otros?. ¿Estos talleres han sido útiles para el desarrollo de la UPM como un negocio sostenible?**

21. **¿Ha recibido asistencia técnica? Si la respuesta es sí, ¿Le ha servido? ¿Que recomendaría para mejorarla?**

22. **¿Quién le ha dado la asistencia técnica?. ¿Cada cuánto la recibe?**

23. **¿Cuáles son los mayores obstáculos para formalizarse?**

24. **¿Cuáles podrían ser las estrategias que Usted recomendaría para resolver dichos obstáculos?**

25. **¿Durante el proceso de formalización, las UPMs adquieren compromisos de mejora de los procesos en la actividad minera?. Si la respuesta es sí, ¿Cómo los establecen? Documento escrito, acuerdo verbal, otro**
26. **¿Qué tipo de compromisos?. ¿Se verifica el cumplimiento de estos compromisos periódicamente?**
27. **¿Cuánto tiempo lleva en el proceso de formalización?**
28. **¿El tiempo de formalización y adecuación han sido una barrera?. Si la respuesta es sí, explique por qué**
29. **¿Hoy en la UPM, trabaja solo o con otros trabajadores?. ¿Si tiene trabajadores, ¿Cuántos están cubiertos por la seguridad social?**
30. **¿Actualmente cuántos trabajadores de la UPM son de planta y cuántos temporales?**
31. **¿Cuántos días a la semana laboran en la UPM?. ¿Cuántos turnos laborales realizan?. ¿Cuántas horas por turno?**
32. **¿Conoce las políticas de SST?. ¿Las aplica o las está implementando?. Opcional dependiendo de la respuesta de la pregunta 11**
33. **¿Las actividades que realiza el Programa Oro Legal en el proceso de formalización completan las de las entidades públicas? ANM, CARs, Secretarías? Explíqueme por qué**
34. **¿Me podría decir cuál es el tiempo de vida útil del proyecto minero?**
35. **¿Cuál es el área del terreno y el tipo de titulación (cesión de área o área de explotación formalizada (el modelo de formalización))?**
36. **¿Cuál es la capacidad de explotación de la UPM (m<sup>3</sup> /día o Ton/día)?**
37. **¿Cuál es el promedio de mineral beneficiado al día (Kg, Ton) en la UPM?**
38. **¿Cuál es el tenor promedio (g/m<sup>3</sup> o g/Ton)?**
39. **¿Qué métodos de beneficio de minerales utilizaba anteriormente y cuáles utiliza ahora?. (Molienda, concentración, extracción del oro por amalgamación, fundición directa o lixiviación). Se verifica utilización de Hg antes y actual, puede ser realizando un diagrama de flujo del proceso de la UPM o realizando preguntas concretas como cantidad de mineral por cada coco o barril, cantidad de Hg en cada coco o barril, si es una UPM de veta). (Si la UPM es aluvión se pregunta por cribas, canalones, etc.). ¿Hg utilizado en el proceso de amalgamación?**
40. **En qué parte del proceso adicionaba el mercurio?**

41. **¿Tiene retorta? Si sí, qué cantidad de mercurio recupera en la retorta a la semana?**
42. **¿Mejóro su capacidad de producción y eficiencia (en porcentaje) con la intervención realizada por Oro Legal?**
43. **¿Tiene un plan de ampliación del proyecto minero?. Si la respuesta es si, poner en selección múltiple: tiene plan de tecnificación, de contratación de personal técnico y/o profesional? dimensionar la sostenibilidad en el tiempo**
44. **¿De dónde toma el agua para el proceso de beneficio?**
45. **Qué hace con los residuos? (disposición de residuos). Neutraliza los residuos sólidos, los líquidos, realiza disposición de lodos de amalgamación? Tiene piscina de sedimentación? Recircula el agua?**
46. **¿Cómo trata los sedimentos sólidos (Colas del Proceso)?**

## S. RECOMENDACIONES

47. **¿Cuál de las entidades cree Usted se debe hacer cargo de la formalización y asesoría minera?**
48. **¿El Programa Oro Legal cumplió con sus expectativas?**
49. **¿Qué calificación le da al Programa Oro Legal: Buena, Regular, Mala?**
50. **¿Qué se tendría que hacer para que este programa sea sostenible?**
51. **¿Cree que el Programa Oro Legal puede ser replicado en otras regiones del país? Explique su respuesta**
52. **Dada su experiencia con el Programa Oro Legal, ¿Qué recomendaría al Programa para lograr la formalización y compromiso de las UPMs con el proceso de explotación minera?**

h. Entrevista a Líder UPM No beneficiaria.

Programa EVAL de USAID  
**PROGRAMA ORO LEGAL**

**ENTREVISTA A LIDER UPM NO BENEFICIARIA**

|                       |  |
|-----------------------|--|
| <b>Entrevistado:</b>  |  |
| <b>Entidad:</b>       |  |
| <b>Ocupación:</b>     |  |
| <b>Municipio</b>      |  |
| <b>Fecha:</b>         |  |
| <b>Entrevistador:</b> |  |

Buen día/tarde. Muchas gracias por permitirnos realizar esta entrevista. Mi nombre es... y hago parte del Programa EVAL de USAID que actualmente está realizando una evaluación de desempeño del Programa Oro Legal. El objetivo es analizar la manera como ha funcionado el programa, determinar sus resultados hasta ahora, y proponer recomendaciones de mejora. Para la evaluación es muy importante conocer sus opiniones y percepciones. Esta entrevista es confidencial y sus opiniones solo van a hacer usadas para la evaluación.

¿Me permite grabar la entrevista?. ¿Podemos comenzar?

**T. ANTECEDENTES**

1. ¿Cuál es su principal actividad económica?
2. ¿Hoy en día cuál es la principal fuente de recursos en su hogar?

|   |          |
|---|----------|
| <b>Explotación de minas o canteras</b>            | <b>1</b> |
| <b>Agropecuario</b>                               | <b>2</b> |
| <b>Apicultura y miel</b>                          | <b>3</b> |
| <b>Artesanías</b>                                 | <b>4</b> |
| <b>Comercio</b>                                   | <b>5</b> |
| <b>Transporte</b>                                 | <b>6</b> |
| <b>Servicios sociales, comunales y personales</b> | <b>7</b> |
| <b>Otro. ¿Cuál?</b>                               | <b>8</b> |
| <b>Ns/Nr</b>                                      | <b>9</b> |

3. ¿Conoce el Programa Oro Legal?. ¿Qué sabe de él?
4. ¿Por qué no se involucró en el Programa Oro Legal?

5. **¿Ha participado en algún proyecto en el área de minería? Si la respuesta es sí, ¿Con qué organización?**
6. **¿Conoce algún otro programa de Oro en la región?**
7. **¿Conoce la Ley 1658 del mercurio? Si la respuesta es sí, ¿Cree necesario implementarla?**
8. **¿Ha utilizado mercurio en su proceso de minería?. ¿Conoce los riesgos que el mercurio produce en el ambiente, en su salud y la de su familia?. Explíqueme cuáles son y si los ha experimentado**

## U. FORMALIZACIÓN

9. **¿Ha pensado en formalizar su UPM?**
10. **¿Si la respuesta es sí, a través de que figura jurídica? Cesión de área, Contrato de operación o Subcontrato de formalización, Áreas de Reserva Especial ¿Alguien lo está acompañando o asesorando a hacerlo Por qué se escogió dicho figura?**
11. **¿Si la respuesta es no, por qué?**
12. **¿Ha recibido capacitación técnica en procesos de explotación y beneficio? Si la respuesta es sí, ¿quién se la ha ofreció?**
13. **¿Ha recibido asistencia técnica? Si la respuesta es sí, ¿Le ha servido? ¿Quién se la ofreció?**
14. **¿Hoy en la UPM, trabaja solo o con otros trabajadores?. ¿Si tiene trabajadores, ¿Cuántos están cubiertos por la seguridad social?**
15. **¿Actualmente cuántos trabajadores de la UPM son de planta y cuántos temporales?**
16. **¿Cuántos días a la semana laboran en la UPM?. ¿Cuántos turnos laborales realizan?. ¿Cuántas horas por turno?**
17. **¿Me podría decir cuál es el tiempo de vida útil del proyecto minero?**
18. **¿Qué métodos de beneficio de minerales utilizaba anteriormente y cuáles utiliza ahora?. (Molienda, concentración, extracción del oro por amalgamación, fundición directa o lixiviación). Se verifica utilización de Hg antes y actual, puede ser realizando un diagrama de flujo del proceso de la UPM o realizando preguntas concretas como cantidad de mineral por cada coco o barril, cantidad de Hg en cada coco o barril, si es una UPM de veta). (Si la UPM es aluvión se pregunta por cribas, canalones, etc.). ¿Hg utilizado en el proceso de amalgamación?**
19. **En qué parte del proceso adicionaba el mercurio?**
20. **¿Tiene retorta? Si sí, qué cantidad de mercurio recupera en la retorta a la semana?**

21. **¿Mejóro su capacidad de producción y eficiencia (en porcentaje) con la intervención realizada por Oro Legal?**
22. **¿Tiene un plan de ampliación del proyecto minero?. Si la respuesta es si, poner en selección múltiple: tiene plan de tecnificación, de contratación de personal técnico y/o profesional? dimensionar la sostenibilidad en el tiempo**
23. **¿De dónde toma el agua para el proceso de beneficio?**
24. **¿Qué hace con los residuos? (disposición de residuos). Neutraliza los residuos sólidos, los líquidos, realiza disposición de lodos de amalgacion? Tiene piscina de sedimentación? Recircula el agua?**
25. **¿Cómo trata los sedimentos sólidos (Colas del Proceso)?**

i. Formulario Cuantitativo Cadenas.

|  |   |  |
|--|---|--|
| Evaluación de Desempeño Actividad Oro Legal    | <br>Centro Nacional de Consultoría Ltda.<br>Calle 82 No. 6- 51<br>Teléfono: 339 4888 | Familias beneficiarias de actividades del programa (Cadenas) |
| Centro de Costos: 7546-01                      | Fecha: 10 mayo de 2018  | Se requirió Prueba Piloto: Sí__<br>NO__                      |
| Elaborado por:<br>Juan Camilo Cristancho - CNC | Revisado por:<br>Maria Isabel Agudelo- EVAL<br>Daniel Nowicki – EVAL  | Revisado en Campo por:                                       |

**PRESENTACIÓN AL ENCUESTADO**

- **Saludo a la persona seleccionada.** Buenos días, tardes, mi nombre es (*nombre y apellido*), y pertenezco al Centro Nacional de Consultoría. Actualmente nos encontramos desarrollando un estudio sobre el proyecto Oro Legal y su información como beneficiario sería valiosa para los propósitos de la investigación. Su participación es voluntaria y su identidad, así como las respuestas suministradas serán de carácter confidencial y los datos se utilizarán únicamente para fines estadísticos. El beneficio de su participación es hacer valer en el estudio la opinión de personas que piensan como usted.
- El Centro Nacional de Consultoría pide su autorización para recolectar y compartir sus datos personales con fines de contacto para la aplicación de encuestas. Esta solicitud se hace de conformidad con la Ley 1581 de 2012. Nuestra Política de Tratamiento de Datos Personales puede encontrarla en la página [www.centronacionaldeconsultoria.com](http://www.centronacionaldeconsultoria.com) y cualquier consulta puede dirigirla al correo electrónico [cnc@cnccl.com](mailto:cnc@cnccl.com) o comunicarse con el Tel: 3394888 de Bogotá.

Con estas precisiones, le pido su autorización para tomar sus datos y hacer la encuesta, que nos tomará aproximadamente \_\_\_\_\_ minutos.  
 Autoriza: Sí \_\_\_\_\_ No \_\_\_\_\_

Iniciación Hora /\_\_\_/\_\_\_/ minutos /\_\_\_/\_\_\_/

**I. IDENTIFICACIÓN**

**101.** Municipio de residencia:

| Habitante municipio de tratamiento |    |
|------------------------------------|----|
| Barbosa                            | 01 |
| Buriticá                           | 02 |

|                     |    |
|---------------------|----|
| Don Matías          | 03 |
| Remedios            | 04 |
| San Roque           | 05 |
| Segovia             | 06 |
| Cáceres             | 07 |
| Caucasia            | 08 |
| El Bagre            | 09 |
| Nechí               | 10 |
| Tarazá              | 11 |
| Zaragoza            | 12 |
| Atrato (Yuto)       | 13 |
| Cértégui            | 14 |
| Condoto             | 15 |
| El Cantón San Pablo | 16 |
| Istmina             | 17 |
| Nóvita              | 18 |
| Quibdó              | 19 |
| Rio Quito           | 20 |
| Tadó                | 21 |
| Unión Panamericana  | 22 |
| Otro. ¿Cuál?        | 77 |

**102.** Nombre:

**103.** Sexo: Hombre 1 // Mujer 2

**104.** Edad \_\_\_\_\_

**105.** Vive en la cabecera municipal: SI 1 // NO 2

|   |                      |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
|---|----------------------|----------------------|-------------------------------------|-------------------------------------|--|-------|---|---|---------------------------------------|---------------------------------------|---|---|-----------------------|--------------------|---------------------------------|-----|-------------------------|-----|--|---------|------------------------------------|----|--------------------------|--|---------|----|--------------|--|--|--------|---|----------------------|---|---------|---|--------|---|----------|---|--------------|----|
| <p><b>106.</b> ¿Cuál es su estado civil? (R.U.)</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td>Soltero(a)</td><td>01</td></tr> <tr><td>Casado(a)</td><td>02</td></tr> <tr><td>En unión libre</td><td>03</td></tr> <tr><td>Divorciado(a)</td><td>04</td></tr> <tr><td>Viudo(a)</td><td>05</td></tr> </table>   | Soltero(a)           | 01                   | Casado(a)                           | 02                                  | En unión libre   | 03    | Divorciado(a)                           | 04                                      | Viudo(a)                              | 05                                    | <p><b>107.</b> ¿Tiene hijos? (R.U.)</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td>Sí</td> <td>1</td> <td>b. ¿Cuántos? _____</td> </tr> <tr> <td>No</td> <td>2</td> <td></td> </tr> </table> <p><b>108.</b> ¿Actualmente cuántas personas hacen parte de este hogar, incluyéndose usted?<br/> <input type="text"/> <input type="text"/> <input type="text"/></p> | Sí                                      | 1                     | b. ¿Cuántos? _____ | No                              | 2   |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Soltero(a)  | 01                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Casado(a)   | 02                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| En unión libre  | 03                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Divorciado(a)   | 04                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Viudo(a)  | 05                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Sí  | 1                    | b. ¿Cuántos? _____   |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| No  | 2                    |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| <p><b>109.</b> ¿Alguien en su hogar ha sido beneficiario de alguno(s) de los siguientes programas o ayudas? (R.M.) LEER respuestas)</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td>Familias en Acción</td><td>01</td></tr> <tr><td>Programas para el adulto mayor</td><td>02</td></tr> <tr><td>Programas de formación para el trabajo</td><td>03</td></tr> <tr><td>Jóvenes en Acción</td><td>04</td></tr> <tr><td>Red Juntos/Unidos</td><td>05</td></tr> <tr><td>Programas del ICBF</td><td>06</td></tr> <tr><td>Subsidio al desempleo</td><td>07</td></tr> <tr><td>Ayudas para desastres naturales</td><td>08</td></tr> <tr><td>Ayudas para desplazados</td><td>09</td></tr> <tr><td>Programa Nacional Integral de Sustitución de cultivos PNIS</td><td>10</td></tr> <tr><td>Programa de restitución de tierras</td><td>11</td></tr> <tr><td>Antioquia Libre de Minas</td><td></td></tr> <tr><td>Ninguno</td><td>99</td></tr> <tr><td>Otro, ¿Cuál?</td><td></td></tr> </table> | Familias en Acción   | 01                   | Programas para el adulto mayor      | 02                                  | Programas de formación para el trabajo   | 03    | Jóvenes en Acción                       | 04                                      | Red Juntos/Unidos                     | 05                                    | Programas del ICBF  | 06                                      | Subsidio al desempleo | 07                 | Ayudas para desastres naturales | 08  | Ayudas para desplazados | 09  | Programa Nacional Integral de Sustitución de cultivos PNIS | 10      | Programa de restitución de tierras | 11 | Antioquia Libre de Minas |  | Ninguno | 99 | Otro, ¿Cuál? |  | <p><b>110.</b> ¿A cuál grupo étnico pertenece o se auto-reconoce? (R.U.)</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td>Blanco</td><td>1</td></tr> <tr><td>Negro/Afrocolombiano</td><td>2</td></tr> <tr><td>Mestizo</td><td>3</td></tr> <tr><td>Mulato</td><td>4</td></tr> <tr><td>Indígena</td><td>5</td></tr> <tr><td>Otro, ¿Cuál?</td><td>77</td></tr> </table> | Blanco | 1 | Negro/Afrocolombiano | 2 | Mestizo | 3 | Mulato | 4 | Indígena | 5 | Otro, ¿Cuál? | 77 |
| Familias en Acción  | 01                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Programas para el adulto mayor  | 02                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Programas de formación para el trabajo  | 03                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Jóvenes en Acción   | 04                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Red Juntos/Unidos   | 05                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Programas del ICBF  | 06                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Subsidio al desempleo   | 07                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Ayudas para desastres naturales   | 08                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Ayudas para desplazados   | 09                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Programa Nacional Integral de Sustitución de cultivos PNIS  | 10                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Programa de restitución de tierras  | 11                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Antioquia Libre de Minas  |                      |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Ninguno   | 99                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Otro, ¿Cuál?  |                      |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Blanco  | 1                    |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Negro/Afrocolombiano  | 2                    |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Mestizo   | 3                    |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Mulato  | 4                    |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Indígena  | 5                    |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Otro, ¿Cuál?  | 77                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| <p><b>1.</b> ¿Sabe leer y escribir?</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td>Sí</td><td>01</td></tr> <tr><td>No</td><td>02</td></tr> </table>   | Sí                   | 01                   | No                                  | 02                                  | <p><b>2.</b> ¿Es usted el/la jefe del hogar?</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td>Sí</td><td>01</td></tr> <tr><td>No</td><td>02</td></tr> </table> | Sí    | 01                                      | No                                      | 02                                    |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Sí  | 01                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| No  | 02                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Sí  | 01                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| No  | 02                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| <p><b>113.</b> ¿Cuál es el nivel educativo más alto aprobado por usted? (E: El último año o grado aprobado.)</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td>Ninguno o preescolar</td><td>01</td></tr> <tr><td>Básica primaria o básica secundaria</td><td>02</td></tr> <tr><td>Media</td><td>03</td></tr> <tr><td>No hay jefa del hogar o esposa del jefe</td><td>04</td></tr> <tr><td>Superior o universitario (1 a 4 años)</td><td>05</td></tr> <tr><td>Superior o universitario (5 años o más)</td><td>06</td></tr> </table>   |                      | Ninguno o preescolar | 01                                  | Básica primaria o básica secundaria | 02   | Media | 03                                      | No hay jefa del hogar o esposa del jefe | 04                                    | Superior o universitario (1 a 4 años) | 05  | Superior o universitario (5 años o más) | 06                    |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Ninguno o preescolar  | 01                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Básica primaria o básica secundaria   | 02                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Media   | 03                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| No hay jefa del hogar o esposa del jefe   | 04                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Superior o universitario (1 a 4 años)   | 05                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Superior o universitario (5 años o más)   | 06                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| <p><b>114.</b> ¿Cuál es el nivel educativo más alto alcanzado por la jefa del hogar o esposa del jefe? (E: Si el respondiente es la jefa del hogar o esposa del jefe del hogar, pase a 115)</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td>Ninguno o preescolar</td><td>01</td></tr> <tr><td>Básica primaria o básica secundaria</td><td>02</td></tr> <tr><td>Media</td><td>03</td></tr> <tr><td>No hay jefa del hogar o esposa del jefe</td><td>04</td></tr> <tr><td>Superior o universitario (1 a 4 años)</td><td>05</td></tr> </table>   | Ninguno o preescolar | 01                   | Básica primaria o básica secundaria | 02                                  | Media  | 03    | No hay jefa del hogar o esposa del jefe | 04                                      | Superior o universitario (1 a 4 años) | 05                                    | <p><b>115.</b> ¿Cuántos miembros de su hogar tienen 18 años o menos?</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td>Cuatro o más</td><td>01</td></tr> <tr><td>Tres</td><td>02</td></tr> <tr><td>Dos</td><td>03</td></tr> <tr><td>Uno</td><td>04</td></tr> <tr><td>Ninguno</td><td>05</td></tr> </table>   | Cuatro o más                            | 01                    | Tres               | 02                              | Dos | 03                      | Uno | 04   | Ninguno | 05                                 |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Ninguno o preescolar  | 01                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Básica primaria o básica secundaria   | 02                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Media   | 03                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| No hay jefa del hogar o esposa del jefe   | 04                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Superior o universitario (1 a 4 años)   | 05                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Cuatro o más  | 01                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Tres  | 02                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Dos   | 03                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Uno   | 04                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |
| Ninguno   | 05                   |                      |                                     |                                     |  |       |   |   |                                       |                                       |   |   |                       |                    |                                 |     |                         |     |  |         |                                    |    |                          |  |         |    |              |  |  |        |   |                      |   |         |   |        |   |          |   |              |    |

|   |  |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
|---|--|----|----------------------|----|--|---------|--|--|-------|----------------------------------|--|--|----|-------------------------|----|--|---|--|---|-------|---|
| Superior o universitario (5 años o más)   | 06   |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| <b>116.</b> ¿Cuántos miembros del hogar se ocuparon la mayor parte del tiempo de la semana pasada trabajando?<br><table border="1" data-bbox="250 289 630 384"> <tr><td>Ninguno</td><td>01</td></tr> <tr><td>Uno</td><td>02</td></tr> <tr><td>Dos o más</td><td>03</td></tr> </table>   | Ninguno  | 01 | Uno                  | 02 | Dos o más  | 03      | <b>117.</b> ¿Cuántos miembros del hogar, en su empleo principal, trabajan como obreros o empleados de empresas particulares o del gobierno?<br><table border="1" data-bbox="997 300 1370 394"> <tr><td>Ninguno</td><td>01</td></tr> <tr><td>Uno</td><td>02</td></tr> <tr><td>Dos o más</td><td>03</td></tr> </table>   | Ninguno  | 01    | Uno                              | 02   | Dos o más  | 03 |                         |    |  |   |  |   |       |   |
| Ninguno   | 01   |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| Uno   | 02   |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| Dos o más   | 03   |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| Ninguno   | 01   |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| Uno   | 02   |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| Dos o más   | 03   |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| <b>118.</b> ¿De qué estrato de tarifa del servicio de energía eléctrica es la vivienda?<br><table border="1" data-bbox="82 457 781 583"> <tr><td>Tres</td><td>01</td></tr> <tr><td>Cuatro, cinco o seis</td><td>02</td></tr> <tr><td>Sin estrato (sin conexión, con conexión pirata o con planta eléctrica), <b>uno o dos</b></td><td>03</td></tr> </table> | Tres   | 01 | Cuatro, cinco o seis | 02 | Sin estrato (sin conexión, con conexión pirata o con planta eléctrica), <b>uno o dos</b>   | 03      | <b>119.</b> ¿Con qué energía o combustible cocina principalmente en este hogar? ( <b>E:</b> leer opciones)<br><table border="1" data-bbox="824 457 1539 674"> <tr><td>Leña, madera, carbón de leña, carbón mineral, electricidad, petróleo, gasolina, kerosene, alcohol o materiales de deshecho</td><td>01</td></tr> <tr><td>Gas propano en cilindro o pipeta</td><td>02</td></tr> <tr><td>Gas natural conectado a red pública</td><td>03</td></tr> <tr><td>No preparan alimentos</td><td>04</td></tr> </table> | Leña, madera, carbón de leña, carbón mineral, electricidad, petróleo, gasolina, kerosene, alcohol o materiales de deshecho | 01    | Gas propano en cilindro o pipeta | 02   | Gas natural conectado a red pública                    | 03 | No preparan alimentos   | 04 |  |   |  |   |       |   |
| Tres  | 01   |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| Cuatro, cinco o seis  | 02   |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| Sin estrato (sin conexión, con conexión pirata o con planta eléctrica), <b>uno o dos</b>  | 03   |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| Leña, madera, carbón de leña, carbón mineral, electricidad, petróleo, gasolina, kerosene, alcohol o materiales de deshecho  | 01   |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| Gas propano en cilindro o pipeta  | 02   |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| Gas natural conectado a red pública   | 03   |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| No preparan alimentos   | 04   |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| <b>120.</b> ¿Posee este hogar máquina lavadora de ropa en uso?<br><table border="1" data-bbox="82 737 310 810"> <tr><td>Sí</td><td>01</td></tr> <tr><td>No</td><td>02</td></tr> </table>  | Sí   | 01 | No                   | 02 | <b>121.</b> ¿Posee este hogar nevera o refrigerador en uso?<br><table border="1" data-bbox="824 705 1052 779"> <tr><td>Sí</td><td>01</td></tr> <tr><td>No</td><td>02</td></tr> </table>  | Sí      | 01   | No   | 02    |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| Sí  | 01   |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| No  | 02   |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| Sí  | 01   |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| No  | 02   |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| <b>122.</b> ¿Posee este hogar DVD en uso?<br><table border="1" data-bbox="82 978 310 1052"> <tr><td>Sí</td><td>01</td></tr> <tr><td>No</td><td>02</td></tr> </table>  | Sí   | 01 | No                   | 02 | <b>123.</b> ¿Posee este hogar motocicleta o carro particular en uso?<br><table border="1" data-bbox="824 1010 1430 1115"> <tr><td>Ninguno</td><td>01</td></tr> <tr><td>Solo motocicleta</td><td>02</td></tr> <tr><td>Carro (con o sin motocicleta)</td><td>03</td></tr> </table> | Ninguno | 01   | Solo motocicleta   | 02    | Carro (con o sin motocicleta)    | 03   |  |    |                         |    |  |   |  |   |       |   |
| Sí  | 01   |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| No  | 02   |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| Ninguno   | 01   |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| Solo motocicleta  | 02   |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| Carro (con o sin motocicleta)   | 03   |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| <b>124.</b> ¿Cuántas personas del hogar tienen entre 12 y 18 años?<br><br><p style="text-align: center;"> _ _  Si la respuesta es 0 Pase a 127</p>  | <b>125.</b> ¿Cuántas personas del hogar de 12 a 18 años están asistiendo a un establecimiento escolar?<br><br><p style="text-align: center;"> _ _  Si la respuesta es 0 Pase a 127</p> |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| <b>126.</b> ¿Cómo califica la calidad del servicio educativo que reciben?<br><table border="1" data-bbox="237 1360 639 1524"> <tr><td>Muy mala</td><td>1</td></tr> <tr><td>Mala</td><td>2</td></tr> <tr><td>Buena</td><td>3</td></tr> <tr><td>Muy buena</td><td>4</td></tr> <tr><td>NS/NR</td><td>9</td></tr> </table>                                      | Muy mala   | 1  | Mala                 | 2  | Buena  | 3       | Muy buena  | 4  | NS/NR | 9                                | <b>127.</b> Actualmente, ¿Cuántas personas del hogar están inscritas en el sistema de salud?<br><br><p style="text-align: center;"> _ _  Si la respuesta es 0 Pase a 129</p>   |  |    |                         |    |  |   |  |   |       |   |
| Muy mala  | 1  |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| Mala  | 2  |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| Buena   | 3  |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| Muy buena   | 4  |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| NS/NR   | 9  |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| <b>128.</b> ¿Cómo califica la calidad del servicio de salud al que tienen acceso estas personas inscritas?<br><table border="1" data-bbox="237 1598 639 1761"> <tr><td>Muy mala</td><td>1</td></tr> <tr><td>Mala</td><td>2</td></tr> <tr><td>Buena</td><td>3</td></tr> <tr><td>Muy buena</td><td>4</td></tr> <tr><td>NS/NR</td><td>9</td></tr> </table>     | Muy mala   | 1  | Mala                 | 2  | Buena  | 3       | Muy buena  | 4  | NS/NR | 9                                | <b>129.</b> ¿De dónde viene o donde toman principalmente el agua para preparar los alimentos? (R.U.) LEER respuestas)<br><table border="1" data-bbox="899 1633 1463 1919"> <tr><td>Rio, quebrada, manantial, nacimiento, agua embotellada</td><td>1</td></tr> <tr><td>De pozo, lluvia, aljibe</td><td>2</td></tr> <tr><td>De pila pública, carrotanque, aguatero</td><td>3</td></tr> <tr><td>Acueducto por tubería, otra fuente por tubería</td><td>4</td></tr> <tr><td>Ns/Nr</td><td>9</td></tr> </table> | Rio, quebrada, manantial, nacimiento, agua embotellada | 1  | De pozo, lluvia, aljibe | 2  | De pila pública, carrotanque, aguatero | 3 | Acueducto por tubería, otra fuente por tubería | 4 | Ns/Nr | 9 |
| Muy mala  | 1  |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| Mala  | 2  |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| Buena   | 3  |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| Muy buena   | 4  |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| NS/NR   | 9  |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| Rio, quebrada, manantial, nacimiento, agua embotellada  | 1  |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| De pozo, lluvia, aljibe   | 2  |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| De pila pública, carrotanque, aguatero  | 3  |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| Acueducto por tubería, otra fuente por tubería  | 4  |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |
| Ns/Nr   | 9  |    |                      |    |  |         |  |  |       |                                  |  |  |    |                         |    |  |   |  |   |       |   |

