



PROJECT IMPLEMENTATION REPORT (PIR)

for the project:

Effectively mainstreaming biodiversity conservation into government policy and private sector practice: piloting sustainability models to take the Critical Ecosystem Partnership Fund (CEPF) to scale

FY22

July 1, 2021 – March 31, 2022

FINAL PROJECT PIR

Executing Partners



Project Information			
Project Title:	Effectively mainstreaming biodiversity conservation into government policy and private sector practice: piloting sustainability models to take the Critical Ecosystem Partnership Fund (CEPF) to scale		
Country(ies):	Bolivia, Brazil, Burundi, Cambodia, China, DR Congo, Eritrea, Ethiopia, Kenya, Lao PDR, Malawi, Mozambique, Myanmar, Paraguay, Rwanda, South Sudan, Tanzania, Thailand, Uganda, Vietnam, Yemen, Zambia, and Zimbabwe	GEF ID:	5735
GEF Agency(ies):	Conservation International	Duration In Months:	76
Executing Agency(ies):	Critical Ecosystem Partnership Fund (CEPF)	Actual Implementation Start Date:	4/1/2016
GEF Focal Area(s):	Biodiversity	Expected Project Completion Date:	7/31/2022
GEF Grant Amount:	USD 9,800,000	Expected Financial Closure Date:	9/30/2022
Expected Co-financing:	USD 84,500,000	Date of Last Steering Committee Meeting:	12/15/2021
Co-financing Realized as of June 30, 2022:	USD 101,189,385	Mid-Term Review-Planned Date:	10/1/2018
Date of First Disbursement:	4/1/2016	Mid-Term Review-Actual Date:	10/8/2018
Cumulative disbursement as of June 30, 2022:	USD 9,772,262	Terminal Evaluation-Planned Date:	3/31/2022
PIR Prepared by:	Jack Tordoff, Managing Director, CEPF	Terminal Evaluation-Actual Date:	6/22/2022
CI-GEF Project Manager:	Free de Koning	CI-GEF Finance Lead:	Susana Escudero

Minor Amendment Categories	Minor Amendment Justification
Results framework <input type="checkbox"/>	Minor amendments are changes to the project design or implementation that do not have significant impact on the project objectives or scope, or an increase of the GEF project financing up to 5%. Please select the box that is most applicable for FY22 and include an explanation for the minor amendment request.
Components and cost <input type="checkbox"/>	n/a

Institutional and implementation arrangements <input type="checkbox"/>	n/a
Financial management <input type="checkbox"/>	n/a
Implementation schedule <input checked="" type="checkbox"/>	In March 2022, the period of performance of the project was extended by four months from 31 March 2022 to 31 July 2022. The purpose of the no-cost extension was to conduct the Terminal Evaluation and compile, submit and revise where necessary the final reports.
Executing Entity <input type="checkbox"/>	n/a
Executing Entity Category <input type="checkbox"/>	n/a
Minor project objective change <input type="checkbox"/>	n/a
Safeguards <input type="checkbox"/>	n/a
Risk analysis <input type="checkbox"/>	n/a
Increase of GEF project financing up to 5% <input type="checkbox"/>	n/a
Co-financing <input type="checkbox"/>	n/a
Location of project activity <input type="checkbox"/>	n/a
Other <input type="checkbox"/>	n/a

MINOR AMENDMENT RESPONSE FROM CI-GEF

CI-GEF approved the no-cost extension

The CI-GEF Project Agency Project Implementation Report (PIR) is composed of six sections:

- Section I: Project Implementation Progress Status Summary:** provides a brief summary of the project as well as the implementation status and rating of the previous and current fiscal years;
- Section II: Project Results Implementation Progress Status and Rating:** describes the progress made towards achieving the project objective and outcomes, the implementation rating of the project, as well as recommendations to improve the project performance, when needed;
- Section III: Project Risks Status and Rating:** describes the progress made towards managing and mitigating project risks, the project risks mitigation rating reassessment as needed, as well as recommendations to improve the management of project risks;
- Section IV: Project Environmental and Social Safeguards Implementation Status and Rating:** describes the progress made towards complying with the Environmental & Social Safeguards and the Plans prepared during the PPG phase, the safeguard plans implementation rating, as well as recommendations to improve the project safeguards;
- Section V: Project Implementation Experiences and Lessons Learned:** describes the experiences learned by the project managers and the lessons learned through the process of implementing the project; and
- Section VI: Project Geocoding:** documents the precise and specific geographic location(s) of activities supported by GEF investments based on information available in project documentation.

SECTION I: PROJECT IMPLEMENTATION PROGRESS STATUS SUMMARY

PROJECT SUMMARY

Globally, biodiversity hotspots are the most diverse yet threatened eco-regions. The remaining natural habitats within the hotspots cover only 2.3% of the planet's surface, yet support 90% of the Earth's biodiversity. These hotspots are also characterized by high levels of threat arising from the continued drive for economic growth that fails to take account of biodiversity and ecosystem services.

Since its inception in 2000, CEPF has been engaging and strengthening civil society to conserve biodiversity within global hotspots. CEPF's long-term goal for each hotspot is to ensure that civil society, collaborating with other sectors, is capable of conserving the diversity of species and ecosystems by addressing current threats affecting their integrity and functions, while preventing the emergence of new threats.

Key barriers to achieving this goal include:

- Lack of costed long-term visions;
- Limited institutional capacity and financial sustainability of multi-sector conservation programs;
- Limited track record of Civil Society Organizations (CSOs) at influencing public policy or establishing effective partnerships with private companies in sectors driving biodiversity loss;
- Limited knowledge, awareness, or application/replication of successful approaches.

The project will demonstrate the removal of these barriers. The objective of the project is to use innovative tools, methodologies, and investments, and build related capacities, through which civil society in three pilot biodiversity hotspots (Cerrado, Eastern Afromontane, and Indo-Burma), in partnership with public and private sector actors, can cost-effectively conserve biodiversity and progress towards long-term institutional sustainability, and to replicate demonstrated approaches in nine additional hotspots. The project includes the following four components:

1. Developing long-term conservation visions, financing plans, and associated strategies for biodiversity hotspots;
2. Ensuring the financial and institutional sustainability of multi-sector conservation programs;
3. Amplifying the impacts of CEPF investments through enhanced and innovative public and private sector partnerships;
4. Replicating success through knowledge products and tools.

PRIOR PROJECT IMPLEMENTATION STATUS (FY21)

Despite significant disruption to implementation during the year as a direct result of the COVID-19 pandemic, the project was still on track to meet its objective. Project implementation ended in the Eastern Afromontane Hotspot in FY20 and in the Indo-Burma Hotspot in FY21. The Cerrado was the only pilot hotspot in which project activities were still being implemented. Here, 21 grants (18 large and three small) continued implementation into FY22, to adapt to implementation delays due to the pandemic and allow grantees time to make use of exchange rate gains.

Four of the six innovative knowledge products planned under the project were completed, and two others were planned to be completed during FY22. The final multi-hotspot grant was awarded during the year, and was under implementation. Of the seven multi-hotspot grants awarded, three were closed and four remained under implementation. Three of these grants (two with activities in India and one with activities in Costa Rica) encountered significant delays due to travel restrictions related to the pandemic. Implementation continued and important results were achieved, but each grant has required significant restructuring to adapt to this challenge.