**130.** ¿Cuánto tiempo le toma desplazarse para conseguir el agua que usa principalmente para preparar alimentos?

|                       |   |
|-----------------------|---|
| Menos de 5 minutos    | 1 |
| Entre 5 y 20 minutos  | 2 |
| Entre 21 y 40 minutos | 3 |
| Entre 41 y 60 minutos | 4 |
| Entre 1 y 2 horas     | 5 |
| Más de 2 horas        | 6 |
| Ns/Nr                 | 9 |

**131.** ¿Cómo calificaría la calidad del agua que usan principalmente para preparar los alimentos?

|           |   |
|-----------|---|
| Muy mala  | 1 |
| Mala      | 2 |
| Buena     | 3 |
| Muy buena | 4 |
| NS/NR     | 9 |

**132.** ¿En cuál de los siguientes rangos se encuentran los ingresos familiares mensuales de este hogar, incluyendo las remesas del exterior y el ingreso de todos los adultos e hijos que trabajan? (**E: si no entiende la pregunta aclare leyendo:** “¿Cuánto dinero entra en total a su hogar cada mes, en pesos?”)

|                             |    |
|-----------------------------|----|
| Ningún ingreso              | 01 |
| Menos de 140.000            | 02 |
| Entre 140.001 y 300.000     | 03 |
| Entre 300.001 y 500.000     | 04 |
| Entre 500.001 y 700.000     | 05 |
| Entre 700.001 y 1'000.000   | 06 |
| Entre 1'000.001 y 1'500.000 | 07 |
| Entre 1'500.001 y 2'000.000 | 08 |
| Más de 2'000.000            | 09 |
| NS/NR                       | 10 |

**133.** ¿En cuál de los siguientes rangos se encuentran los gastos familiares mensuales de este hogar?

|                             |    |
|-----------------------------|----|
| Ningún gasto                | 01 |
| Menos de 140.000            | 02 |
| Entre 140.001 y 300.000     | 03 |
| Entre 300.001 y 500.000     | 04 |
| Entre 500.001 y 700.000     | 05 |
| Entre 700.001 y 1'000.000   | 06 |
| Entre 1'000.001 y 1'500.000 | 07 |
| Entre 1'500.001 y 2'000.000 | 08 |
| Más de 2'000.000            | 09 |
| NS/NR                       | 10 |

**134.** En una escala de 1 a 5 dónde 1 es completamente en desacuerdo y 5 completamente de acuerdo, qué tan de acuerdo está con cada una de las siguientes afirmaciones.

|   | Completamente en desacuerdo | Desacuerdo | Ni de acuerdo ni en desacuerdo | De acuerdo | Completamente de acuerdo | NS/NR |
|---|-----------------------------|------------|--------------------------------|------------|--------------------------|-------|
| a. La coca (amapola, marihuana) debería ser sustituida porque es ilegal.  | 1                           | 2          | 3                              | 4          | 5                        | 9     |
| b. La producción de coca (amapola, marihuana) es mala para las familias cultivadoras y la comunidad.                                | 1                           | 2          | 3                              | 4          | 5                        | 9     |
| c. Cultivos lícitos pueden reemplazar los ingresos de cultivos de coca y garantizar la subsistencia de las familias que la cultiva. | 1                           | 2          | 3                              | 4          | 5                        | 9     |
| d. Mi familia y amigos piensan que cultivar coca es malo.   | 1                           | 2          | 3                              | 4          | 5                        | 9     |

## II. PROGRAMA ORO LEGAL

**E leer: A continuación, voy a hacerle unas preguntas sobre el programa Oro Legal del cual usted o su familia es beneficiario. El Programa Oro Legal busca formalizar la actividad minera y ayudar al cuidado del medio ambiente.**

**201.** ¿Cómo se enteró por primera vez del programa de Oro Legal?

|   |   |
|---|---|
| A través de una Unidad de producción Minera         | 1 |
| Por una asociación a la que pertenece               | 2 |
| Por líderes de su comunidad                         | 3 |
| A través de la alcaldía                             | 4 |
| A través de los funcionarios del programa Oro Legal | 5 |
| Por un miembro de familia o amigo                   | 6 |
| Otro ¿Cuál?   | 7 |
| Ns/Nr   | 9 |

**202.** ¿Cuántos miembros del hogar son beneficiarios del programa de Oro Legal? (E: esto significa que trabajan en actividades apoyadas por el programa Oro Legal)

\_|\_|\_|

**(E: verificar que este número sea menor o igual a la respuesta 108)**

**203.** ¿Es usted miembro de alguna asociación? (R.M)

|   |       |                         |
|---|-------|-------------------------|
| 1 | Sí→   | 1 Minería               |
|   |       | 2 Productores           |
|   |       | 3 Comunitaria           |
|   |       | 4 Cabildo indígena      |
|   |       | 5 Asociación de mujeres |
|   |       | 6 Deportiva             |
|   |       | 7 Cultural              |
|   |       | 8 Víctimas              |
| 9 | Ns/Nr | 77 Otra. ¿Cuál?         |
|   |       |                         |

**204.** Antes de que perteneciera al programa Oro Legal, ¿Cuáles de las siguientes actividades representaban una fuente de ingresos en su hogar? (R.M)

|                                       |    |
|---------------------------------------|----|
| Explotación de minas o canteras       | 01 |
| Agropecuario                          | 02 |
| Apicultura y miel                     | 03 |
| Siembra y comercialización de Achiote | 04 |
| Siembra y comercialización Acacia     | 05 |

**205.** Hoy en día, ¿Cuáles de las siguientes actividades representan una fuente de ingresos en su hogar? (R.M)

|                                       |    |
|---------------------------------------|----|
| Explotación de minas o canteras       | 01 |
| Agropecuario                          | 02 |
| Apicultura y miel                     | 03 |
| Siembra y comercialización de Achiote | 04 |
| Siembra y comercialización Acacia     | 05 |

|  |    |  |    |
|--|----|--|----|
| Artesanías                                 | 06 | Artesanías                                 | 06 |
| Comercio                                   | 07 | Comercio                                   | 07 |
| Transporte                                 | 08 | Transporte                                 | 08 |
| Servicios sociales, comunales y personales | 09 | Servicios sociales, comunales y personales | 09 |
| Otro. ¿Cuál?                               | 77 | Otro. ¿Cuál?                               | 77 |
| Ns/Nr                                      | 99 | Ns/Nr                                      | 99 |

**III. APICULTURA Y MIEL**

**301. ¿Usted y su familia participan en la actividad de apicultura del programa Oro Legal?** El Proyecto productivo Apícola busca implementar una alternativa de desarrollo productivo que permita generar ingresos y ayude al cuidado del medio ambiente.

|   |       |                   |
|---|-------|-------------------|
| 1 | Sí    | Continúe          |
| 2 | No    | Pase a <b>401</b> |
| 9 | Ns/Nr | Pase a <b>401</b> |

**302. ¿Hace cuánto tiempo es beneficiario o participante de la actividad de apicultura del programa Oro Legal?**

Número de meses \_\_\_\_\_

**303. ¿Cuáles fueron sus 2 principales motivaciones para participar en la actividad de apicultura del programa Oro Legal? (R.U.)**

|  | 1º Mención | 2º Mención |
|--|------------|------------|
| Poder comercializar más fácilmente el producido    | 1          | 1          |
| Mejorar ingresos                                   | 2          | 2          |
| Proteger el medio ambiente                         | 3          | 3          |
| Mejorar condiciones de salud suyas y de su familia | 4          | 4          |
| Evitar problemas con las autoridades               | 5          | 5          |
| Participar en una actividad menos riesgosa         | 6          | 6          |

|  |              |   |   |
|--|--------------|---|---|
|  | Otro, ¿Cuál? | 7 | 7 |
|  | Ns/Nr        | 9 | 9 |

**304.** Desde su participación en el programa ¿Usted o su familia ha recibido algún ingreso de la actividad de apicultura?

|       |   |                   |
|-------|---|-------------------|
| Sí    | 1 | <b>Continúe</b>   |
| No    | 2 | <b>Pase a 311</b> |
| Ns/Nr | 9 | <b>Pase a 311</b> |

**305.** ¿Con qué frecuencia se reciben ingresos por el desarrollo de la actividad de apicultura dentro del programa de Oro Legal?

|            |   |
|------------|---|
| Diario     | 1 |
| Semanal    | 2 |
| Quincenal  | 3 |
| Mensual    | 4 |
| Bimensual  | 5 |
| Trimestral | 6 |
| Semestral  | 7 |
| Anual      | 8 |
| Ns/Nr      | 9 |

**306.** ¿Cómo califica en una escala de 1 a 5 siendo 1 Muy insatisfecho y 5 Muy satisfecho la frecuencia con la que recibe ingresos por la actividad de apicultura dentro del programa de Oro Legal?

|   |
|---|
| . |
|---|

**307.** ¿Qué medios de transporte usa la mayoría de las veces para transportar su producto de la actividad de apicultura para comercializarlo? **Enc: Si requiere más de un medio de transporte indicar los que apliquen**

|                 |    |
|-----------------|----|
| Caballo o mula  | 1  |
| Lancha o canoa  | 2  |
| Carro           | 3  |
| Moto            | 5  |
| Camión          | 6  |
| Caminando       | 7  |
| Otro cual _____ | 77 |

**308.** ¿Cuánto le cuesta habitualmente el transportar 1 litro de su producto de la actividad de apicultura para comercializarlo? **Enc: Si son varios transportes los que toma, indicar la suma total de los valores.**

Valor en números \_\_\_\_\_

Valor en letras \_\_\_\_\_

\_\_\_\_\_

**309.** ¿Cuánto tiempo le toma, en promedio, transportar su producto de la actividad de apicultura para comercializarlo?

|                       |   |
|-----------------------|---|
| Menos de 15 minutos   | 1 |
| Entre 16 y 30 minutos | 2 |
| Entre 31 y 45 minutos | 3 |
| Entre 46 y 60 minutos | 4 |
| Entre 1 y 2 horas     | 5 |
| Entre 2 y 3 horas     | 6 |
| Entre 3 y 4 horas     | 7 |
| Más de 4 horas        | 8 |

**310.** De su producción de miel, ¿Cuánto dedica a acopio de una asociación y cuánto destina a comercialización por cuenta propia?

|                     | Nada | Menos de la mitad | La mitad | Más de la mitad | Todo |
|---------------------|------|-------------------|----------|-----------------|------|
| a. Acopio           | 1    | 2                 | 3        | 4               | 5    |
| b. Comercialización | 1    | 2                 | 3        | 4               | 5    |

**311.** ¿La principal actividad económica suya o de su familia estaba relacionada con apicultura o producción y comercialización de miel antes de la llegada del programa Oro Legal?

|       |   |
|-------|---|
| Sí    | 1 |
| No    | 2 |
| Ns/Nr | 9 |

**312.** ¿Tuvo que firmar un compromiso para participar en la actividad de apicultura del programa Oro Legal? (R.M.)

|       |   |
|-------|---|
| Sí    | 1 |
| No    | 2 |
| Ns/Nr | 9 |

**313.** ¿Qué compromisos adquirió usted y su familia con el programa de Oro Legal al incorporarse a la actividad de apicultura? (R.M.)

|                                       |    |
|---------------------------------------|----|
| Aportar mano de obra                  | 01 |
| Aportar dinero                        | 02 |
| Aportar tierra                        | 03 |
| Aportar materiales                    | 04 |
| Capacitarse                           | 05 |
| Seguir recomendaciones de asesores    | 06 |
| Dar al programa información verdadera | 07 |
| Nada                                  | 08 |

|              |    |
|--------------|----|
| Otro, ¿Cuál? | 77 |
| Ns/Nr        | 99 |

**314.** ¿Qué forma de tenencia tiene el lote que ocupa la actividad de apicultura del programa Oro Legal? (Desagregue el área de esos lotes o predios según la forma de tenencia) (R.M) (E: lea cada ítem y espere respuesta para cada uno, llenando inmediatamente el área y la unidad de medida)

| Forma de tenencia            | Área  | Unidad de Medida: 1. Hectárea 2. M <sup>2</sup><br>3. Fanegada 4. Otro      |   |   |   |   |
|------------------------------|-------|---|---|---|---|---|
| 1. Propia sin título         | ----- | <table border="1"><tr><td>1</td><td>2</td><td>3</td><td>4</td></tr></table> | 1 | 2 | 3 | 4 |
| 1                            | 2     | 3   | 4 |   |   |   |
| 2. Propia con título         | ----- | <table border="1"><tr><td>1</td><td>2</td><td>3</td><td>4</td></tr></table> | 1 | 2 | 3 | 4 |
| 1                            | 2     | 3   | 4 |   |   |   |
| 3. en Arriendo o subarriendo | ----- | <table border="1"><tr><td>1</td><td>2</td><td>3</td><td>4</td></tr></table> | 1 | 2 | 3 | 4 |
| 1                            | 2     | 3   | 4 |   |   |   |
| 4. Aparcería                 | ----- | <table border="1"><tr><td>1</td><td>2</td><td>3</td><td>4</td></tr></table> | 1 | 2 | 3 | 4 |
| 1                            | 2     | 3   | 4 |   |   |   |
| 5. En usufructo              | ----- | <table border="1"><tr><td>1</td><td>2</td><td>3</td><td>4</td></tr></table> | 1 | 2 | 3 | 4 |
| 1                            | 2     | 3   | 4 |   |   |   |
| 6. En concesión              | ----- | <table border="1"><tr><td>1</td><td>2</td><td>3</td><td>4</td></tr></table> | 1 | 2 | 3 | 4 |
| 1                            | 2     | 3   | 4 |   |   |   |
| 7. En sucesión con título    | ----- | <table border="1"><tr><td>1</td><td>2</td><td>3</td><td>4</td></tr></table> | 1 | 2 | 3 | 4 |
| 1                            | 2     | 3   | 4 |   |   |   |
| 8. En sucesión sin título    | ----- | <table border="1"><tr><td>1</td><td>2</td><td>3</td><td>4</td></tr></table> | 1 | 2 | 3 | 4 |
| 1                            | 2     | 3   | 4 |   |   |   |
| 9. Propiedad colectiva       | ----- | <table border="1"><tr><td>1</td><td>2</td><td>3</td><td>4</td></tr></table> | 1 | 2 | 3 | 4 |
| 1                            | 2     | 3   | 4 |   |   |   |

**315.** ¿Qué aporta el programa Oro Legal a la actividad de apicultura en el convenio firmado con usted y su familia? y ¿Cómo califica en una escala de 1 a 5 siendo 1 Muy insatisfecho y 5 Muy satisfecho cada uno de estos aportes? (R.M.)

|   | No ↓ | Si → | Muy insatisfecho | Insatisfecho | Ni satisfecho ni Insatisfecho | Satisfecho | Muy satisfecho |
|---|------|------|------------------|--------------|-------------------------------|------------|----------------|
| a. Asesoría legal   | 2↓   | 1→   | 1                | 2            | 3                             | 4          | 5              |
| b. Asistencia técnica ambiental                                 | 2↓   | 1→   | 1                | 2            | 3                             | 4          | 5              |
| c. Asesoría técnica en temas de abejas                          | 2↓   | 1→   | 1                | 2            | 3                             | 4          | 5              |
| d. Asesoría técnica en comercialización de miel y subproductos  | 2↓   | 1→   | 1                | 2            | 3                             | 4          | 5              |
| e. Asistencia técnica en manipulación de equipos y herramientas | 2↓   | 1→   | 1                | 2            | 3                             | 4          | 5              |
| f. Capacitaciones técnicas apícolas                             | 2↓   | 1→   | 1                | 2            | 3                             | 4          | 5              |
| g. Capacitación seguridad en el trabajo                         | 2↓   | 1→   | 1                | 2            | 3                             | 4          | 5              |
| h. Capacitación empresarial                                     | 2↓   | 1→   | 1                | 2            | 3                             | 4          | 5              |
| i. Capacitación manejo ambiental                                | 2↓   | 1→   | 1                | 2            | 3                             | 4          | 5              |
| j. Colmena y abejas   | 2↓   | 1→   | 1                | 2            | 3                             | 4          | 5              |

|  |    |    |   |   |   |   |   |
|--|----|----|---|---|---|---|---|
| k. Equipos de protección                     | 2↓ | 1→ | 1 | 2 | 3 | 4 | 5 |
| l. Proceso de convenio para comercialización | 2↓ | 1→ | 1 | 2 | 3 | 4 | 5 |
| m. Otro, ¿Cuál?                              | 2↓ | 1→ | 1 | 2 | 3 | 4 | 5 |

**316.** En una escala de 1 a 5 dónde 1 es completamente en desacuerdo y 5 completamente de acuerdo, qué tan de acuerdo está con cada una de las siguientes afirmaciones.

|  | Completamente en desacuerdo | Desacuerdo | Ni de acuerdo ni en desacuerdo | De acuerdo | Completamente de acuerdo |
|--|-----------------------------|------------|--------------------------------|------------|--------------------------|
| a. El apoyo de Oro Legal para mi actividad de apicultura ha contribuido a mejorar la calidad de vida de mi familia       | 1                           | 2          | 3                              | 4          | 5                        |
| b. El apoyo de Oro Legal para mi actividad de apicultura ha hecho que mejoren los ingresos de mi hogar                   | 1                           | 2          | 3                              | 4          | 5                        |
| c. El apoyo de Oro Legal para mi actividad de apicultura ha contribuido a que los ingresos en mi hogar sean más estables | 1                           | 2          | 3                              | 4          | 5                        |
| d. Quisiera continuar en 5 años con la actividad apicultura del programa Oro Legal                                       | 1                           | 2          | 3                              | 4          | 5                        |
| e. Si no hubiera más apoyo del programa de Oro Legal, seguiría trabajando en la apicultura                               | 1                           | 2          | 3                              | 4          | 5                        |

#### IV. REFORESTACIÓN CON ACACIA

**401.** ¿Usted y su familia participan en la actividad de reforestación con Acacia del programa Oro Legal? (E: leer “definición corta del programa de reforestación con Acacia”)

|   |                   |
|---|-------------------|
| 1 | Sí→ Continúe      |
| 2 | No→ Pase a 501    |
| 9 | Ns/Nr→ Pase a 501 |

**402.** ¿Cómo participa usted en la actividad de reforestación con acacia? (R.M)

|   |                                     |
|---|-------------------------------------|
| 1 | Mano de obra                        |
| 2 | Prestando la tierra de su propiedad |

**403.** ¿Hace cuánto tiempo es beneficiario o participante de la actividad de reforestación con Acacia del programa Oro Legal?

Número de meses \_\_\_\_\_

**404.** ¿Cuáles fueron sus 2 principales motivaciones para participar en la actividad de reforestación con acacia del programa Oro Legal? (R.U.)

|  | 1º<br>Mención | 2º<br>Mención |
|--|---------------|---------------|
| Poder comercializar más fácilmente el producido    | 1             | 1             |
| Mejorar ingresos                                   | 2             | 2             |
| Proteger el medio ambiente                         | 3             | 3             |
| Mejorar condiciones de salud suyas y de su familia | 4             | 4             |
| Evitar problemas con las autoridades               | 5             | 5             |
| Participar en una actividad menos riesgosa         | 6             | 6             |
| Otro, ¿Cuál?                                       | 7             | 7             |
| Ns/Nr  | 9             | 9             |

**405.** Desde su participación en el programa ¿Usted o su familia ha recibido algún ingreso de la actividad de reforestación con acacia?

|       |   |                   |
|-------|---|-------------------|
| Sí    | 1 | Continúe          |
| No    | 2 | <b>Pase a 411</b> |
| Ns/Nr | 9 | <b>Pase a 411</b> |

**406.** ¿Con qué frecuencia se reciben ingresos por el desarrollo de la actividad de reforestación con acacia dentro del programa de Oro Legal?

|            |   |
|------------|---|
| Diario     | 1 |
| Semanal    | 2 |
| Quincenal  | 3 |
| Mensual    | 4 |
| Bimensual  | 5 |
| Trimestral | 6 |
| Semestral  | 7 |
| Anual      | 8 |
| Ns/Nr      | 9 |

**407.** ¿Cómo califica en una escala de 1 a 5 siendo 1 Muy insatisfecho y 5 Muy satisfecho la frecuencia con la que recibe ingresos por la actividad de reforestación con acacia dentro del programa de Oro Legal?

**408.** ¿Qué medios de transporte usa la mayoría de las veces para transportar su producto de la actividad de reforestación para comercializarlo? **Enc: Si requiere más de un medio de transporte indicar los que apliquen**

|                 |    |
|-----------------|----|
| Caballo o mula  | 1  |
| Lancha o canoa  | 2  |
| Carro           | 3  |
| Moto            | 5  |
| Camión          | 6  |
| Caminando       | 7  |
| Otro cual _____ | 77 |

**409.** ¿Cuánto le cuesta habitualmente el transportar su producto de la actividad de reforestación para comercializarlo? **Enc: Si son varios transportes los que toma, indicar la suma total de los valores.**

Valor en números \_\_\_\_\_

Valor en letras \_\_\_\_\_

**410.** ¿Cuánto tiempo le toma, en promedio, transportar su producto acacia para comercializarlo?

|                       |   |
|-----------------------|---|
| Menos de 15 minutos   | 1 |
| Entre 16 y 30 minutos | 2 |
| Entre 31 y 45 minutos | 3 |
| Entre 46 y 60 minutos | 4 |
| Entre 1 y 2 horas     | 5 |
| Entre 2 y 3 horas     | 6 |
| Entre 3 y 4 horas     | 7 |
| Más de 4 horas        | 8 |

**411.** ¿La principal actividad económica de usted o de su familia estaba relacionada con acacia o madera antes de la llegada del programa Oro Legal?

|       |   |
|-------|---|
| Sí    | 1 |
| No    | 2 |
| Ns/Nr | 9 |

**412.** ¿Tuvo que firmar un contrato para participar en la actividad de reforestación con acacia del programa Oro Legal? (R.M.)

|       |   |
|-------|---|
| Sí    | 1 |
| No    | 2 |
| Ns/Nr | 9 |

**413.** ¿Qué compromisos adquirió usted y su familia con el programa de Oro Legal al incorporarse a la actividad de reforestación con Acacia (R.M.)

|                                       |    |
|---------------------------------------|----|
| Aportar mano de obra                  | 01 |
| Aportar dinero                        | 02 |
| Aportar tierra                        | 03 |
| Aportar materiales                    | 04 |
| Capacitarse                           | 05 |
| Seguir recomendaciones de asesores    | 06 |
| Dar al programa información verdadera | 07 |
| Nada                                  | 08 |
| Otro, ¿Cuál?                          | 77 |
| Ns/Nr                                 | 99 |

**414.** ¿Qué forma de tenencia tiene el lote que ocupa la actividad de reforestación con acacia del programa Oro Legal? (Desagregue el área de esos lotes o predios según la forma de tenencia) (R.M) **(E: lea cada ítem y espere respuesta para cada uno, llenando inmediatamente el área y la unidad de medida)**

| Forma de tenencia            | Área  | Unidad de Medida: 1. Hectárea 2. M <sup>2</sup><br>3. Fanegada 4. Otro      |   |   |   |   |
|------------------------------|-------|---|---|---|---|---|
| 1. Propia sin título         | ----- | <table border="1"><tr><td>1</td><td>2</td><td>3</td><td>4</td></tr></table> | 1 | 2 | 3 | 4 |
| 1                            | 2     | 3   | 4 |   |   |   |
| 2. Propia con título         | ----- | <table border="1"><tr><td>1</td><td>2</td><td>3</td><td>4</td></tr></table> | 1 | 2 | 3 | 4 |
| 1                            | 2     | 3   | 4 |   |   |   |
| 3. en Arriendo o subarriendo | ----- | <table border="1"><tr><td>1</td><td>2</td><td>3</td><td>4</td></tr></table> | 1 | 2 | 3 | 4 |
| 1                            | 2     | 3   | 4 |   |   |   |
| 4. Aparcería                 | ----- | <table border="1"><tr><td>1</td><td>2</td><td>3</td><td>4</td></tr></table> | 1 | 2 | 3 | 4 |
| 1                            | 2     | 3   | 4 |   |   |   |
| 5. En usufructo              | ----- | <table border="1"><tr><td>1</td><td>2</td><td>3</td><td>4</td></tr></table> | 1 | 2 | 3 | 4 |
| 1                            | 2     | 3   | 4 |   |   |   |
| 6. En concesión              | ----- | <table border="1"><tr><td>1</td><td>2</td><td>3</td><td>4</td></tr></table> | 1 | 2 | 3 | 4 |
| 1                            | 2     | 3   | 4 |   |   |   |
| 7. En sucesión con título    | ----- | <table border="1"><tr><td>1</td><td>2</td><td>3</td><td>4</td></tr></table> | 1 | 2 | 3 | 4 |
| 1                            | 2     | 3   | 4 |   |   |   |
| 8. En sucesión sin título    | ----- | <table border="1"><tr><td>1</td><td>2</td><td>3</td><td>4</td></tr></table> | 1 | 2 | 3 | 4 |
| 1                            | 2     | 3   | 4 |   |   |   |
| 9. Propiedad colectiva       | ----- | <table border="1"><tr><td>1</td><td>2</td><td>3</td><td>4</td></tr></table> | 1 | 2 | 3 | 4 |
| 1                            | 2     | 3   | 4 |   |   |   |

**415.** ¿Qué aporta el programa de oro legal para la actividad de reforestación con acacia en el convenio firmado con usted y su familia? y ¿Cómo califica en una escala de 1 a 5 siendo 1 Muy insatisfecho y 5 Muy satisfecho cada uno de estos aportes? (R.M.)

|                                 | No ↓ | Sí → | Muy insatisfecho | Insatisfecho | Ni satisfecho ni Insatisfecho | Satisfecho | Muy satisfecho |
|---------------------------------|------|------|------------------|--------------|-------------------------------|------------|----------------|
| a. Asesoría legal               | 2↓   | 1→   | 1                | 2            | 3                             | 4          | 5              |
| b. Asistencia técnica ambiental | 2↓   | 1→   | 1                | 2            | 3                             | 4          | 5              |

|   |    |    |   |   |   |   |   |
|---|----|----|---|---|---|---|---|
| c. Asesoría técnica en siembra, poda y mantenimiento de la acacia   | 2↓ | 1→ | 1 | 2 | 3 | 4 | 5 |
| d. Asesoría técnica en corte, acopio, transporte y comercialización | 2↓ | 1→ | 1 | 2 | 3 | 4 | 5 |
| e. Asistencia técnica en manipulación de equipos y herramientas     | 2↓ | 1→ | 1 | 2 | 3 | 4 | 5 |
| f. Capacitaciones técnicas  | 2↓ | 1→ | 1 | 2 | 3 | 4 | 5 |
| g. Capacitación seguridad en el trabajo                             | 2↓ | 1→ | 1 | 2 | 3 | 4 | 5 |
| h. Capacitación empresarial   | 2↓ | 1→ | 1 | 2 | 3 | 4 | 5 |
| i. Capacitación manejo ambiental                                    | 2↓ | 1→ | 1 | 2 | 3 | 4 | 5 |
| j. Insumos  | 2↓ | 1→ | 1 | 2 | 3 | 4 | 5 |
| k. Equipos de protección  | 2↓ | 1→ | 1 | 2 | 3 | 4 | 5 |
| l. Gestión para vender producto a mejores precios                   | 2↓ | 1→ | 1 | 2 | 3 | 4 | 5 |
| m. Otro, ¿Cuál?   | 2↓ | 1→ | 1 | 2 | 3 | 4 | 5 |

**416.** En una escala de 1 a 5 dónde 1 es completamente en desacuerdo y 5 completamente de acuerdo, qué tan de acuerdo está con cada una de las siguientes afirmaciones.

|  | Completamente en desacuerdo | Desacuerdo | Ni de acuerdo ni en desacuerdo | De acuerdo | Completamente de acuerdo |
|--|-----------------------------|------------|--------------------------------|------------|--------------------------|
| a. El apoyo de Oro Legal para mi actividad de reforestación con acacia ha contribuido a mejorar la calidad de vida de mi familia       | 1                           | 2          | 3                              | 4          | 5                        |
| b. El apoyo de Oro Legal para mi actividad de reforestación con acacia ha mejorado la salud de mi familia                              | 1                           | 2          | 3                              | 4          | 5                        |
| c. El apoyo de Oro Legal para mi actividad de reforestación con acacia ha contribuido a que los ingresos en mi hogar sean más estables | 1                           | 2          | 3                              | 4          | 5                        |
| d. Quisiera continuar en <b>10 años</b> con la actividad reforestación con acacia del programa Oro Legal                               | 1                           | 2          | 3                              | 4          | 5                        |
| e. Si no hubiera más apoyo del programa de Oro Legal, seguiría trabajando en la reforestación con acacia                               | 1                           | 2          | 3                              | 4          | 5                        |

**V. ESTABLECIMIENTO DE CULTIVO DE ACHIOTE**

**501. ¿Usted y su familia participan en la actividad de cultivo de achiote del programa Oro Legal? (E: leer “definición corta del programa de cultivo de achiote”)**

|   |                   |
|---|-------------------|
| 1 | Sí→ Continúe      |
| 2 | No→ Pase a 601    |
| 9 | Ns/Nr→ Pase a 601 |

**502. ¿Cómo participa usted en la actividad de reforestación con acacia? (R.M)**

|   |                                     |
|---|-------------------------------------|
| 1 | Mano de obra                        |
| 2 | Prestando la tierra de su propiedad |

**503. ¿Hace cuánto tiempo es beneficiario o participante de la actividad de cultivo de achiote del programa Oro Legal?**

Número de meses \_\_\_\_\_

**504. ¿Cuáles fueron sus 2 principales motivaciones para participar en la actividad de cultivo de achiote del programa Oro Legal? (R.U.)**

|  | 1°<br>Mención | 2°<br>Mención |
|--|---------------|---------------|
| Poder comercializar más fácilmente el producido    | 1             | 1             |
| Mejorar ingresos                                   | 2             | 2             |
| Proteger el medio ambiente                         | 3             | 3             |
| Mejorar condiciones de salud suyas y de su familia | 4             | 4             |
| Evitar problemas con las autoridades               | 5             | 5             |
| Participar en una actividad menos riesgosa         | 6             | 6             |
| Otro, ¿Cuál?                                       | 7             | 7             |
| Ns/Nr  | 9             | 9             |

**505. Desde su participación en el programa ¿Usted o su familia ha recibido algún ingreso de la actividad de cultivo de achiote?**

|    |   |            |
|----|---|------------|
| Sí | 1 | Continúe   |
| No | 2 | Pase a 511 |

**506. ¿Con qué frecuencia se reciben ingresos por el desarrollo de la actividad de cultivo de achiote dentro del programa de Oro Legal?**

|         |   |
|---------|---|
| Diario  | 1 |
| Semanal | 2 |

|       |   |            |
|-------|---|------------|
| Ns/Nr | 9 | Pase a 511 |
|-------|---|------------|

|            |   |
|------------|---|
| Quincenal  | 3 |
| Mensual    | 4 |
| Bimensual  | 5 |
| Trimestral | 6 |
| Semestral  | 7 |
| Anual      | 8 |
| Ns/Nr      | 9 |

**507.** ¿Cómo califica en una escala de 1 a 5 siendo 1 Muy insatisfecho y 5 Muy satisfecho la frecuencia con la que recibe ingresos por la actividad de cultivo de achiote dentro del programa de Oro Legal?

|  |
|--|
|  |
|--|

**508.** ¿Qué medios de transporte usa la mayoría de las veces para transportar su producto de la actividad de cultivo de achiote para comercializarlo? **Enc: Si requiere más de un medio de transporte indicar los que apliquen**

|                 |    |
|-----------------|----|
| Caballo o mula  | 1  |
| Lancha o canoa  | 2  |
| Carro           | 3  |
| Moto            | 5  |
| Camión          | 6  |
| Caminando       | 7  |
| Otro cual _____ | 77 |

**509.** ¿Cuánto le cuesta habitualmente el transportar su producto de la actividad de cultivo de achiote para comercializarlo? **Enc: Si son varios transportes los que toma, indicar la suma total de los valores.**

Valor en números \_\_\_\_\_

Valor en letras \_\_\_\_\_

**510.** ¿Cuánto tiempo le toma, en promedio, transportar su producto de la actividad de cultivo de achiote para comercializarlo?

|                       |   |
|-----------------------|---|
| Menos de 15 minutos   | 1 |
| Entre 16 y 30 minutos | 2 |
| Entre 31 y 45 minutos | 3 |
| Entre 46 y 60 minutos | 4 |
| Entre 1 y 2 horas     | 5 |
| Entre 2 y 3 horas     | 6 |

|                   |   |
|-------------------|---|
| Entre 3 y 4 horas | 7 |
| Más de 4 horas    | 8 |

**511.** ¿La principal actividad económica de usted o de su familia estaba relacionada con cultivo o comercialización de achiote antes de la llegada del programa Oro Legal?

|       |   |
|-------|---|
| Sí    | 1 |
| No    | 2 |
| Ns/Nr | 9 |

**512.** ¿Tuvo que firmar un contrato para participar en la actividad de cultivo de achiote del programa Oro Legal? (R.M.)

|       |   |
|-------|---|
| Sí    | 1 |
| No    | 2 |
| Ns/Nr | 9 |

**513.** ¿Qué compromisos adquirió usted y su familia con el programa de Oro Legal al incorporarse a la actividad de cultivo de achiote? (RM)

|                                       |    |
|---------------------------------------|----|
| Aportar mano de obra                  | 01 |
| Aportar dinero                        | 02 |
| Aportar tierra                        | 03 |
| Aportar materiales                    | 04 |
| Capacitarse                           | 05 |
| Seguir recomendaciones de asesores    | 06 |
| Dar al programa información verdadera | 07 |
| Nada                                  | 08 |
| Otro, ¿Cuál?                          | 77 |
| Ns/Nr                                 | 99 |

**514.** ¿Qué forma de tenencia tiene el lote que ocupa la actividad de cultivo de achiote del programa Oro Legal? (Desagregue el área de esos lotes o predios según la forma de tenencia) (R.M) (**E: lea cada ítem y espere respuesta para cada uno, llenando inmediatamente el área y la unidad de medida**)

| Forma de tenencia            | Área  | Unidad de Medida: 1. Hectárea 2. M <sup>2</sup><br>3. Fanegada 4. Otro |   |   |   |
|------------------------------|-------|--|---|---|---|
|                              |       | 1  | 2 | 3 | 4 |
| 1. Propia sin título         | ----- | 1  | 2 | 3 | 4 |
| 2. Propia con título         | ----- | 1  | 2 | 3 | 4 |
| 3. en Arriendo o subarriendo | ----- | 1  | 2 | 3 | 4 |
| 4. Aparcería                 | ----- | 1  | 2 | 3 | 4 |
| 5. En usufructo              | ----- | 1  | 2 | 3 | 4 |
| 6. En concesión              | ----- | 1  | 2 | 3 | 4 |

|                           |       |   |   |   |   |
|---------------------------|-------|---|---|---|---|
| 7. En sucesión con título | ----- | 1 | 2 | 3 | 4 |
| 8. En sucesión con título | ----- | 1 | 2 | 3 | 4 |
| 9. Propiedad colectiva    | ----- | 1 | 2 | 3 | 4 |

**515.** ¿Qué aporta el programa Oro Legal a la actividad de cultivo de achiote en el convenio firmado con usted y su familia? y ¿Cómo califica en una escala de 1 a 5 siendo 1 Muy insatisfecho y 5 Muy satisfecho cada uno de estos aportes? (R.M.)

|   | No ↓ | Sí → | Muy insatisfecho | Insatisfecho | Ni satisfecho ni Insatisfecho | Satisfecho | Muy satisfecho |
|---|------|------|------------------|--------------|-------------------------------|------------|----------------|
| a. Asesoría legal   | 2↓   | 1→   | 1                | 2            | 3                             | 4          | 5              |
| b. Asistencia técnica ambiental                                 | 2↓   | 1→   | 1                | 2            | 3                             | 4          | 5              |
| c. Asesoría técnica en manejo de subproductos                   | 2↓   | 1→   | 1                | 2            | 3                             | 4          | 5              |
| d. Asistencia técnica en manipulación de equipos y herramientas | 2↓   | 1→   | 1                | 2            | 3                             | 4          | 5              |
| e. Capacitaciones técnicas                                      | 2↓   | 1→   | 1                | 2            | 3                             | 4          | 5              |
| f. Capacitación seguridad en el trabajo                         | 2↓   | 1→   | 1                | 2            | 3                             | 4          | 5              |
| g. Capacitación empresarial                                     | 2↓   | 1→   | 1                | 2            | 3                             | 4          | 5              |
| h. Capacitación manejo ambiental                                | 2↓   | 1→   | 1                | 2            | 3                             | 4          | 5              |
| i. Insumos  | 2↓   | 1→   | 1                | 2            | 3                             | 4          | 5              |
| j. Equipos de protección  | 2↓   | 1→   | 1                | 2            | 3                             | 4          | 5              |
| k. Gestión para vender producto a mejores precios               | 2↓   | 1→   | 1                | 2            | 3                             | 4          | 5              |
| l. Otro, ¿Cuál?   | 2↓   | 1→   | 1                | 2            | 3                             | 4          | 5              |

**516.** En una escala de 1 a 5 dónde 1 es completamente en desacuerdo y 5 completamente de acuerdo, qué tan de acuerdo está con cada una de las siguientes afirmaciones.

|  | Completamente en desacuerdo | Desacuerdo | Ni de acuerdo ni en desacuerdo | De acuerdo | Completamente de acuerdo |
|--|-----------------------------|------------|--------------------------------|------------|--------------------------|
| a. El apoyo de Oro Legal para mi actividad de cultivo de achiote ha contribuido a mejorar la calidad de vida de mi familia       | 1                           | 2          | 3                              | 4          | 5                        |
| b. El apoyo de Oro Legal para mi actividad de cultivo de achiote ha hecho que mejoren los ingresos de mi hogar                   | 1                           | 2          | 3                              | 4          | 5                        |
| c. El apoyo de Oro Legal para mi actividad de cultivo de achiote ha contribuido a que los ingresos en mi hogar sean más estables | 1                           | 2          | 3                              | 4          | 5                        |

|  |   |   |   |   |   |
|--|---|---|---|---|---|
| d. Quisiera continuar en 5 años con la actividad cultivo de achiote del programa Oro Legal | 1 | 2 | 3 | 4 | 5 |
| e. Si no hubiera más apoyo del programa de Oro Legal, seguiría cultivando achiote          | 1 | 2 | 3 | 4 | 5 |

VI. **Información final**

**601.** En una escala de 1 a 5 dónde 1 es completamente en desacuerdo y 5 completamente de acuerdo, qué tan de acuerdo está con cada una de las siguientes afirmaciones.

|   | Completamente en desacuerdo | Desacuerdo | Ni de acuerdo ni en desacuerdo | De acuerdo | Completamente de acuerdo | NS/NR |
|---|-----------------------------|------------|--------------------------------|------------|--------------------------|-------|
| e. La coca (amapola, marihuana) debería ser sustituida porque es ilegal.  | 1                           | 2          | 3                              | 4          | 5                        | 9     |
| f. La producción de coca (amapola, marihuana) es mala para las familias cultivadoras y la comunidad.                                | 1                           | 2          | 3                              | 4          | 5                        | 9     |
| g. Cultivos lícitos pueden reemplazar los ingresos de cultivos de coca y garantizar la subsistencia de las familias que la cultiva. | 1                           | 2          | 3                              | 4          | 5                        | 9     |
| h. Mi familia y amigos piensan que cultivar coca es malo.   | 1                           | 2          | 3                              | 4          | 5                        | 9     |

**602.** Le agradecemos mucho sus opiniones. Quisiera preguntarle si estaría dispuesto en el futuro a volver a colaborar con nosotros.

|    |   |    |     |         |
|----|---|----|-----|---------|
| Sí | 1 | No | 2 → | Termine |
|----|---|----|-----|---------|

**603.** Número celular:

**Enc: En caso que cambie de dirección o de número de contacto, nos podría brindar la siguiente información en caso de necesitar recontactarlo?**

Nombre de un familiar con quien viva y número de teléfono

**604.** Nombre \_\_\_\_\_

**605.** Teléfono o Celular \_\_\_\_\_

Nombre de un vecino de su vereda o municipio y su número de teléfono que pueda saber dónde podemos encontrarlo.

**606.** Nombre \_\_\_\_\_

**607.** Teléfono o Celular \_\_\_\_\_

**CONTROLES FINALES**

| Fecha de la encuesta Día /__/__/ Mes /__/__/ Año /2017  |   |                 |               | Hora inicio /__/__: /__/__/ Fin /__/__/: /__/__/   |             |           |           |  |
|---|---|-----------------|---------------|--|-------------|-----------|-----------|--|
| Encuestador   |   | Cédula          |               | Supervisor / Cédula  |             |           |           |  |
| SUPERVISIÓN   |   | HALLAZGO        | RESPONSABLE   | ACCIÓN   | RESPONSABLE | APROB     | RECHAZ    |  |
| Monitorización (75%)  | 1 |                 |               |  |             | 1         | 2         |  |
| Re-contacto Presencial  | 2 |                 |               |  |             | 1         | 2         |  |
| Re-contacto Telefónico  | 3 |                 |               |  |             | 1         | 2         |  |
| Revisión en Campo   | 4 |                 |               |  |             | 1         | 2         |  |
| Revisión en Crítica   | 5 |                 |               |  |             | 1         | 2         |  |
| <b>Notas</b>  |   |                 |               |  |             |           |           |  |
| <b>HALLAZGO:</b> 1 Inconsistencia- 2 Datos Ficticios- 3 Pregunta faltante <b>ACCIÓN:</b> 5 Anular- 6 Verificar- 7 Recuperar- 8 Devolver a Campo <b>APROBADO/RECHAZADO</b> |   |                 |               |  |             | Verificad | Codificad |  |
| Verificación de Crítica   | 6 | <b>HALLAZGO</b> | <b>ACCIÓN</b> |  |             |           |           |  |
| <b>HALLAZGO:</b> 1 Omisión código - 2 Código errado - 3 Omisión de crítica  |   |                 |               | <b>ACCIÓN:</b> 1 Asignar código - 2 Corregir - 3 Revisión pases/Revisión campos - 7 Otro |             |           |           |  |

j. Formulario Cuantitativo Minería.

|  |   |  |
|--|---|--|
| Evaluación de Desempeño Actividad Oro Legal    | <br>Centro Nacional de Consultoría Ltda.<br>Calle 82 No. 6- 51<br>Teléfono: 339 4888 | Familias beneficiarias de actividades del programa |
| Centro de Costos: 7546-01                      | Fecha: 15 mayo de 2018  | Se requirió Prueba Piloto: Sí__<br>NO__            |
| Elaborado por:<br>Juan Camilo Cristancho - CNC | Revisado por:<br>Maria Isabel Agudelo- EVAL<br>Daniel Nowicki - EVAL  | Revisado en Campo por:                             |

**PRESENTACIÓN AL ENCUESTADO**

- **Saludo a la persona seleccionada.** Buenos días, tardes, mi nombre es (nombre y apellido), y pertenezco al Centro Nacional de Consultoría. Actualmente nos encontramos desarrollando un estudio sobre el proyecto Oro Legal y su información como beneficiario sería valiosa para los propósitos de la investigación. Su participación es voluntaria y su identidad, así como las respuestas suministradas serán de carácter confidencial y los datos se utilizarán únicamente para fines estadísticos. El beneficio de su participación es hacer valer en el estudio la opinión de personas que piensan como usted.
- El Centro Nacional de Consultoría pide su autorización para recolectar y compartir sus datos personales con fines de contacto para la aplicación de encuestas. Esta solicitud se hace de conformidad con la Ley 1581 de 2012. Nuestra Política de Tratamiento de Datos Personales puede encontrarla en la página [www.centronacionaldeconsultoria.com](http://www.centronacionaldeconsultoria.com) y cualquier consulta puede dirigirla al correo electrónico [cnc@cnccl.com](mailto:cnc@cnccl.com) o comunicarse con el Tel: 3394888 de Bogotá.

Con estas precisiones, le pido su autorización para tomar sus datos y hacer la encuesta, que nos tomará aproximadamente \_\_\_\_\_ minutos.  
 Autoriza: Sí \_\_\_\_\_ No \_\_\_\_\_

Iniciación Hora /\_\_\_/\_\_\_/ minutos /\_\_\_/\_\_\_/

**VII. IDENTIFICACIÓN**

**135.** Municipio de residencia:

| Habitante municipio de tratamiento |    |
|------------------------------------|----|
| Barbosa                            | 01 |
| Buriticá                           | 02 |
| Don Matías                         | 03 |

|                     |    |
|---------------------|----|
| Remedios            | 04 |
| San Roque           | 05 |
| Segovia             | 06 |
| Cáceres             | 07 |
| Caucasia            | 08 |
| El Bagre            | 09 |
| Nechí               | 10 |
| Tarazá              | 11 |
| Zaragoza            | 12 |
| Atrato (Yuto)       | 13 |
| Cértégui            | 14 |
| Condoto             | 15 |
| El Cantón San Pablo | 16 |
| Istmina             | 17 |
| Nóvita              | 18 |
| Quibdó              | 19 |
| Rio Quito           | 20 |
| Tadó                | 21 |
| Unión Panamericana  | 22 |
| Otro. ¿Cuál?        | 77 |

**136.** Nombre:

**137.** Sexo: Hombre 1 // Mujer 2

**138.** Edad \_\_\_\_\_

**139.** Vive en la cabecera municipal: SI 1 // NO 2

**140.** ¿Cuál es su estado civil? (R.U.)

|                |    |
|----------------|----|
| Soltero(a)     | 01 |
| Casado(a)      | 02 |
| En unión libre | 03 |
| Divorciado(a)  | 04 |
| Viudo(a)       | 05 |

**141.** ¿Tiene hijos? (R.U.)

|    |   |                    |
|----|---|--------------------|
| Sí | 1 | b. ¿Cuántos? _____ |
| No | 2 |                    |

**142.** ¿Actualmente cuántas personas hacen parte de este hogar, incluyéndose usted?

\_\_\_\_

**143.** ¿Alguien en su hogar ha sido beneficiario de alguno(s) de los siguientes programas o ayudas? (R.M.) LEER respuestas)

|  |    |
|--|----|
| Familias en Acción   | 01 |
| Programas para el adulto mayor                             | 02 |
| Programas de formación para el trabajo                     | 03 |
| Jóvenes en Acción  | 04 |
| Red Juntos/Unidos  | 05 |
| Programas del ICBF   | 06 |
| Subsidio al desempleo                                      | 07 |
| Ayudas para desastres naturales                            | 08 |
| Ayudas para desplazados                                    | 09 |
| Programa Nacional Integral de Sustitución de cultivos PNIS | 10 |
| Programa de restitución de tierras                         | 11 |
| Antioquia Libre de Minas                                   |    |
| Ninguno  | 99 |
| Otro, ¿Cuál?   |    |

**144.** ¿A cuál grupo étnico pertenece o se auto-reconoce? (R.U.)

|                      |    |
|----------------------|----|
| Blanco               | 1  |
| Negro/Afrocolombiano | 2  |
| Mestizo              | 3  |
| Mulato               | 4  |
| Indígena             | 5  |
| Otro, ¿Cuál?         | 77 |

**5.** ¿Es usted miembro de alguna asociación? (R.M)

|   |       |                         |
|---|-------|-------------------------|
| 1 | Sí→   | 1 Minería               |
|   |       | 2 Productores           |
|   |       | 3 Comunitaria           |
|   |       | 4 Cabildo indígena      |
|   |       | 5 Asociación de mujeres |
|   |       | 6 Deportiva             |
|   |       | 7 Cultural              |
|   |       | 8 Víctimas              |
|   |       | 77 Otra. ¿Cuál?         |
| 2 | No    |                         |
| 9 | Ns/Nr |                         |

**6.** ¿Sabe leer y escribir?

|    |    |
|----|----|
| Sí | 01 |
| No | 02 |

**7.** ¿Es usted el/la jefe del hogar?

|    |    |
|----|----|
| Sí | 01 |
| No | 02 |

**148.** ¿Cuál es el nivel educativo más alto aprobado por usted? (E: El último año o grado aprobado.)

|   |    |
|---|----|
| Ninguno o preescolar                    | 01 |
| Básica primaria o básica secundaria     | 02 |
| Media                                   | 03 |
| No hay jefa del hogar o esposa del jefe | 04 |

|  |    |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
|--|----|--|----|--|----|-------------------------------------|----|--|----|---|----|---------------------------------------|----|---|----|
|  |    | Superior o universitario (1 a 4 años)  | 05 |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
|  |    | Superior o universitario (5 años o más)  | 06 |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| <b>149.</b> ¿Cuál es el nivel educativo más alto alcanzado por la jefa del hogar o esposa del jefe? (E: Si el respondiente es la jefa del hogar o esposa del jefe del hogar, pase a 115) |    | <table border="1"> <tr> <td>Ninguno o preescolar</td> <td>01</td> </tr> <tr> <td>Básica primaria o básica secundaria</td> <td>02</td> </tr> <tr> <td>Media</td> <td>03</td> </tr> <tr> <td>No hay jefa del hogar o esposa del jefe</td> <td>04</td> </tr> <tr> <td>Superior o universitario (1 a 4 años)</td> <td>05</td> </tr> <tr> <td>Superior o universitario (5 años o más)</td> <td>06</td> </tr> </table> |    | Ninguno o preescolar   | 01 | Básica primaria o básica secundaria | 02 | Media  | 03 | No hay jefa del hogar o esposa del jefe | 04 | Superior o universitario (1 a 4 años) | 05 | Superior o universitario (5 años o más) | 06 |
| Ninguno o preescolar   | 01 |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| Básica primaria o básica secundaria  | 02 |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| Media  | 03 |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| No hay jefa del hogar o esposa del jefe  | 04 |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| Superior o universitario (1 a 4 años)  | 05 |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| Superior o universitario (5 años o más)  | 06 |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| <b>150.</b> ¿Cuántos miembros de su hogar tienen 18 años o menos?  |    | <table border="1"> <tr> <td>Cuatro o más</td> <td>01</td> </tr> <tr> <td>Tres</td> <td>02</td> </tr> <tr> <td>Dos</td> <td>03</td> </tr> <tr> <td>Uno</td> <td>04</td> </tr> <tr> <td>Ninguno</td> <td>05</td> </tr> </table>  |    | Cuatro o más   | 01 | Tres                                | 02 | Dos  | 03 | Uno                                     | 04 | Ninguno                               | 05 |   |    |
| Cuatro o más   | 01 |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| Tres   | 02 |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| Dos  | 03 |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| Uno  | 04 |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| Ninguno  | 05 |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| <b>151.</b> ¿Cuántos miembros del hogar se ocuparon la mayor parte del tiempo de la semana pasada trabajando?  |    | <table border="1"> <tr> <td>Ninguno</td> <td>01</td> </tr> <tr> <td>Uno</td> <td>02</td> </tr> <tr> <td>Dos o más</td> <td>03</td> </tr> </table>  |    | Ninguno  | 01 | Uno                                 | 02 | Dos o más  | 03 |   |    |                                       |    |   |    |
| Ninguno  | 01 |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| Uno  | 02 |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| Dos o más  | 03 |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| <b>152.</b> ¿Cuántos miembros del hogar, en su empleo principal, trabajan como obreros o empleados de empresas particulares o del gobierno?  |    | <table border="1"> <tr> <td>Ninguno</td> <td>01</td> </tr> <tr> <td>Uno</td> <td>02</td> </tr> <tr> <td>Dos o más</td> <td>03</td> </tr> </table>  |    | Ninguno  | 01 | Uno                                 | 02 | Dos o más  | 03 |   |    |                                       |    |   |    |
| Ninguno  | 01 |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| Uno  | 02 |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| Dos o más  | 03 |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| <b>153.</b> ¿De qué estrato de tarifa del servicio de energía eléctrica es la vivienda?  |    | <table border="1"> <tr> <td>Tres</td> <td>01</td> </tr> <tr> <td>Cuatro, cinco o seis</td> <td>02</td> </tr> <tr> <td>Sin estrato (sin conexión, con conexión pirata o con planta eléctrica), <b>uno o dos</b></td> <td>03</td> </tr> </table>   |    | Tres   | 01 | Cuatro, cinco o seis                | 02 | Sin estrato (sin conexión, con conexión pirata o con planta eléctrica), <b>uno o dos</b> | 03 |   |    |                                       |    |   |    |
| Tres   | 01 |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| Cuatro, cinco o seis   | 02 |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| Sin estrato (sin conexión, con conexión pirata o con planta eléctrica), <b>uno o dos</b>   | 03 |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| <b>154.</b> ¿Con qué energía o combustible cocina principalmente en este hogar? (E: leer opciones)   |    | <table border="1"> <tr> <td>Leña, madera, carbón de leña, carbón mineral, electricidad, petróleo, gasolina, kerosene, alcohol o materiales de deshecho</td> <td>01</td> </tr> <tr> <td>Gas propano en cilindro o pipeta</td> <td>02</td> </tr> <tr> <td>Gas natural conectado a red pública</td> <td>03</td> </tr> <tr> <td>No preparan alimentos</td> <td>04</td> </tr> </table>                                |    | Leña, madera, carbón de leña, carbón mineral, electricidad, petróleo, gasolina, kerosene, alcohol o materiales de deshecho | 01 | Gas propano en cilindro o pipeta    | 02 | Gas natural conectado a red pública  | 03 | No preparan alimentos                   | 04 |                                       |    |   |    |
| Leña, madera, carbón de leña, carbón mineral, electricidad, petróleo, gasolina, kerosene, alcohol o materiales de deshecho   | 01 |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| Gas propano en cilindro o pipeta   | 02 |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| Gas natural conectado a red pública  | 03 |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| No preparan alimentos  | 04 |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| <b>155.</b> ¿Posee este hogar máquina lavadora de ropa en uso?   |    | <table border="1"> <tr> <td>Sí</td> <td>01</td> </tr> <tr> <td>No</td> <td>02</td> </tr> </table>  |    | Sí   | 01 | No                                  | 02 |  |    |   |    |                                       |    |   |    |
| Sí   | 01 |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| No   | 02 |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| <b>156.</b> ¿Posee este hogar nevera o refrigerador en uso?  |    | <table border="1"> <tr> <td>Sí</td> <td>01</td> </tr> <tr> <td>No</td> <td>02</td> </tr> </table>  |    | Sí   | 01 | No                                  | 02 |  |    |   |    |                                       |    |   |    |
| Sí   | 01 |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| No   | 02 |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| <b>157.</b> ¿Posee este hogar DVD en uso?  |    | <table border="1"> <tr> <td>Sí</td> <td>01</td> </tr> <tr> <td>No</td> <td>02</td> </tr> </table>  |    | Sí   | 01 | No                                  | 02 |  |    |   |    |                                       |    |   |    |
| Sí   | 01 |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| No   | 02 |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| <b>158.</b> ¿Posee este hogar motocicleta o carro particular en uso?   |    | <table border="1"> <tr> <td>Ninguno</td> <td>01</td> </tr> <tr> <td>Solo motocicleta</td> <td>02</td> </tr> <tr> <td>Carro (con o sin motocicleta)</td> <td>03</td> </tr> </table>   |    | Ninguno  | 01 | Solo motocicleta                    | 02 | Carro (con o sin motocicleta)  | 03 |   |    |                                       |    |   |    |
| Ninguno  | 01 |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| Solo motocicleta   | 02 |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| Carro (con o sin motocicleta)  | 03 |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| <b>159.</b> ¿Cuántas personas del hogar tienen entre 12 y 18 años?<br><br> _ _  Si la respuesta es 0 Pase a 127  |    | <table border="1"> <tr> <td> </td> <td> </td> </tr> </table>   |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
|  |    |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| <b>160.</b> ¿Cuántas personas del hogar de 12 a 18 años están asistiendo a un establecimiento escolar?<br><br> _ _  Si la respuesta es 0 Pase a 127                                      |    | <table border="1"> <tr> <td> </td> <td> </td> </tr> </table>   |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
|  |    |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| <b>161.</b> ¿Cómo califica la calidad del servicio educativo que reciben?  |    | <table border="1"> <tr> <td>Muy mala</td> <td>1</td> </tr> <tr> <td>Mala</td> <td>2</td> </tr> </table>  |    | Muy mala   | 1  | Mala                                | 2  |  |    |   |    |                                       |    |   |    |
| Muy mala   | 1  |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| Mala   | 2  |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
| <b>162.</b> Actualmente, ¿Cuántas personas del hogar están inscritas en el sistema de salud?<br><br> _ _  Si la respuesta es 0 Pase a 129  |    | <table border="1"> <tr> <td> </td> <td> </td> </tr> </table>   |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |
|  |    |  |    |  |    |                                     |    |  |    |   |    |                                       |    |   |    |