Eight grants totaling USD 0.5 million were awarded in the Cerrado during FY21. They brought the total number of grants awarded in the hotspot since the beginning of the project to 67, totaling USD 6.7 million. No further grants were awarded under the project in the Eastern Afromontane or Indo-Burma Hotspots during the year.

Under Component 1, the long-term vision for the Cerrado Hotspot was endorsed by the CEPF Donor Council. The long-term visioning process concluded that the timeframe for civil society graduating from CEPF support should be five years. This reflects the fact that, relative to other biodiversity hotspots, the Cerrado is rather unique, due to the rather high capacity of its CSOs. The capacities of a significant proportion of local CSOs are relatively high, although many smaller organizations, particularly grassroots ones, still require dedicated support. Although the current political context has limited the political space available to CSOs (e.g., their participation in collective participative bodies has decreased by 59% since 2019), and they have limited access to financial support from the federal government, this situation is considered to be temporary, and opportunities to engage with government at municipal and state levels still exist. For these reasons, the long-term vision exercise concluded that

additional financial support from CEPF would only be required for a relatively short period of time. The level of investment required was calculated to be USD 8.5 million.

Under Component 2, grants to strengthen the organizational and technical capacity of CSOs were awarded in the Cerrado Hotspot. For example, Impact Hub Brasília was awarded a grant to strengthen the capacity of 40 CSOs working on the conservation of the Cerrado by building up their organizational skills. Results from grants under this component are summarized later in this report.

Under Component 3, grants aiming to integrate biodiversity conservation and sustainable use into production landscapes through enhanced and innovative public and private sector partnerships were awarded in the Cerrado Hotspot. For example, grants were awarded to strengthen networks and consortia for the sustainable production of baru nut and babassu palm oil, two important products from native species. Results from grants under this component are summarized later in this report.

Under Component 4, one multi-hotspot grant was awarded, which aims to replicate best practices with biodiversity mainstreaming from the Indo-Burma Hotspot to the Mountains of Southwest China Hotspot. Also, under this component, three innovative knowledge products were completed (bringing the total to four), and the remaining two were commissioned, on mapping “invisible” communities and strengthening the voices of women in advocacy.

CURRENT PROJECT IMPLEMENTATION STATUS (FY22)

Despite ongoing disruption due to the COVID-19 pandemic, all project activities were completed, and the objective was met. Implementation of project activities ended in the Cerrado during the year. All grants in the Cerrado were successfully closed, and results were collated and are presented in this report. One new grant was awarded (and subsequently closed) in the Cerrado, at the beginning of FY22, to make use of funds deobligated by closed grants. This brought the total number of grants awarded under the project to 220, comprising 64 in the Cerrado, 68 in the Eastern Afromontane, 81 in Indo-Burma and seven multi-hotspot grants.

The multi-hotspot grants were awarded under Component 4, to replicate best practice from the pilot hotspots in other parts of the world. The four grants that were active at the beginning of FY22 were all closed successfully by the end of the project. CEPF has committed additional funding from non-GEF sources to enable wider replication of best practices demonstrated by these grants in Costa Rica and India; which will take place beyond the end of the project. Also under Component 4, innovative knowledge products were produced to disseminate best practices more widely. The final two products were completed during FY22: one on mapping “invisible” communities; and the other on empowering women in conservation.

Excellent progress was made towards the objective in both demonstrating innovative approaches and building civil society capacity in the pilot hotspots. In total, 213 grants were awarded in the pilot hotspots, which had impressive conservation impacts, including: mainstreaming biodiversity into 2.2 million hectares of production landscapes, in partnership with public and private sector actors; piloting new models for management at 87 protected areas, featuring direct participation of civil society organizations or indigenous and local communities; reducing threats to populations of 33 globally threatened species; and delivering direct socio-economic benefits to more than 77,000 women and 68,000 men, including increased income and improved food security. In terms of capacity building, the grants awarded under the project directly supported 181 CSOs including 147 local organizations. This financial support was complemented by targeted training and networking for CEPF grantees. Fifty-two local grantees (and 14 local mentees) reported an increase in their institutional capacity of at least 10%, based on the self-assessed civil society tracking tool.

The grants in the pilot hotspots demonstrated many innovative and effective conservation approaches, some of which were considered best practice suitable for wider replication, both within and outside the pilot hotspots. Through an open competition, a small portfolio of multi-hotspot grants was awarded, to replicate these best practice approaches, leading to successful replication of two policy demonstration models and two management best practices. For example, a model for community-managed fish conservation zones demonstrated in the Indo-Burma Hotspot was replicated in the Himalayas and Mesoamerica Hotspots. Innovative knowledge products were prepared on six best practices and made available on the CEPF website in multiple languages. CEPF promoted these knowledge products among its grantees and of the response towards some of them has been good, especially those on capacity building and gender.

Progress towards long-term institutional sustainability was good overall but varied among the pilot hotspots. In all three hotspots, a long-term vision was prepared through a participatory process. In the Cerrado, given the relative strength of civil society, the long-term vision set out a relatively short roadmap for transitioning from CEPF support to local funding sources and implementation structures. With support from the project, the Regional Implementation Team (RIT) for the hotspot began a transition into a long-term implementation structure and made progress towards leveraging the funding required to implement a long-term vision, including resources from the GEF. In Indo-Burma, where the long-term vision recognized that more time (at

least 15-20 years) would be needed to transition away from CEPF, the RIT transitioned into a long-term implementation structure, and funding was secured for a new phase of investment, to at least 2027. In parallel, the RIT host organization (IUCN) and CEPF began the development of a 10-year program of support from the Green Climate Fund and other donors. The long-term vision for the Eastern Afromontane also recognized the need for sustained engagement by CEPF, to strengthen and engage CSOs in responding to biodiversity conservation challenges. However, despite the best efforts of the RIT and the CEPF Secretariat, follow-on funding at the portfolio level had not been secured by the end of the GEF project, although many of the individual CSO-led initiatives were successful in securing funding to sustain and amplify results achieved under the project.

The project design assumed that CEPF would be active in 12 biodiversity hotspots during the project, allowing tools and approaches demonstrated in the three pilot hotspot to be replicated in nine others. However, the COVID-19 pandemic and the unfavorable global economic climate made leveraging additional funding, from both traditional conservation donor and non-traditional sources, challenging. Much of the funding that was secured was earmarked for particular hotspots, meaning that CEPF moved towards a model of less breadth but greater depth and sustainability. Consequently, some targets related to replication in other hotspots were not met. For example, long-term implementation structures were only established in four additional hotspots, not nine as originally planned.

SUMMARY: PROJECT IMPLEMENTATION PROGRESS STATUS

PROJECT PART	PRIOR FY21 IMPLEMENTATION PROGRESS RATING	CURRENT FY22 IMPLEMENTATION PROGRESS RATING ¹	RATING TREND ²
OBJECTIVE	HS	HS	Unchanged
COMPONENTS AND OUTCOMES	S	HS	Increasing
ENVIRONMENTAL & SOCIAL SAFEGUARDS	HS	HS	Unchanged

PROJECT RISK RATING³

RISKS	S	M	decreased
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¹ **Implementation Progress (IP) Rating:** Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), and Highly Unsatisfactory (HU). For more details about IP rating, please see the Appendix I of this report

² **Rating trend:** Improving, Unchanged, or Decreasing

³ **Risk Rating:** Low (L), Modest (M), Substantial (S), High (H)

SECTION II: PROJECT RESULTS IMPLEMENTATION PROGRESS STATUS AND RATING

This section describes the progress made towards achieving the project objective and outcomes, the implementation progress rating of the project, as well as recommendations to improve the project performance. This section is composed four parts:

- a. Progress towards Achieving Project Expected Objective: this section measures the likelihood of achieving the objective of the project
- b. Progress towards Achieving Project Expected Outcomes (by project component)
- c. Overall Project Results Progress Rating, and
- d. Recommendations for improvement

a. Progress towards Achieving Project Expected Objective:

This section of the report assesses the progress in achieving the objective of the project.