|  |   |            |                                |            |                          |       |   |
|--|---|------------|--------------------------------|------------|--------------------------|-------|---|
|  | Buena   | 3          |                                |            |                          |       |   |
|  | Muy buena   | 4          |                                |            |                          |       |   |
|  | NS/NR   | 9          |                                |            |                          |       |   |
| <b>163.</b> ¿Cómo califica la calidad del servicio de salud al que tienen acceso estas personas inscritas?   | Muy mala  | 1          |                                |            |                          |       |   |
|  | Mala  | 2          |                                |            |                          |       |   |
|  | Buena   | 3          |                                |            |                          |       |   |
|  | Muy buena   | 4          |                                |            |                          |       |   |
|  | NS/NR   | 9          |                                |            |                          |       |   |
| <b>164.</b> ¿De dónde viene o donde toman principalmente el agua para preparar los alimentos? (R.U.) LEER respuestas)  | Rio, quebrada, manantial, nacimiento, agua embotellada  | 1          |                                |            |                          |       |   |
|  | De pozo, lluvia, aljibe   | 2          |                                |            |                          |       |   |
|  | De pila pública, carrotanque, aguatero  | 3          |                                |            |                          |       |   |
|  | Acueducto por tubería, otra fuente por tubería  | 4          |                                |            |                          |       |   |
|  | Ns/Nr   | 9          |                                |            |                          |       |   |
| <b>165.</b> ¿Cuánto tiempo le toma desplazarse para conseguir el agua que usa principalmente para preparar alimentos?  | Menos de 5 minutos  | 1          |                                |            |                          |       |   |
|  | Entre 5 y 20 minutos  | 2          |                                |            |                          |       |   |
|  | Entre 21 y 40 minutos   | 3          |                                |            |                          |       |   |
|  | Entre 41 y 60 minutos   | 4          |                                |            |                          |       |   |
|  | Entre 1 y 2 horas   | 5          |                                |            |                          |       |   |
|  | Más de 2 horas  | 6          |                                |            |                          |       |   |
|  | Ns/Nr   | 9          |                                |            |                          |       |   |
| <b>166.</b> ¿Cómo calificaría la calidad del agua que usan principalmente para preparar los alimentos?   | Muy mala  | 1          |                                |            |                          |       |   |
|  | Mala  | 2          |                                |            |                          |       |   |
|  | Buena   | 3          |                                |            |                          |       |   |
|  | Muy buena   | 4          |                                |            |                          |       |   |
|  | NS/NR   | 9          |                                |            |                          |       |   |
| <b>167.</b> En una escala de 1 a 5 dónde 1 es completamente en desacuerdo y 5 completamente de acuerdo, qué tan de acuerdo está con cada una de las siguientes afirmaciones. |   |            |                                |            |                          |       |   |
|  | Completamente en desacuerdo   | Desacuerdo | Ni de acuerdo ni en desacuerdo | De acuerdo | Completamente de acuerdo | NS/NR |   |
| i.   | La coca (amapola, marihuana) debería ser sustituida porque es ilegal.   | 1          | 2                              | 3          | 4                        | 5     | 9 |
| j.   | La producción de coca (amapola, marihuana) es mala para las familias cultivadoras y la comunidad.                               | 1          | 2                              | 3          | 4                        | 5     | 9 |
| k.   | Cultivos lícitos pueden remplazar los ingresos de cultivos de coca y garantizar la subsistencia de las familias que la cultiva. | 1          | 2                              | 3          | 4                        | 5     | 9 |
| l.   | Mi familia y amigos piensan que cultivar coca es malo.  | 1          | 2                              | 3          | 4                        | 5     | 9 |
| <b>168.</b> ¿En cuál de los siguientes rangos se encuentran los gastos familiares mensuales de este hogar?   | Ningún gasto  | 01         |                                |            |                          |       |   |
|  | Menos de 140.000  | 02         |                                |            |                          |       |   |
|  | Entre 140.001 y 300.000   | 03         |                                |            |                          |       |   |
|  | Entre 300.001 y 500.000   | 04         |                                |            |                          |       |   |
|  | Entre 500.001 y 700.000   | 05         |                                |            |                          |       |   |
|  | Entre 700.001 y 1'000.000   | 06         |                                |            |                          |       |   |
|  | Entre 1'000.001 y 1'500.000   | 07         |                                |            |                          |       |   |
|  | Entre 1'500.001 y 2'000.000   | 08         |                                |            |                          |       |   |

|  |                  |    |
|--|------------------|----|
|  | Más de 2'000.000 | 09 |
|  | NS/NR            | 10 |

|   |                |    |                  |    |                         |    |                         |    |                         |    |                           |    |                             |    |                             |    |                  |    |       |    |  |                                 |    |              |    |                   |    |                                       |    |                                   |    |            |    |          |    |            |    |  |    |              |    |       |    |
|---|----------------|----|------------------|----|-------------------------|----|-------------------------|----|-------------------------|----|---------------------------|----|-----------------------------|----|-----------------------------|----|------------------|----|-------|----|--|---------------------------------|----|--------------|----|-------------------|----|---------------------------------------|----|-----------------------------------|----|------------|----|----------|----|------------|----|--|----|--------------|----|-------|----|
| <p><b>169.</b> ¿En cuál de los siguientes rangos se encuentran los ingresos familiares mensuales de este hogar, incluyendo las remesas del exterior y el ingreso de todos los adultos e hijos que trabajan? (<b>E: si no entiende la pregunta aclare leyendo:</b> “¿Cuánto dinero entra en total a su hogar cada mes, en pesos?”)</p> <table border="1" style="width:100%; border-collapse: collapse; margin-top: 10px;"> <tr><td>Ningún ingreso</td><td style="text-align:right;">01</td></tr> <tr><td>Menos de 140.000</td><td style="text-align:right;">02</td></tr> <tr><td>Entre 140.001 y 300.000</td><td style="text-align:right;">03</td></tr> <tr><td>Entre 300.001 y 500.000</td><td style="text-align:right;">04</td></tr> <tr><td>Entre 500.001 y 700.000</td><td style="text-align:right;">05</td></tr> <tr><td>Entre 700.001 y 1'000.000</td><td style="text-align:right;">06</td></tr> <tr><td>Entre 1'000.001 y 1'500.000</td><td style="text-align:right;">07</td></tr> <tr><td>Entre 1'500.001 y 2'000.000</td><td style="text-align:right;">08</td></tr> <tr><td>Más de 2'000.000</td><td style="text-align:right;">09</td></tr> <tr><td>NS/NR</td><td style="text-align:right;">10</td></tr> </table> | Ningún ingreso | 01 | Menos de 140.000 | 02 | Entre 140.001 y 300.000 | 03 | Entre 300.001 y 500.000 | 04 | Entre 500.001 y 700.000 | 05 | Entre 700.001 y 1'000.000 | 06 | Entre 1'000.001 y 1'500.000 | 07 | Entre 1'500.001 y 2'000.000 | 08 | Más de 2'000.000 | 09 | NS/NR | 10 | <p><b>170.</b> ¿Cuáles de las siguientes actividades representan una fuente de ingresos en su hogar? (R.M)</p> <table border="1" style="width:100%; border-collapse: collapse; margin-top: 10px;"> <tr><td>Explotación de minas o canteras</td><td style="text-align:right;">01</td></tr> <tr><td>Agropecuario</td><td style="text-align:right;">02</td></tr> <tr><td>Apicultura y miel</td><td style="text-align:right;">03</td></tr> <tr><td>Siembra y comercialización de Achiote</td><td style="text-align:right;">04</td></tr> <tr><td>Siembra y comercialización Acacia</td><td style="text-align:right;">05</td></tr> <tr><td>Artesanías</td><td style="text-align:right;">06</td></tr> <tr><td>Comercio</td><td style="text-align:right;">07</td></tr> <tr><td>Transporte</td><td style="text-align:right;">08</td></tr> <tr><td>Servicios sociales, comunales y personales</td><td style="text-align:right;">09</td></tr> <tr><td>Otro. ¿Cuál?</td><td style="text-align:right;">77</td></tr> <tr><td>Ns/Nr</td><td style="text-align:right;">99</td></tr> </table> | Explotación de minas o canteras | 01 | Agropecuario | 02 | Apicultura y miel | 03 | Siembra y comercialización de Achiote | 04 | Siembra y comercialización Acacia | 05 | Artesanías | 06 | Comercio | 07 | Transporte | 08 | Servicios sociales, comunales y personales | 09 | Otro. ¿Cuál? | 77 | Ns/Nr | 99 |
| Ningún ingreso  | 01             |    |                  |    |                         |    |                         |    |                         |    |                           |    |                             |    |                             |    |                  |    |       |    |  |                                 |    |              |    |                   |    |                                       |    |                                   |    |            |    |          |    |            |    |  |    |              |    |       |    |
| Menos de 140.000  | 02             |    |                  |    |                         |    |                         |    |                         |    |                           |    |                             |    |                             |    |                  |    |       |    |  |                                 |    |              |    |                   |    |                                       |    |                                   |    |            |    |          |    |            |    |  |    |              |    |       |    |
| Entre 140.001 y 300.000   | 03             |    |                  |    |                         |    |                         |    |                         |    |                           |    |                             |    |                             |    |                  |    |       |    |  |                                 |    |              |    |                   |    |                                       |    |                                   |    |            |    |          |    |            |    |  |    |              |    |       |    |
| Entre 300.001 y 500.000   | 04             |    |                  |    |                         |    |                         |    |                         |    |                           |    |                             |    |                             |    |                  |    |       |    |  |                                 |    |              |    |                   |    |                                       |    |                                   |    |            |    |          |    |            |    |  |    |              |    |       |    |
| Entre 500.001 y 700.000   | 05             |    |                  |    |                         |    |                         |    |                         |    |                           |    |                             |    |                             |    |                  |    |       |    |  |                                 |    |              |    |                   |    |                                       |    |                                   |    |            |    |          |    |            |    |  |    |              |    |       |    |
| Entre 700.001 y 1'000.000   | 06             |    |                  |    |                         |    |                         |    |                         |    |                           |    |                             |    |                             |    |                  |    |       |    |  |                                 |    |              |    |                   |    |                                       |    |                                   |    |            |    |          |    |            |    |  |    |              |    |       |    |
| Entre 1'000.001 y 1'500.000   | 07             |    |                  |    |                         |    |                         |    |                         |    |                           |    |                             |    |                             |    |                  |    |       |    |  |                                 |    |              |    |                   |    |                                       |    |                                   |    |            |    |          |    |            |    |  |    |              |    |       |    |
| Entre 1'500.001 y 2'000.000   | 08             |    |                  |    |                         |    |                         |    |                         |    |                           |    |                             |    |                             |    |                  |    |       |    |  |                                 |    |              |    |                   |    |                                       |    |                                   |    |            |    |          |    |            |    |  |    |              |    |       |    |
| Más de 2'000.000  | 09             |    |                  |    |                         |    |                         |    |                         |    |                           |    |                             |    |                             |    |                  |    |       |    |  |                                 |    |              |    |                   |    |                                       |    |                                   |    |            |    |          |    |            |    |  |    |              |    |       |    |
| NS/NR   | 10             |    |                  |    |                         |    |                         |    |                         |    |                           |    |                             |    |                             |    |                  |    |       |    |  |                                 |    |              |    |                   |    |                                       |    |                                   |    |            |    |          |    |            |    |  |    |              |    |       |    |
| Explotación de minas o canteras   | 01             |    |                  |    |                         |    |                         |    |                         |    |                           |    |                             |    |                             |    |                  |    |       |    |  |                                 |    |              |    |                   |    |                                       |    |                                   |    |            |    |          |    |            |    |  |    |              |    |       |    |
| Agropecuario  | 02             |    |                  |    |                         |    |                         |    |                         |    |                           |    |                             |    |                             |    |                  |    |       |    |  |                                 |    |              |    |                   |    |                                       |    |                                   |    |            |    |          |    |            |    |  |    |              |    |       |    |
| Apicultura y miel   | 03             |    |                  |    |                         |    |                         |    |                         |    |                           |    |                             |    |                             |    |                  |    |       |    |  |                                 |    |              |    |                   |    |                                       |    |                                   |    |            |    |          |    |            |    |  |    |              |    |       |    |
| Siembra y comercialización de Achiote   | 04             |    |                  |    |                         |    |                         |    |                         |    |                           |    |                             |    |                             |    |                  |    |       |    |  |                                 |    |              |    |                   |    |                                       |    |                                   |    |            |    |          |    |            |    |  |    |              |    |       |    |
| Siembra y comercialización Acacia   | 05             |    |                  |    |                         |    |                         |    |                         |    |                           |    |                             |    |                             |    |                  |    |       |    |  |                                 |    |              |    |                   |    |                                       |    |                                   |    |            |    |          |    |            |    |  |    |              |    |       |    |
| Artesanías  | 06             |    |                  |    |                         |    |                         |    |                         |    |                           |    |                             |    |                             |    |                  |    |       |    |  |                                 |    |              |    |                   |    |                                       |    |                                   |    |            |    |          |    |            |    |  |    |              |    |       |    |
| Comercio  | 07             |    |                  |    |                         |    |                         |    |                         |    |                           |    |                             |    |                             |    |                  |    |       |    |  |                                 |    |              |    |                   |    |                                       |    |                                   |    |            |    |          |    |            |    |  |    |              |    |       |    |
| Transporte  | 08             |    |                  |    |                         |    |                         |    |                         |    |                           |    |                             |    |                             |    |                  |    |       |    |  |                                 |    |              |    |                   |    |                                       |    |                                   |    |            |    |          |    |            |    |  |    |              |    |       |    |
| Servicios sociales, comunales y personales  | 09             |    |                  |    |                         |    |                         |    |                         |    |                           |    |                             |    |                             |    |                  |    |       |    |  |                                 |    |              |    |                   |    |                                       |    |                                   |    |            |    |          |    |            |    |  |    |              |    |       |    |
| Otro. ¿Cuál?  | 77             |    |                  |    |                         |    |                         |    |                         |    |                           |    |                             |    |                             |    |                  |    |       |    |  |                                 |    |              |    |                   |    |                                       |    |                                   |    |            |    |          |    |            |    |  |    |              |    |       |    |
| Ns/Nr   | 99             |    |                  |    |                         |    |                         |    |                         |    |                           |    |                             |    |                             |    |                  |    |       |    |  |                                 |    |              |    |                   |    |                                       |    |                                   |    |            |    |          |    |            |    |  |    |              |    |       |    |

|  |    |                   |          |   |    |                   |  |   |    |   |    |
|--|----|-------------------|----------|---|----|-------------------|--|---|----|---|----|
| <p><b>171.</b> ¿Usted o su familia hacen parte de una UPM (Unidad de Producción Minera)?</p> <table border="1" style="width:100%; border-collapse: collapse; margin-top: 10px;"> <tr> <td style="width:10%; text-align:center;">1</td> <td style="width:15%; text-align:center;">Sí</td> <td style="width:75%;">Continúe</td> </tr> <tr> <td style="text-align:center;">2</td> <td style="text-align:center;">No</td> <td style="text-align:center;"><b>Pase a 206</b></td> </tr> </table> | 1  | Sí                | Continúe | 2 | No | <b>Pase a 206</b> | <p><b>172.</b> ¿La UPM es suya o de su familia?</p> <table border="1" style="width:100%; border-collapse: collapse; margin-top: 10px;"> <tr> <td style="width:10%; text-align:center;">1</td> <td style="width:15%; text-align:center;">Sí</td> </tr> <tr> <td style="text-align:center;">2</td> <td style="text-align:center;">No</td> </tr> </table> | 1 | Sí | 2 | No |
| 1  | Sí | Continúe          |          |   |    |                   |  |   |    |   |    |
| 2  | No | <b>Pase a 206</b> |          |   |    |                   |  |   |    |   |    |
| 1  | Sí |                   |          |   |    |                   |  |   |    |   |    |
| 2  | No |                   |          |   |    |                   |  |   |    |   |    |

|   |                    |   |                     |   |                      |   |                      |   |                     |   |  |
|---|--------------------|---|---------------------|---|----------------------|---|----------------------|---|---------------------|---|--|
| <p><b>173.</b> ¿Cuántos empleados tiene la UPM a la cual pertenece?</p> <table border="1" style="width:100%; border-collapse: collapse; margin-top: 10px;"> <tr><td>De 1 a 5 empleados</td><td style="text-align:right;">1</td></tr> <tr><td>De 6 a 10 empleados</td><td style="text-align:right;">2</td></tr> <tr><td>De 11 a 15 empleados</td><td style="text-align:right;">3</td></tr> <tr><td>De 16 a 20 empleados</td><td style="text-align:right;">4</td></tr> <tr><td>Más de 20 empleados</td><td style="text-align:right;">5</td></tr> </table> | De 1 a 5 empleados | 1 | De 6 a 10 empleados | 2 | De 11 a 15 empleados | 3 | De 16 a 20 empleados | 4 | Más de 20 empleados | 5 |  |
| De 1 a 5 empleados  | 1                  |   |                     |   |                      |   |                      |   |                     |   |  |
| De 6 a 10 empleados   | 2                  |   |                     |   |                      |   |                      |   |                     |   |  |
| De 11 a 15 empleados  | 3                  |   |                     |   |                      |   |                      |   |                     |   |  |
| De 16 a 20 empleados  | 4                  |   |                     |   |                      |   |                      |   |                     |   |  |
| Más de 20 empleados   | 5                  |   |                     |   |                      |   |                      |   |                     |   |  |

|   |  |
|---|--|
| <p><b>174.</b> ¿Cómo suele acordar la UPM los términos del trabajo con los empleados?</p> | <p><b>175.</b> ¿La UPM vincula a sus empleados a seguridad social?</p> |
|---|--|

|         |   |   |       |
|---------|---|---|-------|
| Verbal  | 1 | 1 | Sí    |
| Escrito | 2 | 2 | No    |
| Ns/Nr   | 9 | 9 | Ns/Nr |

**176.** ¿Usted o su familia han recibido algún ingreso de la actividad productiva de minería?

|       |   |
|-------|---|
| Sí    | 1 |
| No    | 2 |
| Ns/Nr | 9 |

**177.** ¿Con qué frecuencia se reciben ingresos por el desarrollo de la actividad productiva de minería?

|            |   |
|------------|---|
| Diario     | 1 |
| Semanal    | 2 |
| Quincenal  | 3 |
| Mensual    | 4 |
| Bimensual  | 5 |
| Trimestral | 6 |
| Semestral  | 7 |
| Anual      | 8 |
| Ns/Nr      | 9 |

#### VIII. PROGRAMA ORO LEGAL

**206.** Conoce o ha escuchado del Programa Oro Legal, el cual busca formalizar la actividad minera y ayudar al cuidado del medio ambiente.

|   |    |                   |
|---|----|-------------------|
| 1 | Sí | Continúe          |
| 2 | No | <b>Pase a 608</b> |

**207.** ¿Cómo se enteró por primera vez del programa de Oro Legal?

|   |   |
|---|---|
| A través de una Unidad de producción Minera         | 1 |
| Por una asociación a la que pertenece               | 2 |
| Por líderes de su comunidad                         | 3 |
| A través de la alcaldía                             | 4 |
| A través de los funcionarios del programa Oro Legal | 5 |
| Por un miembro de familia o amigo                   | 6 |
| Otro ¿Cuál?   | 7 |
| Ns/Nr   | 9 |

**208.** Hoy en día, ¿Usted y su familia participan en la actividad de minería del programa Oro Legal? **E: leer “El Proyecto de Minería del programa Oro Legal busca formalizar la actividad minera artesanal”**

|   |    |                   |
|---|----|-------------------|
| 1 | Sí | <b>Pase a 209</b> |
| 2 | No | <b>Continúe</b>   |

**209.** ¿Cuántos miembros del hogar son beneficiarios del programa de Oro Legal? (E: esto significa que trabajan en actividades apoyadas por el programa Oro Legal)

**210.** ¿Hace cuánto tiempo es beneficiario o participante de la actividad de minería del programa Oro Legal?

□□□

(E: verificar que este número sea menor o igual a la respuesta 108)

Número de meses \_\_\_\_\_

211. ¿Cuáles fueron sus 2 principales motivaciones para participar en la actividad de minería del programa Oro Legal? (R.U.)

|  | 1º<br>Mención | 2º<br>Mención |
|--|---------------|---------------|
| Formalizar y legalizar el negocio                  | 1             | 1             |
| Poder comercializar más fácilmente el producido    | 2             | 2             |
| Mejorar ingresos                                   | 3             | 3             |
| Proteger el medio ambiente                         | 4             | 4             |
| Mejorar condiciones de salud suyas y de su familia | 5             | 5             |
| Evitar problemas con las autoridades               | 6             | 6             |
| Participar en una actividad menos riesgosa         | 7             | 7             |
| Otro, ¿Cuál?                                       | 8             | 8             |
| Ns/Nr  | 9             | 9             |

212. ¿La principal actividad económica suya o de su familia estaba relacionada con minería antes de la llegada del programa Oro Legal? (R.U.)

|       |   |
|-------|---|
| Sí    | 1 |
| No    | 2 |
| Ns/Nr | 9 |

213. ¿Tuvo que firmar un compromiso para participar en la actividad de minería del programa Oro Legal? (R.U.)

|       |   |
|-------|---|
| Sí    | 1 |
| No    | 2 |
| Ns/Nr | 9 |

214. ¿Qué compromisos adquirió su UPM con el programa de Oro Legal al incorporarse a la actividad de minería? (R.M.)

|                      |    |
|----------------------|----|
| Aportar mano de obra | 01 |
| Aportar dinero       | 02 |
| Aportar tierra       | 03 |

|  |   |    |
|--|---|----|
|  | Aportar materiales  | 04 |
|  | Capacitarse   | 05 |
|  | Seguir recomendaciones de asesores                              | 06 |
|  | Realizar prácticas de minería responsable con el medio ambiente | 07 |
|  | Dar al programa información verdadera                           | 08 |
|  | Nada  | 09 |
|  | Otro, ¿Cuál?  | 10 |
|  | Ns/Nr   | 99 |

**215.** ¿Qué forma de tenencia tiene el lote que ocupa la actividad de minería del programa Oro Legal? (Desagregue el área de esos lotes o predios según la forma de tenencia) (R.M) (**E: lea cada ítem y espere respuesta para cada uno, llenando inmediatamente el área y la unidad de medida**)

| Forma de tenencia            | Área  | Unidad de Medida: 1. Hectárea 2. M <sup>2</sup><br>3. Fanegada 4. Otro      |   |   |   |   |
|------------------------------|-------|---|---|---|---|---|
| 1. Propia sin título         | ----- | <table border="1"><tr><td>1</td><td>2</td><td>3</td><td>4</td></tr></table> | 1 | 2 | 3 | 4 |
| 1                            | 2     | 3   | 4 |   |   |   |
| 2. Propia con título         | ----- | <table border="1"><tr><td>1</td><td>2</td><td>3</td><td>4</td></tr></table> | 1 | 2 | 3 | 4 |
| 1                            | 2     | 3   | 4 |   |   |   |
| 3. en Arriendo o subarriendo | ----- | <table border="1"><tr><td>1</td><td>2</td><td>3</td><td>4</td></tr></table> | 1 | 2 | 3 | 4 |
| 1                            | 2     | 3   | 4 |   |   |   |
| 4. Aparcería                 | ----- | <table border="1"><tr><td>1</td><td>2</td><td>3</td><td>4</td></tr></table> | 1 | 2 | 3 | 4 |
| 1                            | 2     | 3   | 4 |   |   |   |
| 5. En usufructo              | ----- | <table border="1"><tr><td>1</td><td>2</td><td>3</td><td>4</td></tr></table> | 1 | 2 | 3 | 4 |
| 1                            | 2     | 3   | 4 |   |   |   |
| 6. En concesión              | ----- | <table border="1"><tr><td>1</td><td>2</td><td>3</td><td>4</td></tr></table> | 1 | 2 | 3 | 4 |
| 1                            | 2     | 3   | 4 |   |   |   |
| 7. En sucesión con título    | ----- | <table border="1"><tr><td>1</td><td>2</td><td>3</td><td>4</td></tr></table> | 1 | 2 | 3 | 4 |
| 1                            | 2     | 3   | 4 |   |   |   |
| 8. En sucesión sin título    | ----- | <table border="1"><tr><td>1</td><td>2</td><td>3</td><td>4</td></tr></table> | 1 | 2 | 3 | 4 |
| 1                            | 2     | 3   | 4 |   |   |   |
| 9. Propiedad colectiva       | ----- | <table border="1"><tr><td>1</td><td>2</td><td>3</td><td>4</td></tr></table> | 1 | 2 | 3 | 4 |
| 1                            | 2     | 3   | 4 |   |   |   |

**216.** ¿Qué aporta el programa Oro Legal a la actividad de minería en el convenio firmado con su UPM? y ¿Cómo califica en una escala de 1 a 5 siendo 1 Muy insatisfecho y 5 Muy satisfecho cada uno de estos aportes?

|                                 | No ↓ | Sí → | Muy insatisfecho | Insatisfecho | Ni satisfecho ni Insatisfecho | Satisfecho | Muy satisfecho |
|---------------------------------|------|------|------------------|--------------|-------------------------------|------------|----------------|
| a. Asesoría legal               | 2↓   | 1→   | 1                | 2            | 3                             | 4          | 5              |
| b. Asistencia técnica ambiental | 2↓   | 1→   | 1                | 2            | 3                             | 4          | 5              |
| c. Asesoría en técnicas mineras | 2↓   | 1→   | 1                | 2            | 3                             | 4          | 5              |

|   |    |    |   |   |   |   |   |
|---|----|----|---|---|---|---|---|
| d. Asistencia técnica en manipulación de equipos y herramientas | 2↓ | 1→ | 1 | 2 | 3 | 4 | 5 |
| e. Capacitaciones técnicas mineras                              | 2↓ | 1→ | 1 | 2 | 3 | 4 | 5 |
| f. Capacitación seguridad en el trabajo                         | 2↓ | 1→ | 1 | 2 | 3 | 4 | 5 |
| g. Capacitación empresarial                                     | 2↓ | 1→ | 1 | 2 | 3 | 4 | 5 |
| h. Capacitación manejo ambiental                                | 2↓ | 1→ | 1 | 2 | 3 | 4 | 5 |
| i. Cofinanciación de PTO (Plan de Trabajo Operativo)            | 2↓ | 1→ | 1 | 2 | 3 | 4 | 5 |
| j. Cofinanciación PMA (Plan de manejo ambiental)                | 2↓ | 1→ | 1 | 2 | 3 | 4 | 5 |
| k. Insumos  | 2↓ | 1→ | 1 | 2 | 3 | 4 | 5 |
| l. Equipos de protección  | 2↓ | 1→ | 1 | 2 | 3 | 4 | 5 |
| m. Gestión para vender a mejores precios                        | 2↓ | 1→ | 1 | 2 | 3 | 4 | 5 |
| n. Otro, ¿Cuál?   | 2↓ | 1→ | 1 | 2 | 3 | 4 | 5 |

**217.** En una escala de 1 a 5 dónde 1 es completamente en desacuerdo y 5 completamente de acuerdo, qué tan de acuerdo está con cada una de las siguientes afirmaciones.

|  | Completamente en desacuerdo | Desacuerdo | Ni de acuerdo ni en desacuerdo | De acuerdo | Completamente de acuerdo | NS/NR |
|--|-----------------------------|------------|--------------------------------|------------|--------------------------|-------|
| m. El apoyo que recibo de Oro Legal para mi actividad de minería ha contribuido a mejorar la calidad de vida de mi familia | 1                           | 2          | 3                              | 4          | 5                        | 9     |
| n. El apoyo de Oro Legal para mi actividad de minería ha mejorado la salud de mi familia                                   | 1                           | 2          | 3                              | 4          | 5                        | 9     |
| o. El apoyo de Oro Legal para mi actividad de minería ha hecho que mi familia y yo nos sintamos más seguros                | 1                           | 2          | 3                              | 4          | 5                        | 9     |
| p. El apoyo de Oro Legal para mi actividad de minería ha hecho que mejoren los ingresos de mi hogar                        | 1                           | 2          | 3                              | 4          | 5                        | 9     |
| q. El apoyo de Oro Legal para mi actividad de minería ha contribuido a que los ingresos en mi hogar sean más estables      | 1                           | 2          | 3                              | 4          | 5                        | 9     |
| r. El apoyo de Oro Legal para mi actividad de minería ha contribuida a que el ambiente sea más limpio.                     | 1                           | 2          | 3                              | 4          | 5                        | 9     |
| s. El apoyo de Oro Legal ha contribuido a que utilice menos mercurio en mi actividad de minería                            | 1                           | 2          | 3                              | 4          | 5                        | 9     |

|    |   |   |   |   |   |   |   |
|----|---|---|---|---|---|---|---|
| t. | El apoyo de Oro Legal ha contribuido a manejar mejor los residuos que quedan de mi actividad productiva de minería                | 1 | 2 | 3 | 4 | 5 | 9 |
| u. | El apoyo de Oro Legal para mi actividad de minería ha contribuido a una reducción en mi uso de mercurio                           | 1 | 2 | 3 | 4 | 5 | 9 |
| v. | Quisiera continuar en 5 años con la actividad minera del programa Oro Legal   | 1 | 2 | 3 | 4 | 5 | 9 |
| w. | Si no hubiera más apoyo del programa de Oro Legal, seguiría en el camino a la formalización y legalización de mi actividad minera | 1 | 2 | 3 | 4 | 5 | 9 |

**IX. Información de recontacto**

608. Le agradecemos mucho sus opiniones ¿Quisiera preguntarle si estaría dispuesto en el futuro a volver a colaborar con nosotros?

|    |   |    |    |         |
|----|---|----|----|---------|
| Sí | 1 | No | 2→ | Termine |
|----|---|----|----|---------|

609. Número celular:

**Enc: En caso que cambie de dirección o de número de contacto, nos podría brindar la siguiente información en caso de necesitar recontactarlo?**

Nombre de un familiar con quien viva y número de teléfono

**610.** Nombre

\_\_\_\_\_

**611.** Teléfono o Celular

\_\_\_\_\_

Nombre de un vecino de su vereda o municipio y su número de teléfono que pueda saber dónde podemos encontrarlo.