PROJECT OBJECTIVE:	To demonstrate innovative tools, methodologies and investments, and build related capacities, through which civil society in three pilot biodiversity hotspots, in partnership with public and private sector actors, can cost-effectively conserve biodiversity and progress towards long-term institutional sustainability, and to replicate demonstrated approaches in nine additional hotspots
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OBJECTIVE INDICATORS	END OF YEAR INDICATOR STATUS	PROGRESS RATING ⁴	COMMENTS/JUSTIFICATION
Indicator a: Number of long-term conservation visions and financing plans for biodiversity hotspots developed and implemented with clear targets for CEPF graduation and endorsed by civil society, government, donor and/or private sector actors	3 (Indo-Burma long-term vision endorsed and implemented during FY18; Eastern Afromontane long-term vision (covering the Albertine Rift and Eastern Arc Mountains) endorsed and implemented during FY19; Cerrado long-term vision endorsed and implemented during FY21)	CA	The long-term vision for the Indo-Burma Hotspot was endorsed by the CEPF Donor Council in October 2017. The long-term vision for the Albertine Rift and Eastern Arc Mountains Sub-region of the Eastern Afromontane Hotspot was endorsed by the CEPF Donor Council in December 2018. The long-term vision for the Cerrado Hotspot was endorsed by the CEPF Donor Council in June 2021, following delays due to the impacts of the COVID-19 pandemic.

⁴ **O**= Overdue; **D**= Delayed; **NS**= Not started on schedule; **IS**= Under implementation on schedule; and **CA**= Completed/Achieved

OBJECTIVE INDICATORS	END OF YEAR INDICATOR STATUS	PROGRESS RATING ⁴	COMMENTS/JUSTIFICATION
Indicator b. Number of civil societies and CEPF grantees in the pilot hotspots that improve their financial and institutional sustainability	123 (174 local CSOs in the pilot hotspots received CEPF grants and/or targeted capacity building; 152 of them completed baseline and final civil society tracking tools, out of which 123 showed increased financial and institutional sustainability)	CA	220 grants (81 large and 139 small) were awarded in the pilot hotspots, with a total commitment of USD 15.4 million from the GEF and co-financing. These grants supported 147 local CSOs. A further 27 local CSOs were supported through a dedicated capacity-building grant in the Cerrado. The financial and institutional sustainability of these organizations was tracked using the civil society tracking tool, which was completed at the start and end of the period of CEPF support. The tool was completed by 152 local CSOs (72 in the Cerrado, 30 in the Eastern Afromontane, and 50 in Indo-Burma), of which 123 (61 in Cerrado, 23 in Eastern Afromontane, and 39 in Indo-Burma) showed an increase in score over the period of CEPF support.
Indicator c. Total area of production landscapes, protected areas, and conservation corridors implementing biodiversity conservation and sustainable use	2,221,847 hectares of production landscapes (1,294,358 hectares in the Cerrado, 851,795 hectares in the Eastern Afromontane and 75,694 hectares in Indo-Burma), 2,848,116 hectares of protected areas (1,848,911 hectares in the Cerrado, 752,987 hectares in the Eastern Afromontane and 246,218 hectares in Indo-Burma), and 6,668,562 hectares of conservation corridors (3,440,628 hectares in the Cerrado, 1,473,234 hectares in the Eastern Afromontane and 1,754,700 hectares in Indo-Burma)	CA	The baseline figures are 1,862,161 hectares of production landscapes, 1,392,957 hectares of protected areas, and 0 hectares of conservation corridors. During the project, conservation and sustainable use of biodiversity were strengthened in an additional 2,221,847 hectares of production landscapes (comprising agricultural land (including grazing land), community fisheries, community forests, and limestone quarries), new management models featuring direct participation of civil society (including co-managed protected areas, community protected areas, multiple-use conservation landscapes, and fishery conservation zones) were introduced to an additional 2,848,116 hectares of protected areas, and ecological connectivity was enhanced in six conservation corridors, totaling 6,668,562 hectares (3,000,000 hectares of the Sertão Veredas-Peruaçu Corridor and 440,628 hectares of the Veadeiros-Pouso Alto-Kalungas Corridor in the Cerrado; 121,712 hectares of the Chimanimani-Nyanga Mountains, 533,916 hectares of the Greater Mahale Landscape, 517,606 hectares of the Itombwe-Nyungwe Landscape and 300,000 hectares of the Lake Tana Catchment in the Eastern

OBJECTIVE INDICATORS	END OF YEAR INDICATOR STATUS	PROGRESS RATING ⁴	COMMENTS/JUSTIFICATION
			Afromontane; and 1,754,700 hectares of the Tonle Sap Lake and Inundation Zone in Indo-Burma).
Indicator d. Number of policy demonstration models and management best practices adopted in number of additional biodiversity hotspots	4 (best practices for: mainstreaming biodiversity conservation into rice cultivation; community-based fish conservation zone; Key Biodiversity Area (KBA) identification; and mainstreaming biodiversity conservation into the operations of Chinese companies)	CA	Best practices for mainstreaming biodiversity conservation into rice cultivation demonstrated in Cambodia (Indo-Burma Hotspot) were replicated in India (Himalayas Hotspot). Best practices for community-managed fish conservation zones demonstrated in Lao PDR (Indo-Burma Hotspot) were replicated in Costa Rica (Mesoamerica Hotspot) and India (Himalayas Hotspot). Best practices for identification of KBAs demonstrated in Cambodia (Indo-Burma Hotspot) were replicated in Kenya (Eastern Afromontane Hotspot), Nigeria and Ghana (both Guinean Forests of West Africa). Best practices for mainstreaming biodiversity conservation into the operations of by Chinese companies demonstrated in the Indo-Burma Hotspot were replicated in the Mountains of Southwest China Hotspot.

OBJECTIVE IMPLEMENTATION PROGRESS RATING	JUSTIFICATION
HS	All three long-term visions (Indo-Burma, Eastern Afromontane, Cerrado) have been endorsed and implemented. 220 grants (81 large and 139 small) were awarded in the pilot hotspots, with a total commitment of USD 15.4 million from the GEF and through co-financing. These grants supported 147 local CSOs. A further 27 local CSOs were supported through a dedicated capacity-building grant in the Cerrado. Out of 152 completed baseline and final civil society tracking tools, 81% showed increased financial and institutional sustainability. Through the granting mechanism, important impact was achieved on the ground, significantly overachieving targets for the areas of production landscapes, protected areas, and conservation corridors implementing biodiversity conservation and sustainable use (see further below). In four additional hotspots, best practices have been replicated.

b. Progress towards Achieving Project Expected Outcomes (by project component).

This part of the report assesses the progress towards achieving the outcomes of the project.

COMPONENT 1	Developing long-term conservation visions, financing plans, and associated strategies for biodiversity hotspots
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Outcome 1.1:	Long-term conservation visions developed for the Cerrado, Eastern Afromontane, and Indo-Burma Hotspots, with participation of civil society, government, donor and private sector actors
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OUTCOMES TARGETS/INDICATORS	END OF PROJECT INDICATOR TARGET	END OF YEAR INDICATOR STATUS	PROGRESS RATING ⁵	COMMENTS/JUSTIFICATION
Outcome indicator 1.1.1: Number of long-term visions incorporating resource mobilization strategies that support the mobilization of new funding, and policy targets addressing key drivers of biodiversity loss and guiding the development of new policy demonstration models	3 long-term visions incorporating resource mobilization strategies and policy targets	3 long-term visions incorporating resource mobilization strategy and policy targets	CA	Long-term visions (incorporating resource mobilization strategies and policy targets) were prepared for the Cerrado Hotspot, the Albertine Rift and Eastern Arc Mountains Sub-region of the Eastern Afromontane Hotspot, and the Indo-Burma Hotspot.
Outcome indicator 1.1.2: Number of hotspots with clear targets for graduation of civil society from CEPF support	3 pilot hotspots with graduation targets	3 pilot hotspots with graduation targets	CA	Targets for graduating civil society from CEPF support were set for the Cerrado Hotspot, the Albertine Rift and Eastern Arc Mountains Sub-region of the Eastern Afromontane Hotspot, and the Indo-Burma Hotspot.
Outcome indicator 1.1.3: Number of civil society, government, donor and/or private sector actors that endorse the long-term visions	10 endorsements of the long-term visions	46 endorsements of the long-term visions	CA	The long-term vision for the Cerrado Hotspot was endorsed by the CEPF Donor Council and by 36 stakeholder organizations. The long-term vision for the Albertine Rift and Eastern Arc Mountains Sub-region of the Eastern Afromontane Hotspot was endorsed by the CEPF Donor Council and by five leading international conservation NGOs in the region: BirdLife International; IUCN; Fauna & Flora International; Tropical Biology Association; and Wildlife Conservation Society. The long-term vision for the Indo-Burma Hotspot was endorsed by the CEPF Donor Council and by the IUCN Asia Regional Office, and the Myanmar Environment Rehabilitation-conservation Network.

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COMPONENT 1 IMPLEMENTATION PROGRESS RATING	JUSTIFICATION	RATING TREND
HS	For all three hotspots, long-term visions, incorporating resource mobilization strategy and policy targets, and graduation targets have been developed, that way completely achieving the targets for indicators 1.1.1 and 1.1.2. For indicator 1.1.3, a total of 46 endorsement was achieved, which was significantly more than the target that was set (10 endorsements).	Unchanged

COMPONENT 2	Ensuring the financial and institutional sustainability of multi-sector conservation programs
Outcome 2.1:	Increased capacity and credibility of conservation-focused civil societies in the Cerrado, Eastern Afromontane and Indo-Burma Hotspots
Outcome 2.2:	Increased and more sustained financial flows to civil societies engaged in the conservation of biodiversity, from diverse sources, including non-traditional sources

OUTCOMES TARGETS/INDICATORS	END OF PROJECT INDICATOR TARGET	END OF YEAR INDICATOR STATUS	PROGRESS RATING ⁶	COMMENTS/JUSTIFICATION
Outcome indicator 2.1.1: Number of pilot hotspots that show at least 20% improvement in collective civil society capacity tracking tool scores	3 pilot hotspots with 20% improvement over duration of project	3 pilot hotspots with more than 20% improvement over duration of project	CA	At the start of the project, baselines were set for the Cerrado (score = 0 out of 10), the Eastern Afromontane (score = 5 out of 10), and Indo-Burma (score = 3 out of 10). The baseline score for the Cerrado was revised to 3 out of 10 during the mid-term assessment in April 2019. The baseline score for the Eastern Afromontane was an average of individual scores for Kenya (7), Rwanda (5), Tanzania (2), and Uganda (7). The final tracking tool for Indo-Burma was completed as part of the final assessment in May 2019. Stakeholders assessed that the score had increased to 4 out of 10, equivalent to a 33% improvement. The final tracking tool for the Eastern Afromontane was completed during the final assessment in July 2019. The final score was an average of the updated scores for Kenya (10), Rwanda (5), Tanzania (5), and Uganda (6); this showed a 30% improvement from the baseline. The final tracking tool for the Cerrado was completed in November 2021 as part of the final assessment. Stakeholders assessed that the score had increased to 5 out of 10, equivalent to a 67% improvement from the revised baseline of 3.

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OUTCOMES TARGETS/INDICATORS	END OF PROJECT INDICATOR TARGET	END OF YEAR INDICATOR STATUS	PROGRESS RATING ⁶	COMMENTS/JUSTIFICATION
<p>Outcome indicator 2.1.2: Number of CEPF grantees, number of Indigenous People's organizations and number of women's groups that show at least 10% improvement in civil society tracking tool scores</p>	<p>60 grantees, including at least 5 Indigenous People's organizations and 5 women's groups, with 10% improvement over duration of project</p>	<p>52 grantees (plus 14 mentees), including 11 Indigenous People's organizations and 1 women's group, with 10% improvement over duration of project</p>	<p>CA</p>	<p>Grants were awarded to 147 local CSOs in the pilot hotspots, including 14 Indigenous People's organizations and one women's group. The civil society tracking tool was completed by these organizations at the start and end of the period of CEPF support, to allow monitoring of change over time. The tool was completed by 124 grantees, of which 52 showed improvements of 10% or more (17 from the Cerrado, eight from the Eastern Afromontane and 27 from Indo-Burma). Among the 14 grantees that were Indigenous People's organizations, 11 showed improvements of 10% or more. Of the two women's groups to receive a grant, one (KIWOCEU - Kigezi Initiative for Women and Children Empowerment and Development-Uganda) showed an improvement in its CSTT score of more than 10%. Despite repeated efforts, it was only possible to award two grants to dedicated women's groups (groups comprised of women and/or working primarily for the benefit of women), although at least 20 grants were awarded to women-headed organizations, of which at least 10 showed an improvement in capacity of more than 10%. The tool was also completed by an additional 27 local CSO mentees under the ImpactHub project in the Cerrado, among which 14 reported improvements of 10% or more, bringing the total number of CSOs with this level of improvement to 66.</p>
<p>Outcome indicator 2.1.3: Number of CEPF grantees that show at least 20% improvement in gender mainstreaming tracking tool scores</p>	<p>30 grantees with 20% improvement over duration of project</p>	<p>57 grantees (plus eight mentees) with 20% improvement over duration of project</p>	<p>CA</p>	<p>Grants were awarded to 176 CSOs (local and international) across the three pilot hotspots. The gender tracking tool was completed by these organizations at the start and end of the period of CEPF support. The tool was completed by 123 grantees (48 from the Cerrado, 21 from the Eastern Afromontane and 54 from Indo-Burma), of which 57 showed improvements of at least 20% (15 from the Cerrado, 14 from the Eastern Afromontane, and 28 from Indo-Burma). The tool was also completed by 27 local CSO mentees under the ImpactHub project in the Cerrado, among which eight reported improvements of 20% or more, bringing the total number of CSOs with this level of improvement to 65.</p>
<p>Outcome indicator 2.2.1: Funds available in sustainable financing mechanisms to support priorities in long-term conservation visions, including:</p> <ul style="list-style-type: none"> • sustainable financing mechanisms from non- 	<p>USD 20 million of additional funding in sustainable financing mechanisms, including USD 5 million from non-traditional sources and USD 2 million</p>	<p>USD 21.1 million of additional funding in sustainable financing mechanisms, including USD 2.2 million from non-traditional sources</p>	<p>CA</p>	<p>The baseline figure was USD 8.9 million available in sustainable financing mechanisms in the pilot hotspots (all in the Eastern Afromontane). Of the 213 grants awarded in the pilot hotspots, seven aimed to demonstrate innovative models for private sector financing of conservation. A grant in Cambodia leveraged USD 4 million from l'Agence Française de Développement (AFD) for scaling up pilot models for wildlife-friendly agriculture. Also, in Indo-Burma, plans were developed to establish a wildlife conservation foundation in Vietnam able to receive charitable donations from private companies and individuals; the foundation received</p>