**612.** Nombre

\_\_\_\_\_

**613.** Teléfono o Celular

\_\_\_\_\_

**CONTROLES FINALES**

| Fecha de la encuesta día /__/__/ Mes /__/__/ Año /2017  |   |                 |               | Hora inicio /__/__: /__/__/ Fin /__/__/ : /__/__/  |                     |           |           |
|---|---|-----------------|---------------|--|---------------------|-----------|-----------|
| Encuestador   |   |                 | Cédula        |  | Supervisor / Cédula |           |           |
| SUPERVISIÓN   |   | HALLAZGO        | RESPONSABLE   | ACCIÓN   | RESPONSABLE         | APROB     | RECHAZ    |
| Monitorización (75%)  | 1 |                 |               |  |                     | 1         | 2         |
| Re-contacto Presencial  | 2 |                 |               |  |                     | 1         | 2         |
| Re-contacto Telefónico  | 3 |                 |               |  |                     | 1         | 2         |
| Revisión en Campo   | 4 |                 |               |  |                     | 1         | 2         |
| Revisión en Crítica   | 5 |                 |               |  |                     | 1         | 2         |
| <b>Notas</b>  |   |                 |               |  |                     |           |           |
| <b>HALLAZGO:</b> 1 Inconsistencia- 2 Datos Ficticios- 3 Pregunta faltante <b>ACCIÓN:</b> 5 Anular- 6 Verificar- 7 Recuperar- 8 Devolver a Campo <b>APROBADO/RECHAZADO</b> |   |                 |               |  |                     | Verificad | Codificad |
| Verificación de Crítica   | 6 | <b>HALLAZGO</b> | <b>ACCIÓN</b> |  |                     |           |           |
| <b>HALLAZGO:</b> 1 Omisión código - 2 Código errado - 3 Omisión de crítica  |   |                 |               | <b>ACCIÓN:</b> 1 Asignar código - 2 Corregir - 3 Revisión pases/Revisión campos - 7 Otro |                     |           |           |



# **USAID/Colombia Artisanal Gold Mining Activity (Oro Legal)**

## **Mid-Term Performance Evaluation**

**Draft Work Plan**

**April 2018**

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## List of Acronyms

|              |   |
|--------------|---|
| ASM          | Artisanal and Small-Scale Miners Au Gold  |
| BioREDD+     | USAID/Colombia Biodiversity – Reduced Emissions from Deforestation and Forest Degradation Program |
| CAR          | Autonomous Regional Corporation   |
| CC           | Community Council   |
| CDCS         | Country Development Cooperation Strategy  |
| CORANTIOQUIA | Autonomous Regional Corporation for Central Antioquia   |
| CORNARE      | Autonomous Regional Corporation of the Negro and Nare River Basins                                |
| EQ           | Evaluation Question   |
| GOC          | Government of Colombia  |
| IR           | Intermediate Result   |
| KII          | Key Informant Interview   |
| MADS         | Ministry of Environment and Sustainable Development   |
| MME          | Ministry of Mines and Energy  |
| MPU          | Mining Production Unit  |
| NGO          | Non-Governmental Organization   |
| SOW          | Scope of Work   |
| TOC          | Theory of Change  |

## I. Summary

|                            |  |
|----------------------------|--|
| <b>Work Plan Title</b>     | Colombia Artisanal Gold Mining Activity (Oro Legal): Mid-Term Performance Evaluation |
| <b>USAID POCs</b>          | Omar Lopez, Project Development Specialist M&E<br>Emily Waytoti, COR Oro Legal       |
| <b>MSI/EVAL Supervisor</b> | Daniel Nowicki and María Isabel Agudelo  |
| <b>Start Date</b>          | o/a March 1 2018   |
| <b>End Date</b>            | o/a July 27 2018   |

## 2. Introduction

### Evaluation Purpose

The purpose of this performance mid-term evaluation is to assess the Artisanal Gold Mining Activity (Oro Legal), and provide information and analysis on the activity's advancement of its objectives: 1) Building effective governance capacity for gold mining activities via: (a) Strengthening Colombian government capacity to enforce gold mining legislation; (b) Enhancing the participation of artisanal gold mining associations and Afro Colombian and indigenous communities in mining formalization programs; and (c) Providing training and technical assistance to artisanal miners; and 2) Increasing the capacity of Colombian Government (GOC) entities to address the environmental impact caused by illegal mining through: (a) Reforestation of degraded areas; (b) Generating alternative livelihoods for communities that cannot or should not be involved in gold mining, and (c) Improve drinking water quality in mining areas. The evaluation findings, conclusions, and recommendations will be used by USAID/Colombia and Oro Legal implementing partner (IP) to improve the activity's current and future implementation, and programming, as well as support accountability among stakeholders. To the extent possible, the final performance evaluation design should resemble the evaluation design developed for the midterm evaluation. The primary audience for this evaluation is USAID/Colombia and Oro Legal.

### Project Background

Totalling almost \$20 million, Oro Legal is a five-year project implemented by Chemonics since September 2015. This activity promotes responsible legal mining, alternative livelihoods, and environmental rehabilitation. The activity has two main purposes: 1) Building effective governance capacity for gold mining activities, and 2) Increasing the capacity of Colombian government entities to address the environmental impact caused by illegal mining. Oro Legal is a follow-on program from the mining component of the previous USAID/Colombia BioREDD+ activity implemented by Chemonics from July 2013 to May 2015.

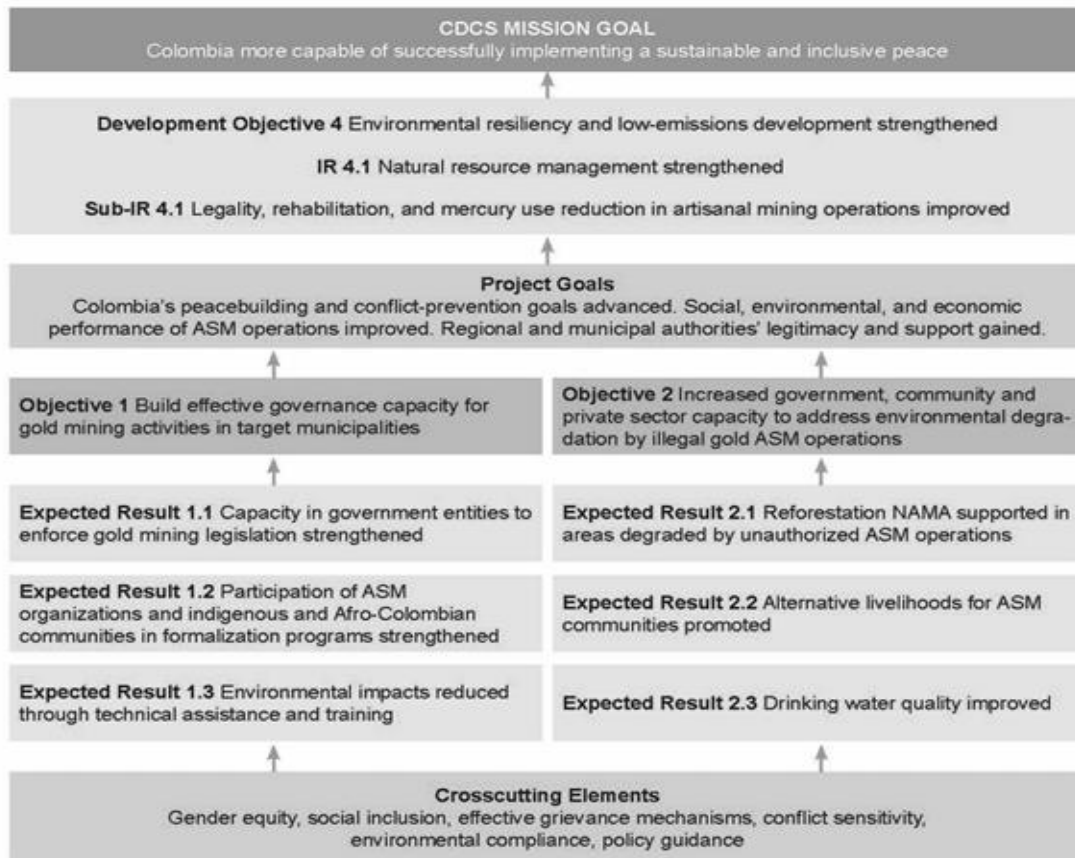
In 2016, illegal gold mining was responsible for the vast majority of Colombia’s gold production. Byproducts of unregulated mining, like deforestation and mercury contamination, pose a threat to public and environmental health. In addition, the national government loses tens of millions of dollars in tax revenue every year because illegal mining activities do not declare their profits. Since 2006, illegal gold mining has increased by more than 300%, outstripping the government’s capacity to effectively monitor and regulate the sector. Oro Legal, USAID’s largest and most ambitious artisanal gold mining activity, will aid the Government of Colombia by strengthening their capacity to enforce gold mining legislation and address environmental impacts.

**Development Hypothesis**

The Theory of Change (TOC) underlying the Oro Legal activity is that by strengthening the GOC’s capacity to effectively manage gold mining and address environmental damages, social, environmental, and economic performance of gold mining operations will be improved, thereby supporting the Government of Colombia to create a sustainable and inclusive peace.

The results framework guides Oro Legal’s approach to implementing USAID’s vision for the activity and is linked directly to USAID/Colombia Country Development Cooperation Strategy (CDCS) 2014-2018. It incorporates crosscutting responses to tasks, including a differentiated approach to gender inequity and vulnerable populations.

**Table. Oro Legal Results Framework**



\*ASM: Artisanal and Small-Scale Miners. NAMA: Nationally Appropriate Mitigation Actions.

Based on the objectives set forth in the Results Framework, Oro Legal developed four main lines of work divided in two components:

- **Promote Sustainable Rural Development**
  - Mining Legalizations and Formalization
  - Alternative Livelihoods
- **Promote Environmental Rehabilitation**
  - Rehabilitation of Degraded Lands
  - Mercury Elimination<sup>95</sup>

The results framework also takes into consideration various underlying assumptions and external factors that could influence the extent to which the activity's objectives are accomplished.

#### **Underlying Assumptions:**

- The security situation in target municipalities is conducive to implementation.
- The GOC continues supporting Oro Legal objectives through the implementation of policies and legal reforms conducive to responsible artisanal mining.
- There are a sufficient number of Mining Product Units in the defined geographies, able and willing to become legal and formal.
- Cooperation and goodwill between key partners is maintained: GOC, municipal administrations, mining associations, and private mining companies, etc.

#### **External Factors:**

- Fluctuation in gold prices, which affects miner earnings and provides incentives/disincentives for operators to enter or exit this activity.
- The opportunity cost to mining of prices of alternate goods and services that produce returns on investment for private investors, and returns to labor and investment for small-scale miners, affecting the decision to mine.

## **3. Evaluation Design**

### **Evaluation Questions**

The evaluation team will answer the following Evaluation Questions (EQs) outlined in the evaluation Scope of Work (SOW). The EQs are:

---

<sup>95</sup> EVAL will not be evaluating the Mercury Elimination component as it is not included in the mid-term evaluation scope of work.

- 1) **EQ1. Peace Accords:** What are the contributions of Oro Legal to sustainable rural development in support of CDCS Mission Goal<sup>96</sup> and GOC and FARC peace accords (as per chapters 1 on sustainable rural development and 4 on illicit crops) in its targeted geography?
- 2) **EQ2. Governance and Policy:** To what extent is Oro Legal reaching its objectives of strengthening Colombian regional mining and environmental governance and policies?
- 3) **EQ3. Formalization:** Are Oro Legal formalization activities promoting responsible mining? What are the barriers and incentives for this process? If successful, what are the opportunities and challenges for replication and scaling up? One of the factors that must be addressed for this question is land property.
- 4) **EQ4. Reforestation:** Are the Oro Legal reforestation and rehabilitation models viable and sustainable from a profit and local governance perspective? What are the potential and barriers to replication and scaling up?
- 5) **EQ5. Value Chain Livelihoods:** What are the perceptions of beneficiaries and the most important incentives of undertaking targeted value chain production as a licit economic alternative in the zones of Oro Legal interventions? What are the value chain producers' perspectives on how the alternative livelihoods offered by Oro Legal may affect their income? What is the market potential and barriers to replication and scaling up the honey and annatto value chain models? What are the comparative cost and earnings data to compare financial aspects between staying in existing business (illegal mining) versus licit alternatives (legal mining or productive activities)?

EVAl developed an Evaluation Design Matrix to outline how these questions are to be answered. The matrix lists each evaluation question, data sources, methodologies to be employed, limitations and assumptions, and what the question will likely provide to the evaluation team. The Evaluation Design Matrix is included as Annex II.

### Evaluation Methodology Summary

|                        |   |
|------------------------|---|
| <b>Objective</b>       | Answer the five evaluation questions to determine Oro Legal's performance.  |
| <b>Coverage</b>        | Sample of 17 municipalities in Antioquia (11) and Chocó (6)   |
| <b>Deliverables</b>    | <ul style="list-style-type: none"> <li>• Mid-term evaluation report and annexes</li> <li>• Presentation of findings to USAID and Oro Legal</li> <li>• Survey and interview instruments and datasets</li> <li>• Quantitative indicators matrix disaggregated by activity and geography</li> </ul>  |
| <b>Data Collection</b> | <ul style="list-style-type: none"> <li>• Desk review of Oro Legal documents and other pertinent information</li> <li>• Survey of program beneficiaries</li> <li>• Interviews with large mining companies</li> <li>• Interviews with Oro Legal value chain technical specialists (annatto and honey) and acacia</li> <li>• Interviews with Oro Legal leadership and USAID</li> <li>• Interviews with governmental authorities</li> <li>• Interviews with leaders of Productive Mining Units</li> </ul> |

<sup>96</sup> "Colombia more capable of successfully implementing a sustainable and inclusive peace".

|                 |   |
|-----------------|---|
|                 | <ul style="list-style-type: none"> <li>• Interviews with buyers and possible investors</li> <li>• Interviews with local leaders of Oro Legal value chains (annatto and honey) and acacia</li> </ul>   |
| <b>Analysis</b> | <ul style="list-style-type: none"> <li>• Quantitative analysis of survey results (mostly descriptive statistics and correlations disaggregated by activity, gender and geography where useful)</li> <li>• Qualitative analysis of interviews using Atlas.ti coding, (disaggregated by activity, gender and geography where useful)</li> <li>• Findings, conclusions and recommendations workshop</li> </ul> |

## Data Collection Summary

EVAL will conduct both qualitative interviews and a quantitative survey to inform evaluation findings. Data collection instruments are below in **Annex VII**.

### Geography of data collection

The municipalities will be chosen taking into account the following criteria: the quantitative instrument (interviews) will be applied for a representative sample of beneficiaries in municipalities where the program is implementing one or more projects. In municipalities where there is not program activities developed, the ET will use the qualitative instrument (interviews).

### Key-Informant Interviews

EVAL will conduct approximately 50-70 interviews with key Oro Legal stakeholders. For a full list of institutions and groups from which we expect to select the key stakeholders, see **Annex VI**.

### Survey

EVAL will conduct a survey of a representative sample.

### Evaluation Phases

To conduct this evaluation, the evaluation team has identified three phases: 1) Planning, 2) Fieldwork, and 3) Analysis and Reporting.

#### Phase I: Planning

- **Initial meetings with Oro Legal and USAID:** The evaluation team will meet with Oro Legal and USAID to ask clarifying questions to better understand how Oro Legal functions and what information is available to answer the evaluation questions.
- **Document review:** The evaluation team will conduct a desk review of documents relevant to the evaluation, including both those outlined in the SOW and others where necessary. A full list of the documents referenced can be found in **Annex IV**.
- **Team Planning Meeting:** All team members will meet to discuss the evaluation questions, understand the evaluation design and begin work plan and instrument development.

- **Work plan:** The evaluation team will finalize a work plan that includes a comprehensive methodological approach and deliverables timeline. A draft work plan will be submitted to USAID for their review.
- **Evaluation instruments:** Draft instruments will be developed based on the methodological approach outlined in the work plan. All instruments will be approved by USAID prior to commencing fieldwork.

## Phase II: Field Work

- **Coordination with Oro Legal:** Oro Legal has offered to accompany interviewers to field sites to reduce the attrition rate of interviewees due to discomfort with the evaluation team. Oro Legal will not be present during the interviews. The evaluation team will independently select all interviewees based on their participation in and knowledge of Oro Legal activities. EVAL may opt to conduct interviews without prior Oro Legal coordination when it is in the best interest of the evaluation.
- **Key Informant Interviews:** The evaluation team will conduct face-to-face interviews with USAID/Colombia, Oro Legal leadership, and project beneficiaries. These interviews are discussed in more detail in the Data Collection Summary section.
- **Beneficiary Survey:** The evaluation team will conduct a survey of program value chain and mining beneficiaries. The survey is discussed in more detail in the Data Collection Summary section.
- **Field Reports:** EVAL will receive weekly field reports from the KII and survey teams, which will be relayed to USAID as necessary. All significant security updates will be transmitted to USAID as soon as it is received by the EVAL team.

## Phase III: Analysis and Reporting

- **Qualitative Analysis: Transcription, Coding, and Workshop:** All interviews will be recorded, when possible, and recordings will be sent to CNC for transcription. Once transcribed, the transcriptions will be analyzed using Atlas.ti software. Interviews will be analyzed according to a set of “codes” that refer to themes in the evaluation questions and other pertinent categories, enabling transversal analysis across all interviews to detect patterns in responses. After initial results are distilled, EVAL will conduct a qualitative findings, conclusions and recommendations workshop before finalizing the draft report.
- **Quantitative Analysis: Database Verification, Statistical Analysis, and Workshop:** Field data collectors will use electronic tablets to record survey responses. Data captured in this manner will be sent electronically to CNC’s database, where the data will be verified and cleaned. Once all data has been gathered and cleaned, data will be analyzed. After initial results are distilled, EVAL will conduct a quantitative findings, conclusions and recommendations workshop before finalizing the draft report.
- **Draft Report:** The draft report writing will begin during data collection. Writing will begin in earnest once qualitative and quantitative data collection are completed. Survey and KII results will be compared to triangulate responses to the evaluation questions. Conclusions and recommendations will be finalized once the qualitative and quantitative workshops are completed. The report will be sent to USAID for their feedback.
- **Presentation:** EVAL will prepare the presentation once the draft report has been completed. The presentation will be sent to USAID at least 24 hours beforehand for review.

- **Final Report:** The final report will be completed once EVAL receives comments from USAID on the draft report.

## Evaluation Design Limitations

1. **Data on the total universe of MPUs is likely incomplete, which may lead to underestimating the sample size for the survey and other analytical knock-on effects that could limit the generalizability of the quantitative evaluation findings.**

**Issue:** EVAL has been unable to ascertain the total number of MPUs working with Oro Legal. The evaluation team received names of 86 MPU leaders, but none have telephone numbers. In addition, it remains unclear if these 86 MPUs comprise the total universe of Oro Legal beneficiaries or if it is a small subset. Therefore, calculating a statistically significant sample size is a guessing game that may make the quantitative results ungeneralizable to the universe of Oro Legal MPU beneficiaries.

**Mitigation measure:** EVAL has asked Oro Legal for additional clarification on the total universe of MPU beneficiaries. In addition, this work plan will be discussed with Oro Legal to ensure that the evaluation team has full knowledge of all Oro Legal beneficiaries before beginning fieldwork.

2. **Attrition of respondents between the midline and the final evaluations may limit the explanatory power of the final evaluation.**

**Issue:** Survey respondents must be tracked between the midline and final performance evaluations in order to measure overall program impact. Attrition of the midline group at the time of the final evaluation will require replacement respondents. The explanatory power of the findings of the evaluation may be reduced if the attrition reaches significant levels.

**Mitigation measure:** CNC estimates that the survey will not suffer significant reductions in explanatory power if 80% of the sample can be successfully re-contacted at the time of the final performance evaluation. In addition, the survey instrument included several questions (like neighbor contact information, other means of reaching the respondent, names of family members, etc.) to minimize respondent attrition in the follow-up.

3. **Other second-order issues:**

**Acquiescence response bias<sup>97</sup>:** Beneficiaries and key informants may be more positive in their responses because of a general tendency to avoid saying “no”. **Mitigation strategy:** Avoid questions whose answers are yes/no or true/false binaries and instead use a spectrum of answers to allow for more gradients of satisfaction.

**Security:** The security situation in Bajo Cauca Antioqueño, and Tarazá in particular, is highly volatile. Interviewers may have trouble accessing the territory because of threats and violence by illegal armed groups and other security problems. **Mitigation strategy:** In cases where interviewers cannot access municipalities because of insecure conditions, interviews will (to the extent possible) be conducted by telephone. Telephone interviews may have higher rates of attrition than face-to-face interviews. In addition, interviewees are more likely to respond

<sup>97</sup> <https://www.qualtrics.com/blog/avoiding-the-yes-bias/>.

truthfully in a face-to-face interview than in a telephone interview.<sup>98</sup> However, telephone interviews will only be conducted for a small number of respondents as a last resort.

## 4. Evaluation Activities and Tasks

The evaluation will take place over 21 weeks. In that time, the evaluation team will complete this work plan, develop a fieldwork strategy, collect data, analyze findings and prepare the presentation and written report. A detailed list of all tasks and deliverables can be found in **Annex III**.

## 5. Deliverables

**Work plan and field instruments.** The evaluation team will submit a draft work plan to USAID that includes a detailed evaluation design and the evaluation timeline. The evaluation team will receive feedback from USAID and incorporate their comments into a final version.

**Draft evaluation report.** The evaluation team will present and submit to USAID a draft evaluation report including findings, conclusions, recommendations, best practices and lessons learned for USAID’s review, discussion, and feedback.

**Evaluation presentation.** The evaluation team will conduct a final presentation of the findings and recommendations of the final report. The evaluation team will discuss the summary of findings and recommendations with USAID, the evaluation contractor and other key stakeholders identified by USAID. The presentation will be scheduled as agreed upon with USAID.

**Final report.** The evaluation team will submit the final mid-term evaluation report no later than two weeks after comments are received from USAID.

**Annexes.** The evaluation team will submit to USAID all the technical documentation developed for this evaluation. This will include a list of data sources, the evaluation SOW, signed Conflict of Interest forms, the evaluation work plan, an findings conclusions and recommendations matrix, a key indicators table disaggregated gender, value chain and location, instruments, and other documents as necessary.

| Deliverable                              | Estimated Due Date       |
|--|--------------------------|
| 1. Draft work plan and field instruments | <i>o/a</i> April 27 2018 |
| 2. Final work plan and field instruments | <i>o/a</i> May 8 2018    |
| 3. Draft evaluation report               | <i>o/a</i> July 13 2018  |
| 4. Evaluation presentation               | <i>o/a</i> July 20 2018  |
| 5. Final evaluation report               | <i>o/a</i> July 27 2018  |

<sup>98</sup> <https://www.sciencedirect.com/science/article/pii/S2212977413000331>.

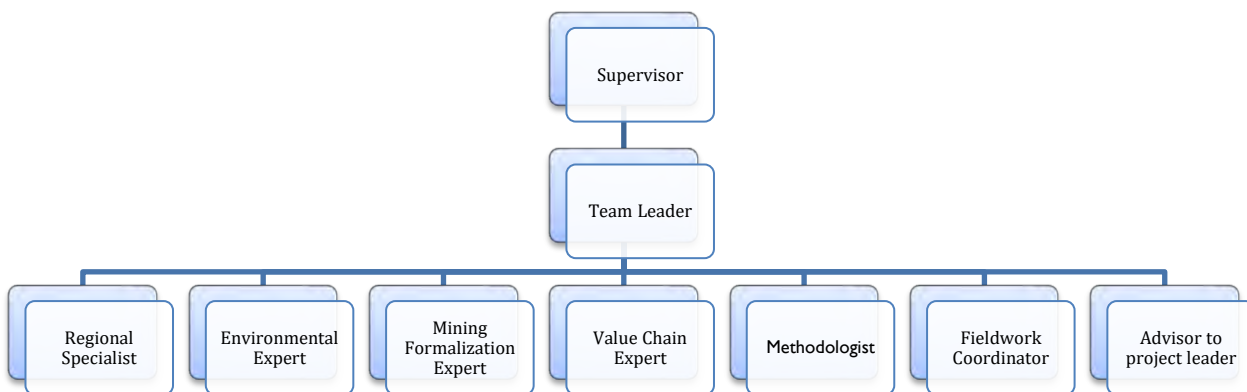
| Deliverable | Estimated Due Date |
|-------------|--------------------|
| 6. Annexes  | o/a July 27 2018   |

*Note: USAID will approve the work plan and field instruments prior to commencement of fieldwork.*

## 6. Team Composition and Roles

The core team for this evaluation will consist of one Team Leader, one regional specialist, and three subject matter experts. This core team will be supported by a project advisor and the fieldwork coordinator. The Team Leader will be the liaison between the evaluation team and the supervisor, and the Supervisor will be the liaison between EVAL and USAID. The Team Leader will oversee the team's progress towards the required deliverables.

### Organigram of the Evaluation Team



**Supervisor:** Daniel Nowicki

**Team Leader:** Maria Isabel Agudelo

**Regional Specialist:** Luis David Giraldo

**Value Chain Expert:** Miguel Fadul

**Environmental Expert:** Margarita Torres

**Mining Formalization Expert:** Delsy Ospina

**Methodologist:** Carlos Castañeda

**Fieldwork Coordinator:** Juan Camilo Cristancho

**Advisor to Project Leader:** Martha Trujillo

## MANDATORY REFERENCE FOR ADS CHAPTER 201

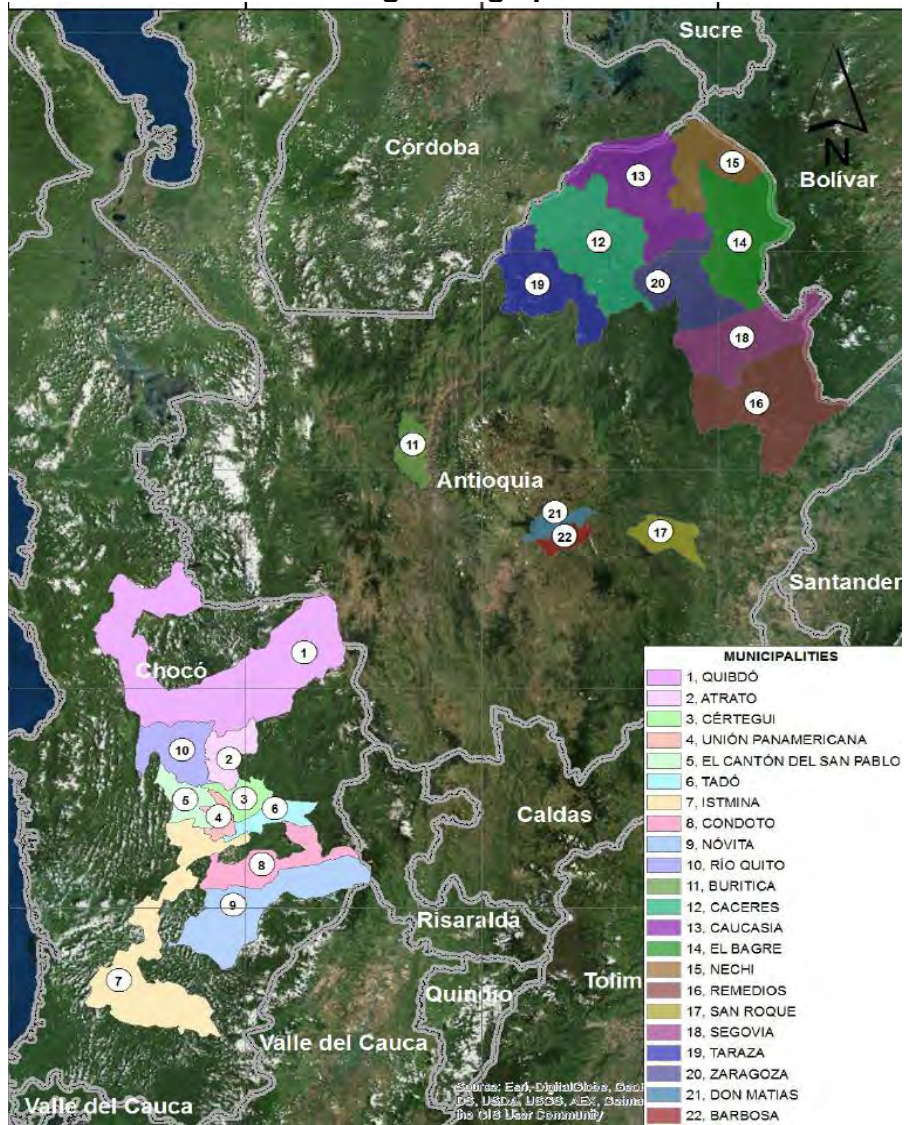
### CRITERIA TO ENSURE THE QUALITY OF THE EVALUATION REPORT

Pursuant to 201.3.5.17, draft evaluation reports must undergo a peer review organized by the office managing the evaluation. The following criteria should serve as the basis against which the report is reviewed. To help ensure a high-quality evaluation report, these criteria must be included in the evaluation SOW to communicate to evaluators USAID's quality criteria.

- Evaluation reports should represent a thoughtful, well-researched, and well-organized effort to objectively evaluate the strategy, project, or activity.
- Evaluation reports should be readily understood and should identify key points clearly, distinctly, and succinctly.
- The Executive Summary of an evaluation report should present a concise and accurate statement of the most critical elements of the report.
- Evaluation reports should adequately address all evaluation questions included in the SOW, or the evaluation questions subsequently revised and documented in consultation and agreement with USAID.
- Evaluation methodology should be explained in detail and sources of information properly identified.
- Limitations to the evaluation should be adequately disclosed in the report, with particular attention to the limitations associated with the evaluation methodology (selection bias, recall bias, unobservable differences between comparator groups, etc.).
- Evaluation findings should be presented as analyzed facts, evidence, and data and not based on anecdotes, hearsay, or simply the compilation of people's opinions.
- Findings and conclusions should be specific, concise, and supported by strong quantitative or qualitative evidence.
- If evaluation findings assess person-level outcomes or impact, they should also be separately assessed for both males and females.
- If recommendations are included, they should be supported by a specific set of findings and should be action-oriented, practical, and specific.

# Annexes

**Annex I Oro Legal Geographical Location**



**Departamento de Antioquia**

- 1. Barbosa
- 2. Buriticá
- 3. Cáceres
- 4. Caucasia
- 5. Don Matias
- 6. El Bagre
- 7. Nechí
- 8. Remedios
- 9. San Roque
- 10. Segovia

11. Tarazá
12. Zaragoza

Departamento de Chocó

1. Atrato (Yuto)
2. Cértegui
3. Condoto
4. El Cantón San Pablo
5. Istmina
6. Nóvita
7. Quibdó
8. Río Quito,
9. Tadó
10. Unión Panamericana

## Annex II Evaluation Design Matrix

| EQ  | Information Required and Sources   | Scope and Methodology  | Limitations and Assumptions  | What the Evaluation will likely provide to the Evaluation Team   |
|---|--|--|--|--|
| <p>EQ1: What are the contributions of Oro Legal to sustainable rural development in support of CDCS Mission Goal<sup>99</sup> and GOC and FARC peace accords (as per chapters I on sustainable rural development and 4 on illicit crops) in its targeted geography?</p> | <ul style="list-style-type: none"> <li>• Peace accords and other documents related</li> <li>• USAID, Oro Legal and government officials interviews</li> <li>• EVAL Context Indicators</li> <li>• Data derived from secondary sources such as Colombian drug observatory, Productive chains documents-Ministry of Agriculture and Rural Development</li> <li>• Information from beneficiaries surveys and interviews</li> <li>• MEL Plans and Quarterly Reports and mods</li> <li>• Monitor web-based Information System</li> </ul> | <ul style="list-style-type: none"> <li>• Desk review</li> <li>• Context analysis at the national, departmental, and municipal levels</li> <li>• Survey and interview results</li> <li>• Results and conclusions of EQ</li> </ul> | <ul style="list-style-type: none"> <li>• Security concerns.</li> <li>• If base-line data is not available, it will be difficult to assess contribution to sustainable rural development.</li> <li>• The field work will be accomplished during Colombian Presidential elections</li> <li>• Veracity in obtaining information by surveys</li> <li>• Sustainability of an intervention can only be verified ex-post</li> </ul> | <p>The ET seeks to determine whether the projects that offer a source of income in legal activities and the support for the culture of legality in mining activities has contributed to improve economic and social conditions to achieve sustainable and inclusive rural development and support the substitution of illicit crops.</p> |

<sup>99</sup> “Colombia more capable of successfully implementing a sustainable and inclusive peace”.

| EQ  | Information Required and Sources   | Scope and Methodology  | Limitations and Assumptions  | What the Evaluation will likely provide to the Evaluation Team  |
|---|--|--|--|---|
| EQ2: To what extent is Oro Legal reaching its objectives of strengthening Colombian regional mining and environmental governance and policies?  | <ul style="list-style-type: none"> <li>• Gold Exploitation Documents</li> <li>• Projects documents, MEL plan, quarterly and annual reports,</li> <li>• Government policy and documents on Mining Formalization</li> <li>• Nacional, Department and Municipal Government representatives interviews</li> <li>• Beneficiaries and stakeholders interviews</li> <li>• Monitor web-based Information System</li> </ul> | <ul style="list-style-type: none"> <li>• Desk Review</li> <li>• Context analysis</li> <li>• Stakeholder interviews results (DATLAS.TI)</li> <li>• Beneficiaries surveys results</li> </ul>   | <ul style="list-style-type: none"> <li>• Security concerns in mining zones</li> <li>• Veracity in obtaining information by surveys</li> <li>• No baseline data</li> <li>• Limited local mining and environmental indicators may not match local indicators</li> <li>• The field work will be accomplished during Colombian Presidential elections</li> </ul> | <p>The ET will determine if the activities of the Program have strengthened the mining institutions and, at the same time, have supported the miners in their relationship with the authorities.</p>  |
| EQ3: Are Oro Legal formalization activities promoting responsible mining? What are the barriers and incentives for this process? If successful, what are the opportunities and challenges for replication and scaling up? One of the factors that must be | <ul style="list-style-type: none"> <li>• Projects documents, MEL plan, quarterly and annual reports,</li> <li>• Government policy and documents on Mining Formalization</li> <li>• Colombian Mining Legislation</li> <li>• Oro Legal's information, databases, documents and interviews.</li> </ul>  | <ul style="list-style-type: none"> <li>• Desk review</li> <li>• Survey and interviews</li> <li>• Context analysis</li> <li>• KIs with GOC, CCs, Title holders</li> <li>• System's analysis</li> <li>• Economic assessment</li> </ul> | <ul style="list-style-type: none"> <li>• Security concerns.</li> <li>• Reachability of illegal miners may be difficult</li> <li>• Base-line data is available.</li> <li>• Reachability of MPUs</li> <li>• Illegal mining is associated with other illegal practices, hence difficult to access miners</li> </ul>   | <p>The ET seeks to know the incentives, motivations and barriers faced by the miners in the formalization process, to know if Oro Legal's intervention has facilitated this process.</p> <p>Knowing the experience from the point of view of the miners and the authorities, will allow the</p> |

| EQ   | Information Required and Sources  | Scope and Methodology   | Limitations and Assumptions  | What the Evaluation will likely provide to the Evaluation Team   |
|--|---|---|--|--|
| addressed for this question is land property.  | <ul style="list-style-type: none"> <li>• Local Government entities (Environmental Organizations, Local governments) interviews</li> <li>• Beneficiaries, private companies, USAID (documents, survey and interviews).</li> <li>• Monitor web-based Information System</li> </ul>  |   |  | ET to give comprehensive recommendations to the program.   |
| EQ4: Are the Oro Legal reforestation and rehabilitation models viable and sustainable from a profit and local governance perspective? What are the potential and barriers to replication and scaling up? | <ul style="list-style-type: none"> <li>• Reforestation and rehabilitation indicators</li> <li>• Productive chains documents/Forest Chain-Ministry of Agriculture and Rural Development</li> <li>• Beneficiaries, Government officials, USAID, Oro Legal,</li> <li>• Grants documents, agreements and MOU</li> <li>• Monitor web-based Information System</li> </ul> | <ul style="list-style-type: none"> <li>• Desk review</li> <li>• Economic assessment</li> <li>• Information from Beneficiaries Survey</li> <li>• Environmental assessment</li> </ul> | <ul style="list-style-type: none"> <li>• Security concerns.</li> <li>• Participants may not want to share financial information.</li> <li>• Base-line data may be difficult to find in terms of governance</li> <li>• Difficulty of knowing the financial/economic results for a short time of evaluation of the project</li> <li>•</li> </ul> | The ET will determine the farmers, rural workers, and rural land owner motivations to participate in reforestation projects for environmental and economic purposes. Knowing how the beneficiaries have solved the problem of income generation in the short term and if the Project is profitable and sustainable in market conditions, the ET will be able to make recommendations of scalability and replication. |

| EQ  | Information Required and Sources  | Scope and Methodology  | Limitations and Assumptions  | What the Evaluation will likely provide to the Evaluation Team  |
|---|---|--|--|---|
| <p>EQ5: What are the perceptions of beneficiaries and the most important incentives of undertaking targeted value chain production as a licit economic alternative in the zones of Oro Legal interventions? How has beneficiary income changed as a result of Oro Legal alternative livelihoods programs? What is the market potential and barriers to replication and scaling up the honey and annatto value chain models? What are the comparative cost and earnings data to compare financial aspects between staying in existing business (illegal mining) versus licit alternatives (legal mining or productive activities)?</p> | <ul style="list-style-type: none"> <li>• Productive chains documents/Bees and beekeeping Chain-Ministry of Agriculture and Rural Development</li> <li>• Management Information System and Performance of Chain Organizations SIOC-MADR</li> <li>• BIOREDD+ Documents</li> <li>• Ministry of Commerce, Industry and Tourism documents</li> <li>• Beneficiaries and honey and annatto experts surveys and interviews</li> <li>• Economic-Value Chain studies</li> <li>• Local market experts</li> <li>• Project partners</li> <li>• Monitor web-based Information System</li> </ul> | <ul style="list-style-type: none"> <li>• Desk review</li> <li>• Economic assessment</li> <li>• Survey,</li> <li>• Interviews</li> <li>• Value Chain Mapping</li> </ul> | <ul style="list-style-type: none"> <li>• Security concerns.</li> <li>• Accessibility to beneficiaries.</li> <li>• Conducting the survey may be challenging as some participant may not want to share income information</li> </ul> | <p>The ET seeks to analyze the chains of Annatto and Honey from two perspectives: the technical, economic and financial viability of the project and the motivation and incentives from the point of view of the beneficiaries. The two analyzes will identify successes and barriers and make recommendations for replication and scalability.</p> |

### Annex III Tasks and Timeline

| Tasks                                 | March |   |   |   | April |   |   |   |   | May |    |    |    | June |    |    |    | July |    |    | August |    |    |    |    |
|---------------------------------------|-------|---|---|---|-------|---|---|---|---|-----|----|----|----|------|----|----|----|------|----|----|--------|----|----|----|----|
|                                       | 1     | 2 | 3 | 4 | 5     | 6 | 7 | 8 | 9 | 10  | 11 | 12 | 13 | 14   | 15 | 16 | 17 | 18   | 19 | 20 | 21     | 22 | 23 | 24 | 25 |
| <b>Phase 1 (Planning)</b>             |       |   |   |   |       |   |   |   |   |     |    |    |    |      |    |    |    |      |    |    |        |    |    |    |    |
| Evaluation Planning Meeting completed | █     | █ | █ |   |       |   |   |   |   |     |    |    |    |      |    |    |    |      |    |    |        |    |    |    |    |
| Desk Review                           |       |   |   | █ | █     |   |   |   |   |     |    |    |    |      |    |    |    |      |    |    |        |    |    |    |    |
| Draft Work Plan submitted             |       |   |   |   |       |   |   | █ |   |     |    |    |    |      |    |    |    |      |    |    |        |    |    |    |    |
| USAID feedback on draft Work Plan     |       |   |   |   |       |   |   |   | █ |     |    |    |    |      |    |    |    |      |    |    |        |    |    |    |    |
| Final Work Plan and field instruments |       |   |   |   |       |   |   |   |   | █   |    |    |    |      |    |    |    |      |    |    |        |    |    |    |    |
| <b>Phase II (Field Work)</b>          |       |   |   |   |       |   |   |   |   |     |    |    |    |      |    |    |    |      |    |    |        |    |    |    |    |
| Conduct field work                    |       |   |   |   |       |   |   |   |   |     |    | █  | █  | █    | █  |    |    |      |    |    |        |    |    |    |    |
| <b>Phase III (Report Preparation)</b> |       |   |   |   |       |   |   |   |   |     |    |    |    |      |    |    |    |      |    |    |        |    |    |    |    |
| Draft Evaluation Report               |       |   |   |   |       |   |   |   |   |     |    |    |    |      |    |    |    | █    |    |    |        |    |    |    |    |
| Evaluation presentation               |       |   |   |   |       |   |   |   |   |     |    |    |    |      |    |    |    | █    |    |    |        |    |    |    |    |
| Final evaluation report               |       |   |   |   |       |   |   |   |   |     |    |    |    |      |    |    |    |      | █  |    |        |    |    |    |    |
| Annexes                               |       |   |   |   |       |   |   |   |   |     |    |    |    |      |    |    |    |      | █  |    |        |    |    |    |    |

## Annex IV Bibliography

### List of Documents Reviewed

Ley de Mercurio – LEY 1658 DEL 15 DE JULIO DE 2013

Environmental Performance Review Colombia OECD (2014)

Final Performance Evaluation of the BIOREDD+ (Biodiversity – Reduced Emissions from Deforestation and Forest Degradation) Climate Change Component (September 2015)

Gender, Child Labor, and Vulnerable Populations Strategy (October 2015)

Oro Legal Work Plan 2015-2016 (November 2015)

Explotación de oro de aluvión: Evidencias a partir de percepción remota (Junio 2016)

USAID Oro Legal Contract AID-514-C-15-00003 Mod 2 (September 2016)

USAID Oro Legal Contract AID-514-C-15-00003 (September 2016)

Oro Legal Work Plan 2016-2017 (September 2016)

ORO LEGAL Convocatoria anual del programa – APS No. OL-APS-002 (October 2016)

Oro Legal Annual Progress Report FY16 (October 2016)

Oro Legal Quarterly Reports (2016)

Environment Peace Initiative for Colombia (EPIC) Report Q3 FY 2016

Oro Legal MEL Plan (March 2017)

USAID Oro Legal Contract AID-514-C-15-00003 Mod 3 (March 2017)

Oro Legal MEL Plan (October 2017)

Oro Legal Quarterly Reports (2017)

Oro Legal Work Plan 2017-2018 (August 2017)

USAID Oro Legal Contract AID-514-C-15-00003 Mod 4 (December 2017)

Oro Legal Annual Progress Report FY17 (December 2017)

Document Proyecto de Asesoría y Asistencia técnica para la Reducción y Eliminación del uso del Mercurio en Colombia (December 2017)

Notes from Meeting with Oro Legal M&E Specialist (February 2018)

|                                      |
|--------------------------------------|
| Monitor web-based Information System |
| Eval Mining in Afghanistan           |
| USAID Colombia CDCS                  |
| MOUs                                 |

## Annex V List of Possible Participants in KIIs

| Category      | Name of Entity/Organization   |
|---------------|---|
| GOC           | Ministry of Mines & Energy  |
| GOC           | Mining Secretariat for Antioquia                                      |
| GOC           | National Mining Agency  |
| GOC           | Ministry of Environment and Sustainable Development                   |
| GOC           | Ministry of Agriculture and Rural Development                         |
| DEPARTAMENTAL | Gobernación de Antioquia  |
| DEPARTAMENTAL | Gobernación del Chocó   |
| DEPARTAMENTAL | CORANTIOQUIA  |
| DEPARTAMENTAL | CODECHOCO   |
| MUNICIPAL     | National Learning Service (SENA)                                      |
| MUNICIPAL     | Alcaldía de Remedios  |
| MUNICIPAL     | Alcaldía de Buriticá  |
| MUNICIPAL     | Alcaldía de Tarazá  |
| MUNICIPAL     | Alcaldía de Cáceres   |
| MUNICIPAL     | Alcaldía de Zaragoza  |
| MUNICIPAL     | Alcaldía de Nechí   |
| MUNICIPAL     | Alcaldía de Condoto   |
| MUNICIPAL     | Alcaldía de Tadó  |
| CC            | Luis Cano-Puerto Claver-La Bonga-Puerto Lopez                         |
| CC            | FODC  |
| CC            | Asociación de productores agrícolas y pecuarios de Cuturú - ASOCUTURÚ |
| CC            | Asociación apícola abejas y mieles de Carbebias - Carbebias           |
| CC            | El Bagre  |

| <b>Category</b>                  | <b>Name of Entity/Organization</b>           |
|----------------------------------|--|
| CC                               | Taraza                                       |
| CC                               | Asociacion ASOPIBAS – Fundacion Mineros S.A. |
| CC                               | Afrivlevel                                   |
| CC                               | Villa Conto                                  |
| CC                               | San Isidro                                   |
| CC                               | Santo Domingo Boca de Tanando                |
| CC                               | COCOMOPOCA                                   |
| CC                               | ASOAGAUCA                                    |
| MPUs                             | Asogramicauca                                |
| MPUs                             | Rovira S.A.S.                                |
| MPUs                             | Asomit                                       |
| MPUs                             | Are Taraza                                   |
| MPUs                             | Emijom                                       |
| MPUs                             | Sun Valley                                   |
| MPUs                             | Maximiliano Jaraba                           |
| MPUs                             | Nugget                                       |
| MPUs                             | Cocomacoiro                                  |
| MPUs                             | Coomacon                                     |
| MPUs                             | Cocomacer                                    |
| MINING COMPANY<br>(Title holder) | Nugget S.A.S                                 |
| MINING COMPANY<br>(Title holder) | Four Points Mining                           |
| MINING COMPANY<br>(Title holder) | Mineros S.A.                                 |
| MINING COMPANY<br>(Title holder) | Sun Valley                                   |

| Category                         | Name of Entity/Organization |
|----------------------------------|-----------------------------|
| MINING COMPANY<br>(Title holder) | Quintana S.A.S.             |
| MINING COMPANY<br>(Title holder) | Anglogold Achanti           |
| MINING COMPANY<br>(Title holder) | Continental Gold            |
| MINING COMPANY<br>(Title holder) | Gran Colombia Gold          |

## ANNEX 9. CONFLICT OF INTEREST FORMS

### Disclosure of Real or Potential Conflict of Interest for USAID Evaluations

#### Instructions:

*Evaluations of USAID projects will be undertaken so that they are not subject to the perception or reality of biased measurement or reporting due to conflict of interest.<sup>1</sup> For external evaluations, all evaluation team members will provide a signed statement attesting to a lack of conflict of interest or describing an existing conflict of interest relative to the project being evaluated.<sup>2</sup>*

Evaluators of USAID projects have a responsibility to maintain independence so that opinions, conclusions, judgments, and recommendations will be impartial and will be viewed as impartial by third parties. Evaluators and evaluation team members are to disclose all relevant facts regarding real or potential conflicts of interest that could lead reasonable third parties with knowledge of the relevant facts and circumstances to conclude that the evaluator or evaluation team member is not able to maintain independence and, thus, is not capable of exercising objective and impartial judgment on all issues associated with conducting and reporting the work. Operating Unit leadership, in close consultation with the Contracting Officer, will determine whether the real or potential conflict of interest is one that should disqualify an individual from the evaluation team or require recusal by that individual from evaluating certain aspects of the project(s).

In addition, if evaluation team members gain access to proprietary information of other companies in the process of conducting the evaluation, then they must agree with the other companies to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.<sup>3</sup>

#### Real or potential conflicts of interest may include, but are not limited to:

1. Immediate family or close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.
2. Financial interest that is direct, or is significant/material though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.
3. Current or previous direct or significant/material though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.
4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.
5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.
6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.

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<sup>1</sup> USAID Evaluation Policy (p. 8); USAID Contract Information Bulletin 99-17; and Federal Acquisition Regulations (FAR) Part 9.5, Organizational Conflicts of Interest, and Subpart 3.10, Contractor Code of Business Ethics and Conduct.

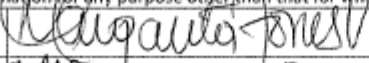
<sup>2</sup> USAID Evaluation Policy (p. 11)

<sup>3</sup> FAR 9.505-4(b)

Disclosure of Conflict of Interest for USAID Evaluation Team Members

|   |  |
|---|--|
| Name  | MARGARITA TORRES VILLEGAS,   |
| Title   | EXPERTO AMBIENTAL  |
| Organization  | EVAC.  |
| Evaluation Position?  | <input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member |
| Evaluation Award Number (contract or other instrument)  | TO 26; AID-514-C-13-00003  |
| USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)  | Oro Legal<br>Chemonics International<br>AWARD: AID-514-C-15-00003                    |
| I have real or potential conflicts of interest to disclose.   | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                  |
| <p><b>If yes answered above, I disclose the following facts:</b></p> <p><i>Real or potential conflicts of interest may include, but are not limited to:</i></p> <ol style="list-style-type: none"> <li>1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.</li> <li>2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.</li> <li>3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.</li> <li>4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.</li> <li>5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.</li> <li>6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.</li> </ol> |  |

I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

|           |   |
|-----------|---|
| Signature |  |
| Date      | MAR 20-2018   |

Disclosure of Conflict of Interest for USAID Evaluation Team Members

|   |  |
|---|--|
| Name  | Dalyst Elimej Espina Nieto   |
| Title   | Especialista Mineria.  |
| Organization  | Eva1   |
| Evaluation Position?  | <input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member |
| Evaluation Award Number (contract or other instrument)  | TO 26; AID-514-C-13-00003  |
| USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)  | Oro Legal<br>Chemonics International<br>AWARD: AID-514-C-15-00003                    |
| I have real or potential conflicts of interest to disclose.   | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                  |
| <p><b>If yes answered above, I disclose the following facts:</b></p> <p><i>Real or potential conflicts of interest may include, but are not limited to:</i></p> <ol style="list-style-type: none"> <li>1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.</li> <li>2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.</li> <li>3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.</li> <li>4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.</li> <li>5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.</li> <li>6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.</li> </ol> |  |

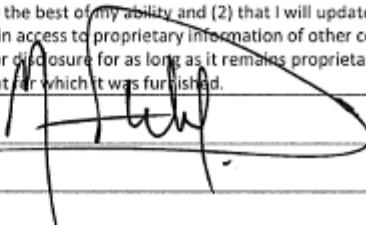
I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

|           |                 |
|-----------|-----------------|
| Signature | Dalyst Espina.  |
| Date      | Marzo 20 / 2018 |

Disclosure of Conflict of Interest for USAID Evaluation Team Members

|   |  |
|---|--|
| Name  | Ruguel Fodul.  |
| Title   | Experto Cadencia de Veloz.   |
| Organization  | EVAL   |
| Evaluation Position?  | <input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member |
| Evaluation Award Number (contract or other instrument)  | TO 26; AID-514-C-13-00003  |
| USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)  | Oro Legal<br>Chemonics International<br>AWARD: AID-514-C-15-00003                    |
| I have real or potential conflicts of interest to disclose.   | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                  |
| <p><b>If yes answered above, I disclose the following facts:</b></p> <p><i>Real or potential conflicts of interest may include, but are not limited to:</i></p> <ol style="list-style-type: none"> <li>1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.</li> <li>2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.</li> <li>3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.</li> <li>4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.</li> <li>5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.</li> <li>6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.</li> </ol> |  |

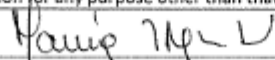
I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

|           |  |
|-----------|--|
| Signature |  |
| Date      | 20/03/2018.  |

Disclosure of Conflict of Interest for USAID Evaluation Team Members

|   |  |
|---|--|
| Name  | Maria Isabel Aguado  |
| Title   | Team leader  |
| Organization  | GUAL   |
| Evaluation Position?  | <input checked="" type="checkbox"/> Team Leader <input type="checkbox"/> Team member |
| Evaluation Award Number (contract or other instrument)  | TO 26; AID-514-C-13-00003  |
| USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)  | Oro Legal<br>Chemonics International<br>AWARD: AID-514-C-15-00003                    |
| I have real or potential conflicts of interest to disclose.   | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                  |
| <p><b>If yes answered above, I disclose the following facts:</b></p> <p><i>Real or potential conflicts of interest may include, but are not limited to:</i></p> <ol style="list-style-type: none"> <li>1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.</li> <li>2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.</li> <li>3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.</li> <li>4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.</li> <li>5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.</li> <li>6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.</li> </ol> |  |

I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

|           |   |
|-----------|---|
| Signature |  |
| Date      | March 20 2018.  |

Disclosure of Conflict of Interest for USAID Evaluation Team Members

|   |  |
|---|--|
| Name  | Daniel Nowicki   |
| Title   | Genist to evaluation   |
| Organization  | EVAL   |
| Evaluation Position?  | <input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member |
| Evaluation Award Number (contract or other instrument)  | TO 26; AID-514-C-13-00003  |
| USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)  | Oro Legal<br>Chemonics International<br>AWARD: AID-514-C-15-00003                    |
| I have real or potential conflicts of interest to disclose.   | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                  |
| <p><b>If yes answered above, I disclose the following facts:</b></p> <p><i>Real or potential conflicts of interest may include, but are not limited to:</i></p> <ol style="list-style-type: none"> <li>1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.</li> <li>2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.</li> <li>3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.</li> <li>4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.</li> <li>5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.</li> <li>6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.</li> </ol> |  |

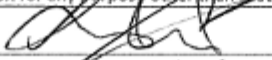
I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

|           |   |
|-----------|---|
| Signature |  |
| Date      | 20 / 03 / 2018  |

Disclosure of Conflict of Interest for USAID Evaluation Team Members

|  |  |
|--|--|
| Name   | Juan Carlos Cristancho   |
| Title  | Coordinador recolección de información   |
| Organization   | EVAI   |
| Evaluation Position?   | <input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member |
| Evaluation Award Number (contract or other instrument)   | TO 26; AID-514-C-13-00003  |
| USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)   | Oro Legal<br>Chemonics International<br>AWARD: AID-514-C-15-00003                    |
| I have real or potential conflicts of interest to disclose.  | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                  |
| <p>If yes answered above, I disclose the following facts:</p> <p><i>Real or potential conflicts of interest may include, but are not limited to:</i></p> <ol style="list-style-type: none"> <li>1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.</li> <li>2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.</li> <li>3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.</li> <li>4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.</li> <li>5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.</li> <li>6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.</li> </ol> |  |

I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

|           |   |
|-----------|---|
| Signature |  |
| Date      | 20/03/2018  |

Disclosure of Conflict of Interest for USAID Evaluation Team Members

|   |  |
|---|--|
| <b>Name</b>   | MARTHA TRUJILLO  |
| <b>Title</b>  | PROJECT ADVISOR  |
| <b>Organization</b>   | EVAL   |
| <b>Evaluation Position?</b>   | <input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member |
| <b>Evaluation Award Number (contract or other instrument)</b>   | TO 26; AID-514-C-13-00003  |
| <b>USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)</b>   | Oro Legal<br>Chemonics International<br>AWARD: AID-514-C-15-00003                    |
| <b>I have real or potential conflicts of interest to disclose.</b>  | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                  |
| <b>If yes answered above, I disclose the following facts:</b><br><i>Real or potential conflicts of interest may include, but are not limited to:</i><br>1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.<br>2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.<br>3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.<br>4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.<br>5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.<br>6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation. |  |


I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

|                  |                 |
|------------------|-----------------|
| <b>Signature</b> | Martha Trujillo |
| <b>Date</b>      | 20/03/18        |

Disclosure of Conflict of Interest for USAID Evaluation Team Members

|   |  |
|---|--|
| <b>Name</b>   | LUIS DAVID GIRALDO S   |
| <b>Title</b>  | ESPECIALISTA EN EVALUACION Y MANEJO DE<br>TERRITORIO                                 |
| <b>Organization</b>   | EVAL   |
| <b>Evaluation Position?</b>   | <input type="checkbox"/> Team Leader <input checked="" type="checkbox"/> Team member |
| <b>Evaluation Award Number (contract or other instrument)</b>   | TO 26, AID-514-C-13-00003  |
| <b>USAID Project(s) Evaluated (Include project name(s), implementer name(s) and award number(s), if applicable)</b>   | Oro Legal<br>Chemonics International<br>AWARD: AID-514-C-15-00003                    |
| <b>I have real or potential conflicts of interest to disclose.</b>  | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                  |
| <b>If yes answered above, I disclose the following facts:</b><br><i>Real or potential conflicts of interest may include, but are not limited to:</i><br>1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.<br>2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.<br>3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.<br>4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.<br>5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.<br>6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation. |  |

I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

|                  |   |
|------------------|---|
| <b>Signature</b> |  |
| <b>Date</b>      | MAR 21 / 2018   |

## ANNEX 10. OTHER DOCUMENTS

### a. Mecanismos de formalización minera en Colombia

#### Ley 685 de 2001

**Área de reserva especial (AREs):** La Autoridad Minera o quien haga sus veces, por motivos de orden social o económico, determinados en cada caso, de oficio o por solicitud expresa de la comunidad minera, en aquellas áreas en donde exista explotaciones tradicionales de minería informal, delimitará zonas en las cuales temporalmente no se admitirán nuevas propuestas, sobre todos o algunos minerales. Su objeto será adelantar estudios geológicos-mineros y desarrollar proyectos mineros estratégicos para el país y su puesta en marcha. En todo caso, estos estudios geológicos-mineros y la iniciación de los respectivos proyectos no podrán tardar más de dos (2) años. La concesión sólo se otorgará a las mismas comunidades que hayan ejercido las explotaciones mineras tradicionales, así hubiere solicitud de terceros. Todo lo anterior, sin perjuicio de los títulos mineros vigentes. (LEY 685 de 2001, Art 31).