OUTCOMES TARGETS/INDICATORS	END OF PROJECT INDICATOR TARGET	END OF YEAR INDICATOR STATUS	PROGRESS RATING ⁶	COMMENTS/JUSTIFICATION
traditional sources (e.g. private sector, new economic and financial instruments, etc.) <ul style="list-style-type: none"> conservation finance generated by innovating private sector models 	from private sector models	and USD 600,000 from private sector models		its license in November 2021, but the main fundraising will begin after the end of the project. Three grants in Kenya and one in Uganda worked to develop water-based PES services schemes. Furthermore, a grant to Maasai Wilderness Conservation Trust in Kenya supported the sale of credits on the voluntary carbon market. The most recent sale took place in September 2019, with 355,000 voluntary carbon units sold at USD 5.50 a unit. Since 2017, the total revenue is around USD 2.2 million. In the Cerrado, a grant to develop an incentive mechanism for Brazilian coffee producers to adopt biodiversity-friendly practices leveraged additional funding from Expocaccer, Lavazza, Nescafe and Nespresso, Cooxupe, COFCO International, Volcafe and NKG Stockler, totalling USD 600,000 between 2019 and 2025. There were also in-kind contributions from three municipalities and one private company (DATERRA), valued at USD 325,000 between 2022 and 2025. Discussions are well advanced with Starbucks to join the Cerrado Waters Consortium, with a fixed annual financial contribution starting in 2023. Discussions are also ongoing with RaboBank from the Netherlands, to contribute towards a sustainable coffee fund to enable a transition to more sustainable practices in agricultural value chains and avert deforestation. At the scale of the pilot hotspots, CEPF secured USD 7.0 million from its global donors and USD 5.5 million from Margaret A. Cargill Philanthropies to sustain and build upon the results of the project through a new investment in the Indo-Burma Hotspot from 2020 to 2025. In the Cerrado Hotspot, USD 1.8 million has been earmarked in the GEF-7 workplan for Brazil, for a four-year project to be executed by the RIT, IEB, to consolidate results achieved under the project regarding the supply chain for baru nut. This project will be prepared during 2022.

COMPONENT 2 IMPLEMENTATION PROGRESS RATING	JUSTIFICATION	RATING TREND
HS	The civil society tracking tool scores improved with more than the set target in all hotspots. The target for gender mainstreaming was also overachieved. During the last year of project implementation, the project also reached the overall target for additional funding in sustainable financing mechanisms.	Increasing

COMPONENT 3 Amplifying the impacts of CEPF investments through enhanced and innovative public and private sector partnerships

Outcome 3.1: Integrating biodiversity conservation and sustainable use into production landscapes implemented with public and private sector actors across at least total 1,000,000 hectares in the Cerrado, Eastern Afromontane and Indo-Burma Hotspots

OUTCOMES TARGETS/INDICATORS	END OF PROJECT INDICATOR TARGET	END OF YEAR INDICATOR STATUS	PROGRESS RATING ⁷	COMMENTS/JUSTIFICATION
Outcome indicator 3.1.1: Number of hectares of production landscapes that demonstrate effective ways of mainstreaming biodiversity	1 million hectares of production landscapes with effective biodiversity mainstreaming	2,221,847 hectares of production landscapes with effective biodiversity mainstreaming	CA	The baseline figure (according to the updated project results monitoring framework of 30 June 2016) was 1,862,161 hectares of production landscapes with effective biodiversity mainstreaming (comprising 1,238,398 hectares in the Eastern Afromontane and 623,763 hectares in Indo-Burma). Sixty-one grants (23 in the Cerrado, 29 in the Eastern Afromontane, and nine in Indo-Burma) aimed to demonstrate effective ways of mainstreaming biodiversity into production landscapes. These grants mainstreamed biodiversity conservation into an additional 2,221,847 hectares of production landscapes, comprising: 1,294,358 hectares of land used for agriculture and agro-extractivism in Brazil; 487,324 hectares of agricultural and grazing land in Ethiopia, Kenya, Malawi, Mozambique, Rwanda, Tanzania, Uganda and Zambia; 364,425 hectares of community forests in Ethiopia, Kenya, Mozambique, Tanzania, Uganda, Zambia and Zimbabwe; 46 hectares of mining concession in Rwanda; 2,406 hectares of agricultural land in Cambodia; 67,898 hectares of community fisheries in Cambodia; 5,154 hectares of community forests in Cambodia, Myanmar, Thailand and Vietnam; and 236 hectares of limestone quarrying concession in Myanmar.
Outcome indicator 3.1.2: Number of protected areas with new management models featuring direct participation of civil society organizations or indigenous and local communities that show improvements in SP1 METT scores	20 protected areas with new models	87 protected areas with new models	CA	The baseline figure (according to the updated project results monitoring framework of 30 June 2016) was nine protected areas (all in Indo-Burma) with new management models. Thirty-three grants (14 in the Cerrado, 11 in the Eastern Afromontane, and eight in Indo-Burma) aimed to demonstrate effective models of protected area management inclusive of civil society participation. These grants developed new management models at an additional 66 protected areas covering 2,848,116 hectares (70 in Brazil, three each in Cambodia, Myanmar and Vietnam, two in the DRC, and one each in Ethiopia, Kenya, Rwanda, Tanzania, Thailand, and Uganda).
Outcome indicator 3.1.3: Number of globally threatened species with reduced threats to their	20 globally threatened species with	33 globally threatened species with reduced	CA	Thirty-nine grants (seven in the Cerrado, 17 in the Eastern Afromontane, and 15 in Indo-Burma) aimed to reduce threats to populations of globally threatened species. These grants reduced threats to populations of 33 globally threatened species: African elephant (<i>Loxodonta africana</i> , VU);

⁷ **O**= Overdue; **D**= Delayed; **NS**= Not started on schedule; **IS**= Under implementation on schedule; and **CA**= Completed/Achieved

OUTCOMES TARGETS/INDICATORS	END OF PROJECT INDICATOR TARGET	END OF YEAR INDICATOR STATUS	PROGRESS RATING ⁷	COMMENTS/JUSTIFICATION
populations through mainstreaming of biodiversity into production landscapes and/or implementation of new protected area models	reduced threats to their populations	threats to their populations		chimpanzee (<i>Pan troglodytes</i> , EN); eastern gorilla (<i>Gorilla beringei</i> , CR); eastern hoolock gibbon (<i>Hoolock leuconedys</i> , VU); cao vit gibbon (<i>Nomascus nasutus</i> , CR); François’s langur (<i>Trachypithecus francoisi</i> , EN); Tonkin snub-nosed monkey (<i>Rhinopithecus avunculus</i> , CR); red-shanked douc langur (<i>Pygathrix nemaeus</i> , CR); Brazilian merganser (<i>Mergus octosetaceus</i> , CR); blue-eyed ground-dove (<i>Columbina cyanopsis</i> , CR); Bengal florican (<i>Houbaropsis bengalensis</i> , CR); black-faced spoonbill (<i>Platalea minor</i> , EN); spoon-billed sandpiper (<i>Eurynorhynchus pygmaeus</i> , CR); great knot (<i>Calidris tenuirostris</i> , EN); grey crowned crane (<i>Balearica regulorum</i> , EN); Saunders’s gull (<i>Larus saundersi</i> , VU); long-billed forest warbler (<i>Artisornis moreaui</i> , CR); Myanmar roofed turtle (<i>Batagur trivitatta</i> , CR); Cantor’s giant softshell turtle (<i>Pelochelys cantorii</i> , EN); Asiatic softshell turtle (<i>Amyda cartilaginea</i> , VU); Jullien’s golden carp (<i>Probarbus jullieni</i> , CR); thicklipped barb (<i>Probarbus labeamajor</i> , EN); Maathai’s longleg (<i>Notogomphus maathaiae</i> , EN); Kenya jewel (<i>Platycypha amboniensis</i> , CR); giant sprite (<i>Pseudagrion bicoerulans</i> , VU); Haines’s orange mangrove (<i>Bruguiera hainesii</i> , CR); sundari mangrove (<i>Heritiera fomes</i> , EN); a sedge species (<i>Carex monostachya</i> , VU); a myrrh species (<i>Commiphora monoica</i> , CR); a magnolia species (<i>Michelia coriacea</i> , EN); a cycad species (<i>Cycas bifida</i> , VU); Vietnamese golden cypress (<i>Xanthocyparis vietnamensis</i> , EN); and Yunnan catkin yew (<i>Amentotaxus yunnanensis</i> , VU).
Outcome indicator 3.1.4: Number of conservation corridors with enhanced ecological connectivity through the incorporation of financial incentives into policy and the adoption of biodiversity-friendly management practices by private companies	6 conservation corridors with enhanced ecological connectivity	7 conservation corridors with enhanced ecological connectivity	CA	Twenty-eight grants (14 in the Cerrado, 12 in the Eastern Afromontane, and two in Indo-Burma) aimed to enhance ecological connectivity within conservation corridors. These grants enhanced ecological connectivity in seven corridors. In the Sertão Veredas-Peruaçu corridor in the Cerrado, ecological connectivity was enhanced through developing a conservation-based territorial development plan for 2020-2032, covering 3 million hectares. An additional 440,628 hectares in Veadeiros-Pouso Alto-Kalungas corridors gained enhanced ecological connectivity through the improved management of quilombo land, inclusion of protected areas in the new management of a mosaic council, and through creation of private reserves. In the Chimanimani-Nyanga Mountains in the Eastern Afromontane, it was enhanced through establishing working relations between grantees on both sides of the Zimbabwe-Mozambique border to undertake transboundary conservation. In the Greater Mahale Landscape in the Eastern Afromontane, it was enhanced through a grantee working in the Malagarasi River system with a program in Mahale to create intra-corridor connections. In the Itombwe-Nyungwe Landscape in the Eastern Afromontane, it was enhanced through developing a Climate Resilient Altitudinal Gradients (CRAGs)

OUTCOMES TARGETS/INDICATORS	END OF PROJECT INDICATOR TARGET	END OF YEAR INDICATOR STATUS	PROGRESS RATING ⁷	COMMENTS/JUSTIFICATION
				<p>program covering terrestrial and freshwater sites across three countries (Burundi, DRC, and Rwanda), demonstrating both the hydrological and political connections among countries. In the Lake Tana Catchment in the Eastern Afromontane, it was enhanced through linking conservation activities in the lake itself (fisheries management, wetland management, policies, and species conservation) with those in the surrounding mountains (site conservation, creating new protected areas, and improving agricultural practices). In the Tonle Sap Lake and Inundation Zone corridor in Indo-Burma, it was enhanced through promoting uptake of wildlife-friendly rice cultivation techniques in production landscapes outside protected areas.</p>
<p>Outcome indicator 3.1.5: Number of indigenous and local communities that have increased, gender-equitable access to ecosystem services</p>	<p>250 communities with increased, gender-equitable access to ecosystem services</p>	<p>443 communities with increased, gender-equitable access to ecosystem services</p>	<p>CA</p>	<p>The baseline figure (according to the updated project results monitoring framework of 30 June 2016) was 22 communities with increased, gender-equitable access to ecosystem services (seven in Kenya, Rwanda, Tanzania and Uganda, and 15 in Indo-Burma). Eighty-seven grants (21 in the Cerrado, 40 in the Eastern Afromontane, and 26 in Indo-Burma) aimed to provide indigenous and local communities with increased, gender-equitable access to ecosystem services. These grants provided an additional 443 communities with increased, gender-equitable access to ecosystem services (202 in the Cerrado, 117 in the Eastern Afromontane and 124 in Indo-Burma).</p>
<p>Outcome indicator 3.1.6: Number of women and number of men that receive direct socio-economic benefits through increased income, food security, resource rights or other measures of human wellbeing</p>	<p>25,000 women and 25,000 men with direct socio-economic benefits</p>	<p>77,814 women and 68,271 men with direct socio-economic benefits</p>	<p>CA</p>	<p>The baseline figures (according to the updated project results monitoring framework of 30 June 2016) were 11,939 women and 14,844 men with direct socio-economic benefits (comprising 690 women and 690 men in Kenya, Rwanda, Tanzania, and Uganda, and 11,249 women and 14,154 men in Indo-Burma). Seventy-eight grants (17 in the Cerrado, 26 in the Eastern Afromontane, and 35 in Indo-Burma) aimed to provide women and men with direct socio-economic benefits. These grants provided an additional 77,814 women and 68,271 men with direct benefits (1,492 women and 1,727 men from the Cerrado, 68,161 women and 58,816 men from Eastern Afromontane and 8,161 women and 7,728 men from Indo-Burma).</p>
<p>Outcome indicator 3.1.7: Number of women and number of men that receive indirect socio-economic benefits through enhanced and more secure delivery of ecosystem services</p>	<p>125,000 women and 125,000 men with indirect socio-economic benefits</p>	<p>141,993 women and 132,527 men with indirect socio-economic benefits</p>	<p>CA</p>	<p>The baseline figures (according to the updated project results monitoring framework of 30 June 2016) were 32,054 women and 32,054 men with indirect socio-economic benefits (comprising 28,554 women and 28,554 men in Kenya, Rwanda, Tanzania, and Uganda, and 3,500 women and 3,500 men in Indo-Burma). Seventy grants (33 in the Cerrado, 26 in the Eastern Afromontane, and 11 in Indo-Burma) aimed to provide indirect socio-economic benefits. These grants provided indirect benefits to an additional 141,993 women and 132,527 men (43,590 women and 44,113 men from</p>

OUTCOMES TARGETS/INDICATORS	END OF PROJECT INDICATOR TARGET	END OF YEAR INDICATOR STATUS	PROGRESS RATING ⁷	COMMENTS/JUSTIFICATION
				the Cerrado, 67,202 women and 57,384 men from the Eastern Afromontane, and 31,201 women and 31,030 men from Indo-Burma).