**Contrato de operación:** también se conoce como contrato de asociación. Es un contrato o negocio en el que las partes acuerdan de forma privada los términos del contrato, aunque se deben cumplir unos requisitos mínimos. El garante ante la autoridad minera es el beneficiario del título, que no puede ceder sus responsabilidades a otra persona (Ley 685 de 2001)

**Subcontrato de formalización:** Los explotadores mineros de pequeña escala o pequeños mineros, que realicen actividades de explotación dentro de las áreas otorgadas a un tercero mediante título minero, podrán con previa autorización de la autoridad minera, firmar subcontratos de formalización minera con el titular de dicha área, para continuar realizando su explotación por un periodo no inferior a cuatro años, que pueda ampliarse. (Decreto 480, 2014, Ley 1658 de 2013).

**Área de reserva especial (AREs):** La Autoridad Minera o quien haga sus veces, por motivos de orden social o económico, determinados en cada caso, de oficio o por solicitud expresa de la comunidad minera, en aquellas áreas en donde exista explotaciones tradicionales de minería informal, delimitará zonas en las cuales temporalmente no se admitirán nuevas propuestas, sobre todos o algunos minerales. Su objeto será adelantar estudios geológicos-mineros y desarrollar proyectos mineros estratégicos para el país y su puesta en marcha. En todo caso, estos estudios geológicos-mineros y la iniciación de los respectivos proyectos no podrán tardar más de dos (2) años. La concesión sólo se otorgará a las mismas comunidades que hayan ejercido las explotaciones mineras tradicionales, así hubiere solicitud de terceros. Todo lo anterior, sin perjuicio de los títulos mineros vigentes. (LEY 685 de 2001, Art 31).

**Contrato de operación:** también se conoce como contrato de asociación. Es un contrato o negocio en el que las partes acuerdan de forma privada los términos del contrato, aunque se deben cumplir unos requisitos mínimos. El garante ante la autoridad minera es el beneficiario del título, que no puede ceder sus responsabilidades a otra persona (Ley 685 de 2001)

**Subcontrato de formalización:** Los explotadores mineros de pequeña escala o pequeños mineros, que realicen actividades de explotación dentro de las áreas otorgadas a un tercero mediante título minero, podrán con previa autorización de la autoridad minera, firmar subcontratos de formalización minera con el titular de dicha área, para continuar realizando su explotación por un periodo no inferior a cuatro años, que pueda ampliarse. (Decreto 480, 2014, Ley 1658 de 2013).



b. Documentos Programa Oro Legal - Comunicaciones Líder de Legalización.  
Programa Oro Legal

MENSAJE I:

----- Mensaje reenviado -----

De: Beatriz Duque Montoya <[bduque@orolegal.org](mailto:bduque@orolegal.org)>

Fecha: 6 de julio de 2018, 17:53

Asunto: RV: Acta reunión Articulación Oro Legal

Para: "María Isabel Agudelo Valencia ([magudelovalencia@gmail.com](mailto:magudelovalencia@gmail.com))"

<[magudelovalencia@gmail.com](mailto:magudelovalencia@gmail.com)>

Cc: Catalina Correa Romero <[ccorrea@orolegal.org](mailto:ccorrea@orolegal.org)>, Peter Doyle <[pdoyle@orolegal.org](mailto:pdoyle@orolegal.org)>

Maria Isabel

Esta fue una de las primeras actas (elaborada por el Ministerio de Minas) sobre una reunión de articulación MME-Secretaría de Minas-Oro Legal.

Feliz tarde.

**BEATRIZ DUQUE MONTOYA**  
*Líder Legalización/Formalización*  
*Programa ORO LEGAL/USAID*  
*Cel: 320 932 77 02*  
*E-mail: [bduque@orolegal.org](mailto:bduque@orolegal.org)*

De: bduque

Enviado: lunes, 16 de mayo de 2016 16:04

Para: Ercilia Maria Monroy Sanchez

Cc: DIANA CAROLINA RUIZ QUINTERO; Monica Maria Grand Marin; JUAN JOSE CASTANO VERGARA;

YENNY CRISTINA QUINTERO HERRERA

Asunto: Re: Acta reunión Articulación Oro Legal

Remito el archivo.

**BEATRIZ DUQUE MONTOYA**  
*Líder Legalización/Formalización*  
*Programa ORO LEGAL/USAID*  
*Cel: 320 932 77 02*  
*E-mail: [bduque@orolegal.org](mailto:bduque@orolegal.org)*

2016-05-16 16:04 GMT-05:00 Beatriz Duque <[bduque@orolegal.org](mailto:bduque@orolegal.org)>:

Apreciada Ercilia:

Envío mis comentarios con control de cambios.

Feliz tarde,

**BEATRIZ DUQUE MONTOYA**  
*Líder Legalización/Formalización*  
*Programa ORO LEGAL/USAID*

*Cel: 320 932 77 02*

*E-mail: [bduque@orolegal.org](mailto:bduque@orolegal.org)*

2016-05-16 13:07 GMT-05:00 Ercilia Maria Monroy Sanchez <[emmonroy@minminas.gov.co](mailto:emmonroy@minminas.gov.co)>:

Cordial saludo,

Anexo remito el acta del asunto, teniendo en cuenta dicha reunión y los compromisos adquiridos en la misma, me permito solicitar:

1. Se disponga de las persona o personas que acompañarán el ejercicio en Zaragoza el día 27 de mayo de 201
2. Se remita a la Dirección de información de UPM caracterizadas y a las cuales se les ha realizado el acompañamiento desde el año 2014 en la implementación de la Política de Formalización Minera.
3. Se remita la información con la que cuenta la gobernación frente a plantas de beneficio de oro no asociadas a títulos mineros.

De otra parte, de tener comentario y observaciones al acta, agradezco el envío de los mismos a más tardar el día viernes 27 de mayo, con el fin de dejar ya en firme la misma.

Gracias

Ercilia Maria Monroy Sanchez  
Coordinadora Grupo de Articulación Interinstitucional  
[emmonroy@minminas.gov.co](mailto:emmonroy@minminas.gov.co)  
Calle 43 No. 57-31 CAN  
PBX (57 1) 220 0300 Ext. 2435  
Bogotá D.C., Colombia

MENSAJE 2:

----- Mensaje reenviado -----

De: Beatriz Duque Montoya <[bduque@orolegal.org](mailto:bduque@orolegal.org)>

Fecha: 6 de julio de 2018, 17:55

Asunto: RV: Reunión Oro Legal-Secretaría de Minas

Para: "María Isabel Agudelo Valencia ([magudelovalencia@gmail.com](mailto:magudelovalencia@gmail.com))"

<[magudelovalencia@gmail.com](mailto:magudelovalencia@gmail.com)>

María Isabel:

Esta es la convocatoria a otra de las reuniones.

*BEATRIZ DUQUE MONTOYA*  
*Líder Legalización/Formalización*  
*Programa ORO LEGAL/USAID*  
*Cel: 320 932 77 02*  
*E-mail: [bduque@orolegal.org](mailto:bduque@orolegal.org)*

---

De: bduque

Enviado: lunes, 13 de junio de 2016 10:27

Para: Ercilia Maria Monroy Sanchez  
Asunto: Re: Reunión Oro Legal-Secretaría de Minas

Jueves

*BEATRIZ DUQUE MONTOYA*  
*Líder Legalización/Formalización*  
*Programa ORO LEGAL/USAID*  
*Cel: 320 932 77 02*  
*E-mail: [bduque@orolegal.org](mailto:bduque@orolegal.org)*

2016-06-13 10:26 GMT-05:00 Ercilia Maria Monroy Sanchez <[emmonroy@minminas.gov.co](mailto:emmonroy@minminas.gov.co)>:  
Muy bonito.

Nos vemos el miercoles.

Abrazo

Ercilia Maria Monroy Sanchez  
Coordinadora Grupo de Articulación Interinstitucional  
[emmonroy@minminas.gov.co](mailto:emmonroy@minminas.gov.co)  
Calle 43 No. 57-31 CAN  
PBX (57 1) 220 0300 Ext. 2435  
Bogotá D.C., Colombia

El 13 de junio de 2016, 10:24, Beatriz Duque <[bduque@orolegal.org](mailto:bduque@orolegal.org)> escribió:

*BEATRIZ DUQUE MONTOYA*  
*Líder Legalización/Formalización*  
*Programa ORO LEGAL/USAID*  
*Cel: 320 932 77 02*  
*E-mail: [bduque@orolegal.org](mailto:bduque@orolegal.org)*

----- Forwarded message -----

From: VICTOR MANUEL AGUIRRE DEL VALLE <[Victor.Aguirre@antioquia.gov.co](mailto:Victor.Aguirre@antioquia.gov.co)>  
Date: 2016-06-13 7:43 GMT-05:00  
Subject: Re: Reunión Oro Legal-Secretaría de Minas  
To: Beatriz Duque <[bduque@orolegal.org](mailto:bduque@orolegal.org)>  
Cc: YENNY CRISTINA QUINTERO HERRERA <[yenny.quintero@antioquia.gov.co](mailto:yenny.quintero@antioquia.gov.co)>, JUAN JOSE CASTANO VERGARA <[juanjose.castano@antioquiagov.co](mailto:juanjose.castano@antioquiagov.co)>  
Buenos días doctor Beatriz,  
Estoy de acuerdo y copio del archivo a Yenny quien ya está informada  
Víctor Manuel Aguirre del Valle  
Ingeniero de Minas y Metalurgia  
Tel: 383 52 68

---

De: Beatriz Duque <[bduque@orolegal.org](mailto:bduque@orolegal.org)>  
Enviado: viernes, 10 de junio de 2016 11:01 a. m.

Para: VICTOR MANUEL AGUIRRE DEL VALLE  
Asunto: Reunión Oro Legal-Secretaría de Minas

Apreciado Víctor

Sugeriría que hiciéramos la reunión el próximo jueves 16, a eso de las 10:30 u 11:00 a.m., aprovechando la presencia del MME en Medellín.  
Agradezco me confirmes.

**BEATRIZ DUQUE MONTOYA**  
*Líder Legalización/Formalización*  
*Programa ORO LEGAL/USAID*  
*Cel: 320 932 77 02*  
*E-mail: [bduque@orolegal.org](mailto:bduque@orolegal.org)*

MENSAJE 3:

----- Mensaje reenviado -----

De: Beatriz Duque Montoya <[bduque@orolegal.org](mailto:bduque@orolegal.org)>

Fecha: 6 de julio de 2018, 17:57

Asunto: RV: Reunión de Seguimiento procesos de Legalización Gobernación de Antioquia

Para: "María Isabel Agudelo Valencia ([magudelovalencia@gmail.com](mailto:magudelovalencia@gmail.com))"

<[magudelovalencia@gmail.com](mailto:magudelovalencia@gmail.com)>

Otra convocatoria a reunión.

**BEATRIZ DUQUE MONTOYA**  
*Líder Legalización/Formalización*  
*Programa ORO LEGAL/USAID*  
*Cel: 320 932 77 02*  
*E-mail: [bduque@orolegal.org](mailto:bduque@orolegal.org)*

---

De: bduque

Enviado: lunes, 18 de julio de 2016 10:04

Para: YENNY CRISTINA QUINTERO HERRERA

Cc: Ercilia María Monroy Sanchez; JUAN JOSE CASTANO VERGARA

Asunto: Re: Reunión de Seguimiento procesos de Legalización Gobernación de Antioquia

Perfecto Jenny, allá estaremos.

El 18/07/2016 07:32, "YENNY CRISTINA QUINTERO HERRERA" <[yenny.quintero@antioquia.gov.co](mailto:yenny.quintero@antioquia.gov.co)> escribió:

Buenos días Doctora Beatriz

En atención a la solicitud de reunión para hacerle seguimiento a los procesos de legalización que se adelantan ante esta Secretaría de Minas, y teniendo en cuenta los compromisos previamente adquiridos por la Dirección de Fomento y Desarrollo Minero, me permito manifestarle que no es dable realizar dicha reunión a las 10.30 del día 22 de julio.

Así las cosas, se hace necesario la modificación de la hora, proponiéndose que sea realizada la reunión de 1:00 a 3:00 pm, acorde con la disponibilidad horaria de la Doctora Ercilia Monroy.

Atentamente,

YENNY QUINTERO HERRERA  
Profesional Universitaria  
Secretaría de Minas  
Dirección de Fomento y Desarrollo Minero  
Teléfono: 3835495

**MENSAJE 4:**

----- Mensaje reenviado -----

De: Beatriz Duque Montoya <[bduque@orolegal.org](mailto:bduque@orolegal.org)>  
Fecha: 6 de julio de 2018, 17:59  
Asunto: RV: Memorias reunión Secretaría de Minas viernes 22 de julio  
Para: "María Isabel Agudelo Valencia ([magudelovalencia@gmail.com](mailto:magudelovalencia@gmail.com))"  
<[magudelovalencia@gmail.com](mailto:magudelovalencia@gmail.com)>  
Maria Isabel:

Esta es la memoria de una de las reuniones de julio de 2016 con la Secretaría de Minas.

**BEATRIZ DUQUE MONTOYA**  
*Líder Legalización/Formalización*  
*Programa ORO LEGAL/USAID*  
*Cel: 320 932 77 02*  
*E-mail: [bduque@orolegal.org](mailto:bduque@orolegal.org)*

---

De: bduque  
Enviado: domingo, 24 de julio de 2016 12:13  
Para: peter doyle; Miguel Molano  
Cc: Hector Sepulveda  
Asunto: Memorias reunión Secretaría de Minas viernes 22 de julio

Peter  
Remito lo anunciado.  
Héctor: agradezco nos colabores con el video de las asociaciones de minidragueros. Mañana hablamos del tema.

**BEATRIZ DUQUE MONTOYA**  
*Líder Legalización/Formalización*  
*Programa ORO LEGAL/USAID*  
*Cel: 320 932 77 02*  
*E-mail: [bduque@orolegal.org](mailto:bduque@orolegal.org)*

**MENSAJE 5:**

----- Mensaje reenviado -----

De: Beatriz Duque Montoya <[bduque@orolegal.org](mailto:bduque@orolegal.org)>  
Fecha: 6 de julio de 2018, 18:00  
Asunto: RV: Acta ORO LEGAL - USAID  
Para: "María Isabel Agudelo Valencia ([magudelovalencia@gmail.com](mailto:magudelovalencia@gmail.com))"  
<[magudelovalencia@gmail.com](mailto:magudelovalencia@gmail.com)>  
Otra de las actas de reunión con la Secretaría de Minas

**BEATRIZ DUQUE MONTOYA**  
*Líder Legalización/Formalización*  
*Programa ORO LEGAL/USAID*  
*Cel: 320 932 77 02*  
*E-mail: [bduque@orolegal.org](mailto:bduque@orolegal.org)*

---

De: bduque  
Enviado: lunes, 1 de agosto de 2016 10:39  
Para: JUAN JOSE CASTANO VERGARA  
Cc: MARIA ISABEL QUINTERO RESTREPO; [emmonroy@minminas.gov.co](mailto:emmonroy@minminas.gov.co); YENNY CRISTINA QUINTERO HERRERA  
Asunto: Re: Acta ORO LEGAL - USAID

Me excusan. Les envío el anexo.

**BEATRIZ DUQUE MONTOYA**  
*Líder Legalización/Formalización*  
*Programa ORO LEGAL/USAID*  
*Cel: 320 932 77 02*  
*E-mail: [bduque@orolegal.org](mailto:bduque@orolegal.org)*

2016-08-01 10:28 GMT-05:00 JUAN JOSE CASTANO VERGARA <[juanjose.castano@antioquia.gov.co](mailto:juanjose.castano@antioquia.gov.co)>:  
Beatriz cordial saludo,  
No llego el archivo anexo.  
Atentamente,  
JUAN JOSÉ CASTAÑO VERGARA  
Director de Fomento y Desarrollo Minero  
Secretaría de Minas - Gobernación de Antioquia  
Teléfono 383 90 51

NOTA CONFIDENCIAL: Este mensaje (incluyendo cualquier anexo) contiene información confidencial y se encuentra protegido por la Ley. Sólo puede ser utilizada por la persona o compañía a la cual está dirigido. Si usted no es el receptor autorizado, o por error recibe este mensaje, favor borrarlo inmediatamente. Cualquier retención, difusión, distribución, copia o toma de cualquier acción basado en dicha información, se encuentra estrictamente prohibido.

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De: Beatriz Duque <[bduque@orolegal.org](mailto:bduque@orolegal.org)>  
Enviado: lunes, 01 de agosto de 2016 9:20:41 a. m.  
Para: MARIA ISABEL QUINTERO RESTREPO  
Cc: [emmonroy@minminas.gov.co](mailto:emmonroy@minminas.gov.co); YENNY CRISTINA QUINTERO HERRERA; JUAN JOSE CASTANO VERGARA  
Asunto: Re: Acta ORO LEGAL - USAID

Apreciados señores  
Remito mis comentarios y sugerencias al Acta.

**BEATRIZ DUQUE MONTOYA**  
*Líder Legalización/Formalización*  
*Programa ORO LEGAL/USAID*

*Cel: 320 932 77 02*

*E-mail: [bduque@orolegal.org](mailto:bduque@orolegal.org)*

2016-08-01 8:01 GMT-05:00 MARIA ISABEL QUINTERO RESTREPO

<[maria.quintero@antioquia.gov.co](mailto:maria.quintero@antioquia.gov.co)>:

Buenos días!

Adjunto acta de la reunión realizada el día 16 de Junio de 2016.

Cordialmente,

María Isabel Quintero R.

Fomento y Desarrollo

Secretaría de Minas

MENSAJE 6:

----- Mensaje reenviado -----

De: Beatriz Duque Montoya <[bduque@orolegal.org](mailto:bduque@orolegal.org)>

Fecha: 6 de julio de 2018, 18:02

Asunto: RV: Reunión con la Secretaría de Minas

Para: "María Isabel Agudelo Valencia ([magudelovalencia@gmail.com](mailto:magudelovalencia@gmail.com))"

<[magudelovalencia@gmail.com](mailto:magudelovalencia@gmail.com)>

Maria Isabel

Esta es la convocatoria a otra reunión en la Secretaría de Minas, esta vez en septiembre de 2016

**BEATRIZ DUQUE MONTOYA**

*Líder Legalización/Formalización*

*Programa ORO LEGAL/USAID*

*Cel: 320 932 77 02*

*E-mail: [bduque@orolegal.org](mailto:bduque@orolegal.org)*

---

De: bduque

Enviado: martes, 6 de septiembre de 2016 14:33

Para: Ercilia Maria Monroy Sanchez

Cc: Miguel Molano

Asunto: Re: Reunión con la Secretaría de Minas

Ercilia

El miércoles 14 de septiembre, Miguel Molano, subdirector del Programa Oro Legal, asistirá a la reunión de la Gobernación de Antioquia.

Agradezco confirmar la hora y el lugar.

Feliz tarde,

**BEATRIZ DUQUE MONTOYA**

*Líder Legalización/Formalización*

*Programa ORO LEGAL/USAID*

*Cel: 320 932 77 02*

*E-mail: [bduque@orolegal.org](mailto:bduque@orolegal.org)*

2016-09-05 18:35 GMT-05:00 Ercilia Maria Monroy Sanchez <[emmonroy@minminas.gov.co](mailto:emmonroy@minminas.gov.co)>:

Hola Beatriz,

Porfi ayúdame para que si puedan asistir.

El miércoles 13 a las 9:30 am.

Gracias

El 5 sept. 2016 4:25 PM, "Beatriz Duque" <[bduque@orolegal.org](mailto:bduque@orolegal.org)> escribió:

> Ercilia

>

> Ya tengo agenda en Remedios con la alcaldesa, y con Remedios Gold y las UPM en sus títulos, que pueden significar 10 subcontratos de formalización minera.

>

> *BEATRIZ DUQUE MONTOYA*

> *Líder Legalización/Formalización*

> *Programa ORO LEGAL/USAID*

> *Cel: 320 932 77 02*

> *E-mail: [bduque@orolegal.org](mailto:bduque@orolegal.org)*

>

>

> 2016-09-05 14:42 GMT-05:00 Ercilia Maria Monroy Sanchez <[emmonroy@minminas.gov.co](mailto:emmonroy@minminas.gov.co)>:

>> Cordial saludo,

>>

>> Es imposible la semana siguiente, por favor revisa si puedes aplazar lo de remedios, ya que a la reunión el miércoles asistirá la directora de formalización.

>>

>> Gracias

>>

>>

>> Ercilia Maria Monroy Sanchez

>> Coordinadora Grupo de Articulación Interinstitucional

>> [emmonroy@minminas.gov.co](mailto:emmonroy@minminas.gov.co)

>> Calle 43 No. 57-31 CAN

>> PBX (57 1) 220 0300 Ext. 2435

>> Bogotá D.C., Colombia

>>

>> El 5 de septiembre de 2016, 11:15, Beatriz Duque <[bduque@orolegal.org](mailto:bduque@orolegal.org)> escribió:

>>> Ese día estaré en Remedios.

>>>

>>> Preferiría el viernes 16 o la siguiente semana.

>>>

>>> *BEATRIZ DUQUE MONTOYA*

>>> *Líder Legalización/Formalización*

>>> *Programa ORO LEGAL/USAID*

>>> *Cel: 320 932 77 02*

>>> *E-mail: [bduque@orolegal.org](mailto:bduque@orolegal.org)*

>>> 2016-09-05 11:07 GMT-05:00 Ercilia Maria Monroy Sanchez <[emmonroy@minminas.gov.co](mailto:emmonroy@minminas.gov.co)>:

>>>> Cordial saludo,

>>>>

>>>> Podemos pensar inicialmente en reunión el 14 a eso de las 8:30 am.

>>>>

>>>> Gracias

>>>>

>>>>

>>>> El 5 sept. 2016 9:37 AM, "Beatriz Duque" <[bduque@orolegal.org](mailto:bduque@orolegal.org)> escribió:

>>>>> Ercilia

>>>>>

>>>>> Muy buenos días.

>>>>>

>>>>> Mucho agradecería tus buenos oficios para agendar una nueva reunión de seguimiento con la Secretaría de Minas de la Gobernación de Antioquia.

>>>>>

>>>>> Feliz día.

>>>>>

>>>>> *BEATRIZ DUQUE MONTOYA*

>>>>> *Líder Legalización/Formalización*

>>>>> *Programa ORO LEGAL/USAID*

>>>>> *Cel: 320 932 77 02*

>>>>> *E-mail: [bduque@orolegal.org](mailto:bduque@orolegal.org)*

MENSAJE 7:

----- Mensaje reenviado -----

De: Beatriz Duque Montoya <[bduque@orolegal.org](mailto:bduque@orolegal.org)>

Fecha: 6 de julio de 2018, 18:05

Asunto: RV: Notas Comité I MME-USAID

Para: "María Isabel Agudelo Valencia ([magudelovalencia@gmail.com](mailto:magudelovalencia@gmail.com))"

<[magudelovalencia@gmail.com](mailto:magudelovalencia@gmail.com)>

Maria Isabel

Estas son algunas notas que envié al MME, sobre la reunión de coordinación entre el MME y Oro Legal en el marco del Memorando de Entendimiento entre USAID y MME.

*BEATRIZ DUQUE MONTOYA*

*Líder Legalización/Formalización*

*Programa ORO LEGAL/USAID*

*Cel: 320 932 77 02*

*E-mail: [bduque@orolegal.org](mailto:bduque@orolegal.org)*

---

De: Beatriz Montoya Duque

Enviado: miércoles, 10 de mayo de 2017 9:57

Para: Ercilia Maria Monroy Sanchez

Cc: Jessika Paulina Gamboa Salazar

Asunto: Notas Comité 1 MME-USAID

Ercilia

Remito algunas notas de la mencionada reunión, y la presentación hecha por Miguel

*BEATRIZ DUQUE MONTOYA*

*Líder Legalización/Formalización*

*Programa ORO LEGAL/USAID*

*Cel: 320 932 77 02*

*E-mail: [bduque@orolegal.org](mailto:bduque@orolegal.org)*

MENSAJE 8:

----- Mensaje reenviado -----

De: Beatriz Duque Montoya <[bduque@orolegal.org](mailto:bduque@orolegal.org)>  
Fecha: 6 de julio de 2018, 18:08  
Asunto: RV: Reunión en Antioquia  
Para: "María Isabel Agudelo Valencia ([magudelovalencia@gmail.com](mailto:magudelovalencia@gmail.com))"  
<[magudelovalencia@gmail.com](mailto:magudelovalencia@gmail.com)>  
Maria Isabel

Otro correo que evidencia reunión con Secretaría de Minas y Corantioquia.

Esta vez en el mes de agosto de 2017

**BEATRIZ DUQUE MONTOYA**  
*Líder Legalización/Formalización*  
*Programa ORO LEGAL/USAID*  
*Cel: 320 932 77 02*  
*E-mail: [bduque@orolegal.org](mailto:bduque@orolegal.org)*

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De: Beatriz Duque Montoya  
Enviado: lunes, 14 de agosto de 2017 18:19  
Para: Monica Maria Grand Marin  
Cc: Miguel Molano Morales  
Asunto: Re: Reunión en Antioquia

Buenas tardes Mónica:  
Por mi está bien. ¿Agendarías a Corantioquia también?

**BEATRIZ DUQUE MONTOYA**  
*Líder Legalización/Formalización*  
*Programa ORO LEGAL/USAID*  
*Cel: 320 932 77 02*  
*E-mail: [bduque@orolegal.org](mailto:bduque@orolegal.org)*

---

De: Monica Maria Grand Marin <[mmgrand@minminas.gov.co](mailto:mmgrand@minminas.gov.co)>  
Enviado: lunes, 14 de agosto de 2017 16:50  
Para: Beatriz Duque Montoya  
Asunto: Fwd: Reunión en Antioquia

Hola Beatriz podemos reunirnos el jueves en la tarde en la gobernación ? El jueves 17 .

Enviado desde mi iPad

Inicio del mensaje reenviado:  
De: Beatriz Duque Montoya <[bduque@orolegal.org](mailto:bduque@orolegal.org)>  
Fecha: 10 de agosto de 2017, 10:30:20 a.m. GMT-5  
Para: Monica Maria Grand Marin <[mmgrand@minminas.gov.co](mailto:mmgrand@minminas.gov.co)>  
Cc: Miguel Molano Morales <[mmolano@orolegal.org](mailto:mmolano@orolegal.org)>  
Asunto: Re: Reunión en Antioquia  
Apreciada Mónica:  
Muy buenos días.

Tal como te lo comentamos el día del Segundo Comité de Coordinación MME-USAID, es muy importante para nosotros tener las reuniones en Antioquia, como te las describimos en el correo adjunto, tanto con la Secretaría de Minas como con Corantioquia.

¿Para cuándo crees que las puedas agendar?

Feliz día.

**BEATRIZ DUQUE MONTOYA**  
*Líder Legalización/Formalización*  
*Programa ORO LEGAL/USAID*  
*Cel: 320 932 77 02*  
*E-mail: [bduque@orolegal.org](mailto:bduque@orolegal.org)*

---

De: Beatriz Duque Montoya  
Enviado: viernes, 28 de julio de 2017 16:06:56  
Para: Monica Maria Grand Marin  
Cc: Peter Doyle; Miguel Molano Morales  
Asunto: Reunión en Antioquia

Apreciada Mónica:

Espero te encuentres muy bien.

Para el Programa Oro Legal el acompañamiento de la Dirección de Formalización Minera del MME ha sido fundamental para poder cumplir con las diferentes metas alcanzadas hasta ahora.

Por esa razón, solicitamos tus buenos oficios para la programación de un par de reuniones aquí en la ciudad de Medellín:

Reunión con la Secretaría de Minas de Antioquia, en donde sería muy importante la presencia de la Dirección de Fiscalización (además de la de Titulación, que siempre nos ha atendido), para poder hablar de los procesos de elaboración de PTO que vamos a iniciar para 19 UPM ya regularizadas en el territorio.

Reunión con Corantioquia, para hablar de los procesos de elaboración de EIA que vamos a iniciar para las mismas unidades mineras. En este caso es importante hablar de temas como el permiso de estudio y el requisito de estudio de aire.

Agradeceríamos si, previo a esas reuniones, podemos tener una reunión contigo para explicarte en detalle cuáles son nuestras principales inquietudes.

Esperamos que nos expases para cuándo sería posible tú acompañamiento.

De antemano muchísimas gracias.

Feliz tarde,

**BEATRIZ DUQUE MONTOYA**  
*Líder Legalización/Formalización*  
*Programa ORO LEGAL/USAID*  
*Cel: 320 932 77 02*  
*E-mail: [bduque@orolegal.org](mailto:bduque@orolegal.org)*

MENSAJE 9:

----- Mensaje reenviado -----

De: Beatriz Duque Montoya <[bduque@orolegal.org](mailto:bduque@orolegal.org)>

Fecha: 6 de julio de 2018, 18:10

Asunto: RV: Acta de reunión del pasado 22 de junio

Para: "María Isabel Agudelo Valencia ([magudelovalencia@gmail.com](mailto:magudelovalencia@gmail.com))" <[magudelovalencia@gmail.com](mailto:magudelovalencia@gmail.com)>

Maria Isabel

Esta es el acta de una reunión de junio de 2017 (aunque hay un error y se puso 2016).

Evidencia también de reuniones en la Gobernación de Antioquia

**BEATRIZ DUQUE MONTOYA**  
*Líder Legalización/Formalización*  
*Programa ORO LEGAL/USAID*  
*Cel: 320 932 77 02*  
*E-mail: [bduque@orolegal.org](mailto:bduque@orolegal.org)*

---

De: Beatriz Duque Montoya  
Enviado: lunes, 28 de agosto de 2017 8:33  
Para: Jessika Paulina Gamboa Salazar  
Asunto: Acta de reunión del pasado 22 de junio

FAvor revisar el acta anterior.-

**BEATRIZ DUQUE MONTOYA**  
*Líder Legalización/Formalización*  
*Programa ORO LEGAL/USAID*  
*Cel: 320 932 77 02*  
*E-mail: [bduque@orolegal.org](mailto:bduque@orolegal.org)*

MENSAJE 10:

----- Mensaje reenviado -----

De: Beatriz Duque Montoya <[bduque@orolegal.org](mailto:bduque@orolegal.org)>

Fecha: 6 de julio de 2018, 18:12

Asunto: RV: Subcontratos Asoagromicauca autorizados

Para: "María Isabel Agudelo Valencia ([magudelovalencia@gmail.com](mailto:magudelovalencia@gmail.com))" <[magudelovalencia@gmail.com](mailto:magudelovalencia@gmail.com)>

Maria Isabel

Otra evidencia de la relación permanente con la Dra. Yenny Quintero, directora de titulación (en ese momento profesional) de la gobernación de Antioquia.

**BEATRIZ DUQUE MONTOYA**  
*Líder Legalización/Formalización*  
*Programa ORO LEGAL/USAID*

*Cel: 320 932 77 02*

*E-mail: [bduque@orolegal.org](mailto:bduque@orolegal.org)*

---

De: Beatriz Duque Montoya

Enviado: viernes, 1 de septiembre de 2017 9:50

Para: YENNY CRISTINA QUINTERO HERRERA

Cc: Ercilia Maria Monroy Sanchez

Asunto: Subcontratos Asoagromicauca autorizados

Apreciada Yenny

El pasado martes estuve en una reunión en Bogotá, convocada por el Viceministro de Minas, y el doctor Mauricio Gómez que estaba allí me comentó que ya se habían autorizado 14 subcontratos en el título de Asoagromicauca, información que luego me corroboró Jessika, quien me expresó que ustedes le dijeron que hoy salían notificados por Estados.

Cuéntanos cuál debería ser el procedimiento nuestro para enterarnos de cuáles exactamente son los subcontratos autorizados, ya que en la página web en muchas ocasiones no es fácil encontrarlos ¿Crees que debemos ir hoy a mirar las carteleras?, o ¿podrías indicarnos cuáles son los autorizados para solicitarle a Asoagromicauca las minutas y los oficios remisorios?.

Excusa nuestra "intensidad" pero no queremos que nos pase lo del otro día, porque 10 días son poco para poder ingresar a la zona y lograr traer las firmas de todos los documentos.

Infinitas gracias,

*BEATRIZ DUQUE MONTOYA*

*Líder Legalización/Formalización*

*Programa ORO LEGAL/USAID*

*Cel: 320 932 77 02*

*E-mail: [bduque@orolegal.org](mailto:bduque@orolegal.org)*

MENSAJE II:

----- Mensaje reenviado -----

De: Beatriz Duque Montoya <[bduque@orolegal.org](mailto:bduque@orolegal.org)>

Fecha: 6 de julio de 2018, 18:29

Asunto: RV: Presentación

Para: "María Isabel Agudelo Valencia ([magudelovalencia@gmail.com](mailto:magudelovalencia@gmail.com))"

<[magudelovalencia@gmail.com](mailto:magudelovalencia@gmail.com)>

María Isabel

Esta es la presentación hecha en la Junta de Formalización de Antioquia, en abril de este año, en donde participó Dora Balvin (secretaria de Minas), Fanny Guerrero (Vicepresidenta de Fomento de la ANM), Monica Grand (Directora de Formalización del MME), Corantioquia y Oro Legal.

*BEATRIZ DUQUE MONTOYA*

*Líder Legalización/Formalización*

*Programa ORO LEGAL/USAID*

*Cel: 320 932 77 02*

*E-mail: [bduque@orolegal.org](mailto:bduque@orolegal.org)*

---

De: Beatriz Duque Montoya

Enviado: martes, 24 de abril de 2018 17:11

Para: Ercilia Maria Monroy Sanchez

Asunto: Presentación

*BEATRIZ DUQUE MONTOYA*  
*Líder Legalización/Formalización*  
*Programa ORO LEGAL/USAID*  
*Cel: 320 932 77 02*  
*E-mail: [bduque@orolegal.org](mailto:bduque@orolegal.org)*

MENSAJE 12:

----- Mensaje reenviado -----

De: Beatriz Duque Montoya <[bduque@orolegal.org](mailto:bduque@orolegal.org)>  
Fecha: 6 de julio de 2018, 18:34  
Asunto: RV: Presentación de logros Oro Legal  
Para: "María Isabel Agudelo Valencia ([magudelovalencia@gmail.com](mailto:magudelovalencia@gmail.com))"  
<[magudelovalencia@gmail.com](mailto:magudelovalencia@gmail.com)>  
Maria Isabel

Este fue el envío de la presentación sobre los avances en Antioquia del Programa Oro Legal a la secretaria de Minas, Dora Balvin.

Estan en detalle los dos objetivos del programa.

*BEATRIZ DUQUE MONTOYA*  
*Líder Legalización/Formalización*  
*Programa ORO LEGAL/USAID*  
*Cel: 320 932 77 02*  
*E-mail: [bduque@orolegal.org](mailto:bduque@orolegal.org)*

---

De: Beatriz Duque Montoya  
Enviado: lunes, 23 de abril de 2018 14:07  
Para: DORA ELENA BALVIN AGUDELO  
Cc: YENNY CRISTINA QUINTERO HERRERA; JUAN JOSE CASTANO VERGARA; Peter Doyle  
Asunto: Presentación de logros Oro Legal

Apreciada Doctora Dora:

Le remito la presentación de los avances del Programa Oro Legal en Antioquia.

Nos vemos a las 3 p.m.

*BEATRIZ DUQUE MONTOYA*  
*Líder Legalización/Formalización*  
*Programa ORO LEGAL/USAID*  
*Cel: 320 932 77 02*  
*E-mail: [bduque@orolegal.org](mailto:bduque@orolegal.org)*



**Oro Legal Activity,  
Medellin  
November 21, 2018**

Dear Mr. Vargas,

Re: Statement of Differences – Oro Legal Mid-Term Evaluation Report

Following our recent conversation on this issue, we are presenting a written *Statement of Differences* regarding the final draft report of the Oro Legal Mid-Term Evaluation. Our comments refer specifically to the table “EVAL Responses to Comments from Oro Legal” included with the Evaluation (and annexed here). Chemonics appreciates USAID’s interest in rectifying a large number of structural problems with the original evaluation, as well as MSI’s flexibility in incorporating multiple suggestions, encompassing several drafts.

Our final comments, referring to a number of outstanding factual inaccuracies, are as follows:

Page 21, SV5. The mining policy adjustment initiative was discussed at length by Oro Legal’s Chief of party (COP) and the EVAL project coordinator in a final wrap up meeting at Oro Legal’s Medellin office. It is incorrect to say that this information was provided post-evaluation.

Page 21, SV6. The footnote referred to should logically include a final sentence clarifying that the National Mining Agency (ANM) representative interviewed by EVAL had no knowledge of Oro Legal’s close working relationship with the Agency and thus, could not provide relevant information.

Page 28, SV12. EVAL was provided with all baseline information in a timely fashion in both Excel format, as well as being given access to the Activity’s on-line information management system (RMS). It is incorrect to say that EVAL did not have access to baseline documents.

Page 36, SV20: EVAL was provided with the Oro Legal Environmental Assessment (EA) as a key reference document on a USB hand-delivered to MSI's Bogota office (Daniel Nowicki) on February 22, 2018 along with 40 other documents. Furthermore, it was discussed at length with EVAL's environmental and mining consultants. It is incorrect to say that EVAL did not have access to this document.

Page 43, SV26. Oro Legal made a specific request to EVAL's value chain consultant to visit Naranja Madura, which remains a key stakeholder the annatto value chain initiative. His request to do so was apparently turned down due to insufficient travel and per diem funds. It is incorrect to say that this information was only known to EVAL after the evaluation ended.

Page 55, BDM34. This information was made available to EVAL during the period of evaluation, not after.

Page 56, BMD35. EVAL was provided with all baseline information in a timely fashion in both Excel format, as well as being given access to the Activity's on-line information management system (RMS). It is incorrect to say that EVAL did not have access to baseline information.

Page 56, BMD36. It was clearly not Oro Legal's intention to suggest that the Activity be extended. The comment referred explicitly to the lack of viability of the EVAL recommendation given the life of project (LOP). This is a misinterpretation on the part of EVAL.

Page 56, BMD37. EVAL was provided with the strategy during the evaluation. It is incorrect to say that this information was only known to EVAL after the evaluation ended.

Page 60, PD43. Oro Legal maintains that this is a confusion on the part of EVAL, is incorrect and should be eliminated.

Best regards,



**Peter Doyle**  
**Chief of Party**  
**Oro Legal**

## EVAL Response to Comments from Oro Legal

| Page | Comment  | Response   | Change to Document  |
|------|--|--|---|
| 4    | SV1, Antioquia not Choco   | New Executive Summary does not contain this error.   | Not applicable.   |
| 10   | SV2, Rehabilitation NOT Reforestation. See page 38 of this document where it is correctly stated.  | USAID designed and specified the evaluation questions described here in our scope of work (see Annex 2). For Question 4, USAID used the term Reforestation. We note your objection in a footnote.  | Footnote added noting Oro Legal's comment. "In this question drawn from EVAL's scope of work, USAID used the term "reforestation." The Oro Legal project states that their activities are rehabilitation, not reforestation."   |
| 14   | SV3, Clarify that this is limited only to the beneficiaries interviewed by EVAL, but not an accurate representation of the ethnic groups that the project is supporting. The Project has a large grant activity for rehabilitation of degraded areas with an indigenous reservation: Vegas de Segovia.   | As stated in earlier response, no one in the EVAL survey identified themselves as indigenous. We added, to clarify, "interviewed by EVAL" and mention in a footnote the added information provided by Oro Legal.   | Phrase added: The beneficiaries interviewed by EVAL belong to (or self-identify as members of) three ethnic groups: white, black/Afro-Colombian, and mestizo.<br><br>Footnote added: The survey responses provided here reflect how the respondents identified their ethnic identity. After the evaluation was completed, the Oro Legal Program noted that it has a large grant activity for the rehabilitation of degraded areas with an indigenous reservation, Vegas de Segovia, an area not included in the survey. |
| 15   | SV4, Clarify that the beneficiaries are only registered in SIMÉ when the activity is near to completion and there is assurance of the final beneficiaries' status; the regional coordinators' data on beneficiaries include more beneficiaries than those in SIMÉ as they engage with a larger spectrum of possible beneficiaries, but not all of them become final program beneficiaries. | As stated in earlier response, the issues were not only related to names offered by coordinators not appearing in project databases, but also with beneficiaries categorized in incorrect programs. Nevertheless, we note Oro Legal's comment in a footnote. | Footnote added:<br>After the submission of final report, Oro Legal informed EVAL that the beneficiaries are only registered in SIMÉ when the activity is nearing completion and there is an assurance of the final beneficiaries' status. The project believes that the regional coordinators' data on beneficiaries include more beneficiaries than those in SIMÉ, as they engage with a larger spectrum of possible beneficiaries, but not all of them become final program beneficiaries                             |

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| 21   | <p>SV5, Oro Legal is finalizing a joint proposal (with the Swiss embassy) to strengthen the Ministry's framework on mining formalization, which will be presented to the new government in the beginning of Yr.4. This strategy was laid out in the Oro Legal Year 3 Work Plan, and the project is carrying it out as planned. It would not have been intelligent nor prudent to execute this earlier, due to the change of government at the end of year 3 and the need to apply lessons learned from formalization efforts carried out by the project during the first half of the Project. We suggest that this statement is changed to the highlighted text in this comment box.</p> | <p>This information was not available to the Evaluation Team.</p>   | <p>Added footnote: After the evaluation was concluded, Oro Legal informed EVAL. Post that they are finalizing a joint proposal with the Swiss embassy to strengthen the Ministry's framework on mining formalization, which will be presented to the new government in the beginning of Year 4. This strategy was laid out in the Oro Legal Year 3 Work Plan, and the project states that it is being carried out as planned</p>  |
| 21   | <p>SV6, It should be clarified that due to the unavailability of the liaison at the ANM with whom Oro Legal has been working with, the EVAL team interviewed a functionary that has never been involved with Oro Legal, and as such was ignorant of the relationships between the ANM and Oro Legal.</p>   | <p>As stated in our earlier response, "En la Agencia Nacional de Minería ya no se encontraba Fanny Elizabeth Guerrero por lo tanto se pidió cita con la Presidenta Silvana Beatriz Habib, quien por encontrarse en empalme, a través de la asesora Estefanía Gonzalez delegó la reunión en David González, Vicepresidente de Promoción y Fomento (e), quien a su vez estuvo acompañado de un asesor.</p> <p>In the data base file entitled 'BBDD Instituciones y beneficiarios POL para MSI' sent by the Oro Legal program delivered to EVAL on March 22, 2018, neither the names of Carolina Rojas, today the Vice Minister of Mines, nor of Laureano Gómez were included.</p> | <p>Added to footnote 20: EVAL notes that the staffing at the National Mining Agency has been undergoing change. When EVAL requested interviews with the Agency, the person with whom Oro Legal had worked was no longer present. EVAL requested an interview with the president of the Agency, Silvana Beatriz Habib, who through her aide Estefanía Gonzalez assigned the interview to David González, Vice President of Marketing and Development, who was accompanied by an advisor.</p> |

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| 21   | SV7, Suggest to clarify that: The original terms of the MOU between Oro Legal and the Governor's office were developed in the first 4 months of the project (January 2016), but it was not signed by the Governor until October of 2017, due to several rounds of requested changes to the terms of the MOU by the Governor's legal team. Over this period the head of the Mining Secretariat changed three times. The current Mining Secretary assumed her role at the very end of this process only when the MOU was signed, therefore it was not possible for her team to have been included in the Program's planning. | The information presented by Oro Legal in its comments to the report respecting the process of the signing of the MOU were not available to EVAL during the evaluation. This information is added in a footnote. | Footnote added: After the evaluation had concluded, Oro Legal informed the evaluation team that the original terms of the MOU between Oro Legal and the Governor's office were developed in the first four months of the project (after January 2016), but it was not signed by the Governor until October of 2017. Over this period the head of the Mining Secretariat changed three times. The current Mining Secretary assumed her role at the very end of this period. For this reason, according to Oro Legal, it was not possible for her team to have been included in the Program planning. |
| 22   | SV8, Suggest to clarify that there is no joint work with CORANTTOQUIA because at the time of actually implementing the agreed-to activities developed with CORANTTOQUIA, the MME ended up financing all activities, replacing Oro Legal's role in implementation. The quote by the Deputy Director of CODECHOCO is not relevant and confusing. The project does not seek any certifications in any of its activities. Oro Legal suggest this quote be removed.   | The information relating to the change in funding base was not available to the evaluation team. A footnote adds this information.   | Footnote added:<br>After submitting the final report, Oro Legal stated that no joint work exists with CORANTTOQUIA because, at the time when the agreed-upon activities developed with CORANTTOQUIA were to be implemented, the Ministry of Mining and Energy took on the full financing of the activities, supplanting Oro Legal's role in implementation.<br>Quote removed.   |
| 23   | SV9, In the final version in Spanish this commentary/opinion from the EVAL team is removed, and thus should not be included in the translation.  |  | Correction made - paragraph removed.  |

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| 25   | BDM10, This is not an accurate representation of Oro Legal's formalization model. Suggest restructuring the model to present the following key components: Definition of the route to legalization and support to MPUs in this process Support the formalization process (these happen in parallel): Provide technical assistance. Develop and implement the environmental guides for formalization, Co-finance the development of technical documents (PTO and EIA)  | Deleted the graphic.  | Deleted the graphic.  |
| 28   | SV11, This is not an accurate statement. Suggest clarifying that the delays referred to correspond to documents submitted to environmental authorities during the BioREDD+ program, not Oro Legal. Oro Legal assumed follow-up on these documents, however as there was a one-year gap between BioREDD+ and Oro Legal the deadlines had already expired. Even though this was a direct quote from the Secretary of Mines, it is inaccurate and out of context; and should be clarified so as not to place blame on Oro Legal for delays that occurred prior to the program's start. | The evidence drawn upon by EVAL is based on the meeting with Yenni Quintero, Tiling Director, and Laura Benavides, supervisor of the MOU with the Government of Antioquia. These officials stated that the program took a long time to take into account the requirements of the authorities, and relevant dates then passed and expired, such that the process had to begin again. This took time and generated differences with the miners. However, the clarification made by Oro Legal in the comments to this document were added to the paragraph | Added clarifying text:<br>The Oro Legal program subsequently clarified that the delays discussed refer to documents submitted to environmental authorities during the implementation of the now concluded BioREDD+ program, not Oro Legal. Oro Legal assumed the role of following up on these documents; but the one-year gap between BioREDD+ and Oro Legal led to deadlines having already passed. |
| 28   | SV12, The comment in the footnote that the EVAL team did not have access to the baseline information is incorrect, as they had the information available in the RMS and were offered the baseline in excel format by the Project M&E Specialist. Kindly request to withdraw statement.  | EVAL did not have access to the baseline documents discussed in the text. The footnote remains as stated.   | No change.  |
| 28   | SV13, Correct the footnote, it is UPM not PSU.  |   | Correction made.  |

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| 28   | SV14, These questions were not part of USAID's evaluation questions, nor are they objectives of the Oro Legal Program. Clarify that the questions were developed by EVAL team to understand possible additional benefits not within Oro Legal's scope.   | Mid-term evaluations always collect more contextual information than that in the evaluation questions. These questions were approved by USAID and were designed to investigate the hypothesis that the formalization of an UPM will bring various positive benefits, such as improved health services access. The information provided here was deemed pertinent by the evaluation team. | Added clarifying text and a footnote:<br>These questions were designed to detect possible additional benefits not necessarily within Oro Legal's scope of work.   |
| 30   | SV15, It should be clarified that this is because during the start of the program we evaluated the effectiveness of SENA's training in this area and found it to be deficient, that is why they have not been engaged in the OL mining work. Alternatively, SENA remains an important partner in the apiculture activity, which is not referenced in the document.                                 | The comment does not contradict the statement in the report. Since the EVAL team has no direct evidence, Oro Legal's additional information is put in a footnote.  | Footnote added:<br>After the evaluation concluded, Oro Legal stated that the program had evaluated early in its life the effectiveness of SENA's training in this area and found it to be deficient, so SENA was not engaged in Oro Legal's mining work. According to the program, SENA remains an important partner in the apiculture activity; a fact made available to EVAL only after the evaluation. |
| 31   | SV16, How does this increase ignorance? At worst it would have no impact. Additionally, these statements are contradictory. How is it possible to claim that the Program has increased ignorance about mercury impacts on health & environment, however 90% of respondents say that the Program has helped reduce mercury use? We suggest removing this statement altogether as it makes no sense. | The phrase was modified in a positive sense and is not contradictory with the following sentence.  | Text modified: ... which would enhance the knowledge on the damage that mercury causes to the environment and health. Nevertheless, it is important to mention that more than 90% of the respondents believe that the program's intervention has contributed to a reduction in the use of mercury in their mining activities.   |
| 34   | SV17, The foot note has the name of the CC incorrect, it is the CC of Villa Conto  |  | Text corrected  |
| 35   | SV18, Clarify the quote refers to "farm fallow and secondary regrowth in family plots" not forest; this is an important technical difference. This does not fit in this section, it goes in the income generation section for annatto.   | The wording is corrected but the meaning of the paragraph is not modified. The specific phrase of several of the interviewees is "to cut down the forest." What is left in quotation marks constitutes the evidence of the evaluation. The interviewees do not mention secondary regrowth.   | Brigade members and Community Council representatives stated that to plant annatto, they need "to cut down the forest." It is important to evaluate the type of forest affected. OL states that this is limited to secondary forest. The evaluation team cannot certify this, given that the technical work required in the referenced area goes beyond the scope of this evaluation.                     |

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| 35   | SV19, The term “forest” needs to be clarified, in order to determine if there is an actual issue to be resolved. The Oro Legal forestry expert in Choco has taken care to ensure that only secondary regrowth in family plots is cleared for annatto cultivation, and that no primary forest is impacted.                 | In the same sense of the previous comment, the interviewees spoke of “tunbar la selva.” They do not specify whether primary or secondary. EVAL suggests that this is a theme to be reviewed. After the evaluation, Oro Legal stated that their expert in Chocó is taking action on the subject, which is clarified in a new footnote. | Footnote added:<br>After the evaluation concluded, Oro Legal stated that their forestry expert in Choco is taking care to ensure that only secondary regrowth in family plots is cleared for annatto cultivation, and that no primary forest is impacted.   |
| 36   | SV20, This is not accurate. Modify statement to state that documentation of the environmental impact of the use of acacia for regeneration of degraded soils was done during BIOREDD, and is documented as such in the Programmatic Environmental Assessment, where it was classified as a potential issue with low risk” | We affirm that the species is adequate but that EVAL did not have access to the documents in which environmental impacts were discussed. Oro Legal offered additional information on this after the evaluation had concluded. It is noted in a footnote   | Footnote added:<br>Oro Legal later clarified that the documentation of the environmental impact of the use of acacia for regeneration of degraded soils was done during the BIOREDD+ project and is documented as such in the Programmatic Environmental Assessment, where it was classified as a “potential issue with low risk” |
| 36   | SV21, Evidence that the Project’s beneficiaries include indigenous groups, however in the beginning of the document this ethnic group is excluded from the list.  | Addressed in earlier text.  | No change.  |
| 37   | SV22. Acacia plantations will not “solve” the income generation problem in these areas, but has potential to provide some supplementary income (not sole). Suggest changing the wording to “could contribute to alleviating the income generation problem”  | Text changed.   | Corrected<br>“could contribute to alleviate the income generation problem”  |
| 39   | SV23, It should be clarified that it is not a goal of the project to develop a value chain of acacia, it is a “plus” not a “must”   | The case of Acacia was studied as a value chain at the request of the Oro Legal COR, who in the first meetings with EVAL requested that it be treated as a value chain. However, given that it is not explicitly part of OL’s contract, a qualifying footnote is added.   | Footnote added:<br>The Oro Legal program notes that it is not required in its contract to develop a value chain for Acacia.   |

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| 42   | SV24, Clarify that Oro Legal has already identified serious buyers interested in purchasing the entire future production of honey from the Oro Legal supported honey associations.  | This information from Oro Legal was not shared with EVAL in spite of the wide range of interviews relating to honey production. Oro Legal's claim is inserted in a footnote. | Footnote added:<br>The Oro Legal project informed the evaluation team after the evaluation had concluded that they believe they have found buyers interested in purchasing the entire future production of honey from OL-supported honey associations.   |
| 42   | SV25, Should be removed, not in the final Spanish version and it seems it was mistakenly not removed.   |  | Text removed.  |
| 43   | SV26, This is a deficient explanation of what Naranja Madura is and its work with the project. We suggest including mention that OL has been engaging with this company for over two years testing how to transform the annatto seed into Bixim/Norbixin. | This information was only known to EVAL after the evaluation ended. A footnote is added to provide Oro Legal's additional information.                                       | Footnote added:<br>After the evaluation, the Oro Legal project stated that they have been engaging with this company for over two years testing how to transform the annatto seed into Bixim/Norbixin.   |
| 44   | SV27, This sounds like the Program created a new seed type, which is not the case. We suggest rewording to state that the selected seed type is a native variety from Choco.  | This was clarified in the text.  | Modified paragraph:<br>The selected seed type is a native variety from Chocó. These seeds did not have a proven technological package, such that, according to Oro Legal officials, a new technological package was developed and adapted for the department's conditions. Documentation of this package was not shared with the evaluation team during the evaluation. <sup>1</sup> |
| 44   | SV28, Cantón de San Pablo   |  | Text corrected   |
| 44   | SV29, Clarify that these are land tenants not property owners, and these are the same people as the beneficiaries. In this sentence it sounds like they are 2 different groups of people, which they are not.   | This is rephrased in the text.   | Phrase corrected:<br>land tenants, as a mechanism for motivating them as beneficiaries, whose economic situation is precarious,  |

<sup>1</sup> There are no products with a technological package for the conditions in Chocó, as it is has marginal agricultural production and is expected to remain in its natural condition.

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| 49   | SV30, This is factually inaccurate. Correct text to state that the establishment of the apiculture production units (UPAs) and the annatto crops require almost full-time dedication from the beneficiaries. In the case of acacia, although the most intense work is in the first year, it requires at least 60 days per year for 3 years after the first. | What is reported in the text is the evidence EVAL gathered directly from interviews with beneficiaries and technicians in the field: two days per month are needed for acacia and for annatto three days per week. | The phrase "once the activities are well established" was added.   |
| 50   | SV31, Suggest clarifying that the Project does have estimates for future sales of honey and annatto, with actual sales already generated in the case of honey.  | We can add this information if we identify that it is post-evaluation, offered by OL.  | Footnote added:<br>Post-evaluation, the Oro Legal program maintained that the Project does have estimates for future sales of honey and annatto, with actual sales already generated in the case of honey. |
| 54   | P32, Why? Suggest eliminating.  | Nariño was included in this list as a recommendation because there are significant problems relating to informal mining in that department.  | Nariño was eliminated.   |
| 54   | SV33, All of these actions are currently being carried out. Suggest changing the title of the recommendations to: "Continue preparation and financing..."   | Phrase "continue to" added in covering statement. In a footnote it is noted that after the evaluation the project provided further information on this topic.  | Footnote added: After the evaluation concluded, Oro Legal maintained that all of these actions are currently being carried out.  |
| 55   | BDM34, All of these actions are currently being carried out. Suggest changing the title of the recommendations to: "Continue implementing actions..."   | We can add this information if we identify that it is post-evaluation, offered by OL.  | Footnote added:<br>Post Evaluation, OL states that all of these actions are currently being carried out.   |
| 56   | BDM35, This statement is incorrect. The EVAL team did have access to the baseline information, as they had the information available in the RMS and were offered the baseline in excel format by the Project M&E Specialist. Kindly request to detract statement.   | EVAL did not have Access to the relevant baseline information.   | No change.   |

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| 56   | BDM36, Oro Legal is not limited to the preparation of legal documents. It carries out significant technical assistance to implement best environmental practices in mining. In order to ensure that requirements in the technical documents are implemented, the duration of the project would need to be extended as the approval from the environmental authorities must be received before implementing the requirements. | We believe that EVAL cannot necessarily recommend that the Project be extended. A clarification was inserted noting that OL goes beyond the preparation of legal documents.   | Clarifying phrase added: "within the time frame of the project." Clarifying statement added. In this regard, it is evident that OL is not limited to the preparation of legal documents. It carries out significant technical assistance to implement best environmental practices in mining. |
| 56   | BDM37, The strategy already exists, is documented and was provided to the EVAL team.   | The comment is incorrect in that the strategy was not provided to EVAL during the evaluation. This post-evaluation information is added in a footnote.  | Footnote added<br>After the evaluation, the Oro Legal program stated that this strategy has already been formulated..   |
| 57   | P38, The Current portfolio of projects are sustainable without additional financing. Suggest elimination.  | This recommendation related to sustainability after the OL Project ends. Rephrased to make that point clearer.  | Edited to read: "3. Defining a long-term strategy for obtaining financial resources to ensure the sustainability and expansion of the projects after Oro Legal ends."   |
| 58   | P39, What does this even mean?   | This means that an evaluation of the strategy to plant achieve should be made from an environmental and economic point of view and, based on the results, determine if the strategy should be adjusted. The text was edited to clarify. | New text inserted: Conduct an evaluation of the Annatto Project strategy focusing on economic and environmental issues to determine, based on its results, whether the strategy should be adjusted.   |
| 58   | SV40, Not applicable   |   | The word "air" was deleted.   |
| 59   | P41, There is no justification for a "cluster methodology" in the document, nor does it describe what this is. Suggest elimination.  | "Cluster" removed from the highlighted heading. The value chain expert argues for a clearer methodology to strengthen the value chain. Heading edited to clarify.   | Modified heading:<br>Beekkeeping: development of a methodology to strengthen the links in the value chain   |
| 59   | P42, Costly and not evident that it is required. Suggest elimination.  | We believe that the recommendation for a cost/benefit analysis remains relevant.  | No change.  |
| 60   | PD43, This is not only untrue, but it would be impossible for the evaluation team to know. We suggest eliminating and modifying the phrase as suggested.   | This information derives from Maria Isabel Agudelo's interview with Miguel Molano.  | No change.  |