COMPONENT 3 IMPLEMENTATION PROGRESS RATING	JUSTIFICATION	RATING TREND
HS	All outcome indicator targets have been overachieved, in most cases, significantly. The achieved hectares of production landscapes with effective biodiversity mainstreaming are more than twice the target. The number of protected areas with new models is more than four times the target. For 33 globally threatened species the threats reduced (the target was 20). Likewise, the results for communities with increased, gender-equitable access to ecosystem services demonstrate the success of the project. Several people have received direct and indirect socio-economic benefits and a good gender balance was obtained.	Unchanged

COMPONENT 4	Replicating success through knowledge products and tools
Outcome 4.1:	CEPF investments in other hotspots strengthened through the adoption of successful models and tools developed in the pilot hotspots
Outcome 4.2:	Models, tools and best practices developed under the project are widely available and inform other actors developing public-private partnerships for biodiversity conservation globally

OUTCOMES TARGETS/INDICATORS	END OF PROJECT INDICATOR TARGET	END OF YEAR INDICATOR STATUS	PROGRESS RATING ⁸	COMMENTS/JUSTIFICATION
Outcome indicator 4.1.1: Number of additional hotspots that have long-term implementation structures	9 additional hotspots with long-term implementation structures	4 additional hotspots with long-term implementation structures	CA	The long-term implementation structures in the pilot hotspots were based upon the existing structure of the RITs. This model will be adopted in hotspots where CEPF invests or reinvests going forward. Drawing on experience from the pilot hotspots, new structures were established for the Mountains of Central Asia Hotspot in November 2019, the Wallacea Hotspot in August 2020, the Caribbean Islands Hotspot in August 2021, and the Tropical Andes Hotspot in January 2022. Long-term implementation structures will be established for additional hotspots after the end of the project, beginning with the Madagascar and the Indian Ocean Islands Hotspot in June 2022. Overall, the pace of replication of experience and

^{8 8} O= Overdue; D= Delayed; NS= Not started on schedule; IS= Under implementation on schedule; and CA= Completed/Achieved

OUTCOMES TARGETS/INDICATORS	END OF PROJECT INDICATOR TARGET	END OF YEAR INDICATOR STATUS	PROGRESS RATING ⁸	COMMENTS/JUSTIFICATION
				models from the pilot hotspots was constrained by delays with securing funding to extend CEPF investments in other hotspots.
Outcome indicator 4.1.2: Number of additional hotspots that have regional resource mobilization strategies	9 additional hotspots with regional resource mobilization strategies	1 additional hotspot with regional resource mobilization strategy	CA	An internal evaluation of the effectiveness of the regional resource mobilization strategies was completed in March 2021. The findings were discussed within the CEPF Secretariat, in order to incorporate lessons learned into future long-term vision exercises. Lessons from the pilot hotspots were incorporated into the long-term vision for the Tropical Andes Hotspot (completed in 2021). They will also be incorporated into the long-term vision for the Guinean Forests of West Africa Hotspot (due June 2022).
Outcome indicator 4.1.3: Number of successful policy demonstration models that have been adopted in at least one additional hotspot	2 policy demonstration models adopted in at least one additional hotspot	2 policy demonstration models adopted in at least one additional hotspot	CA	A policy demonstration model for mainstreaming bustard conservation into rice cultivation demonstrated in the Indo-Burma Hotspot was replicated in the Himalayas Hotspot. A policy demonstration model for community-managed fish conservation zones demonstrated in the Indo-Burma Hotspot was replicated in the Himalayas and Mesoamerica Hotspots.
Outcome indicator 4.1.4: Number of management best practices that have been adopted in at least one additional hotspot	2 management best practices adopted in at least one additional hotspot	2 management best practices adopted in at least one additional hotspot	CA	Best practices for identifying KBAs as a tool for safeguarding sites from incompatible development demonstrated in the Indo-Burma Hotspot were replicated in the Eastern Afrotropical and Guinean Forests of West Africa Hotspots. Best practices for mainstreaming biodiversity into the operations of Chinese companies demonstrated in the Indo-Burma Hotspot were replicated in the Mountains of Southwest China Hotspot.
Outcome indicator 4.2.1: Number of models, tools and best practices developed under the project that have been adopted by conservation practitioners in areas outside CEPF investments	3 models, tools and/or best practices adopted in areas outside CEPF investments	3 models, tools and/or best practices adopted in areas outside CEPF investments	CA	Three of the models, tools or best practices developed under the project were adopted by conservation practitioners in areas outside the biodiversity hotspots where CEPF is currently active. The models for mainstreaming bustard conservation into rice cultivation and for community-managed fish conservation zones were both adopted in the Himalayas Hotspot in India, where CEPF has not invested since 2010, while the latter was adopted in the Mesoamerica Hotspot in Costa Rica, where CEPF has not invested since 2011; and the best practice for mainstreaming biodiversity into the operations of Chinese companies was adopted in the Mountains of Southwest China Hotspot, where CEPF has not invested since 2013.

COMPONENT 4 IMPLEMENTATION PROGRESS RATING	JUSTIFICATION	RATING TREND
S	Due to the COVID-19 pandemic, CEPF moved towards an overall funding model that focusses on less hotspots but with greater depth and sustainability, affecting indicators 4.1.1 and 4.1.2. The target for adoption of policy models in an additional hotspot was achieved, as well as the targets for adoption of management best practice models in an additional hotspot and areas outside CEPF investments.	Increasing

c. Overall Project Results Rating

OVERALL PROJECT RESULTS IMPLEMENTATION RATING

OVERALL RATING	JUSTIFICATION	RATING TREND ⁹
HS	The Indo-Burma, Eastern Afromontane, and Cerrado long-term visions have been endorsed and implemented. 220 grants (81 large and 139 small) were awarded in the pilot hotspots, with a total commitment of USD 15.4 million from the GEF and co-financing. These grants supported 147 local CSOs. A further 27 local CSOs were supported through a dedicated capacity-building grant in the Cerrado. Out of 152 completed baseline and final civil society tracking tools, 81% showed increased financial and institutional sustainability. Through the granting mechanism, important impact was achieved on the ground, significantly overachieving targets for the areas of production landscapes, protected areas, and conservation corridors implementing biodiversity conservation and sustainable use. In four additional hotspots best practices have been replicated. Many women and men have received direct and indirect socio-economic benefits through increased income, food security, resource rights, or other measures of human wellbeing. The target for the sustainable financing mechanisms (indicator 2.2.1) has been fully achieved during the final phase of the project.	Increasing

d. Recommendations

CORRECTIVE ACTION(S)	RESPONSIBLE PARTY	DEADLINE
N/A	N/A	N/A

⁹ Rating trend: Increasing, Unchanged or Decreasing

SECTION III: PROJECT RISKS STATUS AND RATING

a. Progress towards Implementing the Project Risk Mitigation Plan

This section describes the activities implemented to manage and reduce high, substantial, modest, and low risks of the project. This section has three parts:

- a. Ratings for the progress towards implementing measures to mitigate project risks and a project risks annual reassessment
- b. Recommendations for improving project risks management

a. Progress towards Implementing the Project Risk Mitigation and Plan Project Risks Annual Reassessment

PROJECT RISKS	PRODOC RISK MITIGATION MEASURE	MITIGATION MEASURES IMPLEMENTATION	PROGRESS RATING ¹⁰	COMMENTS/JUSTIFICATION	PRODOC RISK RATING	CURRENT FY22 RISK RATING	RISK RATING TREND ¹¹
Risk 1: Lack of suitable organizations to become long-term implementation structures	CEPF currently works with RITs in the hotspots where it is active, but these do not necessarily have the common agenda or capacity mix necessary to become long-term stewards of the long-term conservation visions and supporters of the emergence of strong local civil societies. To mitigate this risk, a detailed stakeholder mapping has been conducted, and a model for long-term implementation structures has been developed that accommodates differences in institutional landscapes within and among hotspots.	The RITs for all three pilot hotspots implemented the steps necessary to enable evolution into long-term implementation structures, including development of long-term visions and establishment of advisory committees or similar structures.	CA	The RITs for the pilot hotspots have the necessary qualifications to become long-term implementation structures. In FY20, an independent evaluation of lessons learned by the Eastern Afromontane and Indo-Burma RITs was conducted; the overall performance of each was assessed as Highly Satisfactory. Based upon this, CEPF's donors agreed to continue working with IUCN for the next phase of investment in Indo-Burma; funding for the next phase in Eastern Afromontane is still being sought. The independent evaluation of lessons learned by the RIT in the Cerrado will be conducted during April-May 2022. Based on good performance of the RIT, CEPF has extended the period of performance until November 2022, to provide more time to secure funding for a new phase of investment in the hotspot.	L	L	Unchanged

¹⁰ **O**= Overdue; **D**= Delayed; **NS**= Not started on schedule; **IS**= Under implementation on schedule; and **CA**= Completed/Achieved

¹¹ **Rating trend:** Increasing, Unchanged or Decreasing

PROJECT RISKS	PRODOC RISK MITIGATION MEASURE	MITIGATION MEASURES IMPLEMENTATION	PROGRESS RATING ¹⁰	COMMENTS/JUSTIFICATION	PRODOC RISK RATING	CURRENT FY22 RISK RATING	RISK RATING TREND ¹¹
Risk 2: Resources for long-term conservation finance from non-traditional sources not available	The other key pillar of sustainability of the project will be to establish long-term conservation financing mechanisms. Traditional sources of resources for biodiversity conservation are decreasing in many countries in the pilot hotspots and are not necessarily being replaced by non-traditional sources. This risk has been mitigated through an analysis of the availability of non-traditional sources of conservation finance in the pilot hotspots, which will be updated and expanded during Y1 and Y2. The risk will be further mitigated by targeting grants towards countries and initiatives that offer the greatest opportunities for leverage.	Seven grants were awarded that aimed to leverage resources from non-traditional sources for long-term conservation. Moreover, CEPF entered into a Memorandum of Understanding (MoU) with other funders in the Cerrado, seeking to leverage additional funding for civil society actors there.	CA	In the Cerrado, long-term funding was leveraged from the coffee sector to support ecosystem restoration and climate-smart agriculture in the Corrego Feio Basin. This support will represent more than USD 600,000 between 2019 and 2025, plus USD 325,000 of in-kind contributions. Also, an MoU was signed in September 2020 among CEPF, IEB, Humanize Institute, Fundação Grupo Boticário de Proteção à Natureza and Instituto Nova Era to create the Cerrado Alliance. Under this initiative, USD 60,000 has been leveraged so far, to support CSOs in the Cerrado. Other partners, including DaTerra, Anglo American, Cargill, Fundação Telefonica, and the International Institute for Sustainability, have indicated an interest in joining the initiative, which could significantly scale up the level of funding. Elsewhere, it proved challenging to leverage significant conservation funding from non-traditional sources, especially with the economic fallout of the COVID-19 pandemic. This was especially severe in Brazil, where the potential for leveraging private sector support was considered the greatest.	H	H	Unchanged

PROJECT RISKS	PRODOC RISK MITIGATION MEASURE	MITIGATION MEASURES IMPLEMENTATION	PROGRESS RATING ¹⁰	COMMENTS/JUSTIFICATION	PRODOC RISK RATING	CURRENT FY22 RISK RATING	RISK RATING TREND ¹¹
Risk 3: Lack of interest from CSOs	The public-private partnership approach followed by this project is novel to many CSOs, especially local groups, many of which lack the necessary skills and tools, and some of which may have philosophical reservations about working with the private sector. To mitigate this risk, stakeholders in the three pilot hotspots were consulted during the PPG to identify target countries within the priority hotspots with existing or potential interest and capacity among CSOs to partner with the private sector. Also, the project will provide targeted capacity building to CSOs to develop the necessary capacity and credibility to engage with government and private sector actors (informed by the long-term visions developed in Y1).	Targeted capacity building was provided to CSOs to develop the necessary capacity and credibility to engage with government and private sector actors.	CA	There was no lack of interest from CSOs. The CEPF funding opportunities in the pilot hotspots were heavily over-subscribed. In the Cerrado, 340 LOIs were received, resulting in 64 grants. In the Eastern Afromontane, 368 LOIs were received, resulting in 68 grants. In Indo-Burma, 542 LOIs were received, resulting in 81 grants. Finally, 48 LOIs for multi-hotspots grants were received, resulting in seven grants. Overall, six LOIs were received for each awarded grant.	L	L	Unchanged
Risk 4: Political space for civil society to influence public policy constricted in pilot countries	With a few exceptions, the political space available for civil society is expanding in most countries in the pilot hotspots, enabling them to have greater influence over public policy. However, relationships between government and civil society are dynamic, and political space for CSOs can be constricted if they are perceived as moving into sensitive areas. This risk will be mitigated through careful selection of civil society partners with a track record of constructive partnership with government, and fully involving government partners in the framing of policy questions addressed by the project.	CEPF and the RITs ensured that all grantees in the pilot hotspots adopted a constructive, non-confrontational approach to partnership with government.	CA	This risk applied mainly to Brazil, where political space for civil society became more restricted following the change in administration in January 2019. Grantees reported severe challenges in engaging constructively with federal and state government actors. A few projects were able to achieve some political leverage at the municipal level, but this was localized. Elsewhere, a military coup in February 2021 severely restricted political space for civil society in Myanmar but it occurred after most grants had ended, so its impact on the project was minimal.	S	S	Unchanged

PROJECT RISKS	PRODOC RISK MITIGATION MEASURE	MITIGATION MEASURES IMPLEMENTATION	PROGRESS RATING ¹⁰	COMMENTS/JUSTIFICATION	PRODOC RISK RATING	CURRENT FY22 RISK RATING	RISK RATING TREND ¹¹
Risk 5: Opportunities for reform of particular policies do not arise during project duration or reforms take a long time	Mainstreaming biodiversity into public policies needs to be advanced according to the timeframes and processes of government, which may not necessarily match those of the project. This risk will be mitigated by giving strong weighting to time-bound opportunities for influencing policies when establishing public policy targets for the project, and by developing science-demonstration-policy models that fully engage government partners in the framing of policy questions, selection of demonstration sites, and the integration of the ensuing lessons into the policy process.	Public policy targets were established for all three pilot hotspots. Guidance was provided to applicants to develop science-demonstration-policy models that fully engaged government partners.	CA	Policy targets were set for Indo-Burma in FY17 and the Eastern Afromontane in FY18. For the Cerrado, policy targets were set in FY20, but only at the municipal level, due to restrictions on political space for civil society at state and federal levels in Brazil, as mentioned above. Guidance was provided to applicants in all three hotspots to help them develop science-demonstration-policy models that fully engaged government partners in the framing of policy questions, selection of demonstration sites, and the integration of the ensuing lessons into the policy process.	S	S	Unchanged
Risk 6: Lack of interest from private sector actors	Private sector actors active in sectors with large biodiversity footprints in the pilot hotspots comprise a mix of multinational companies, some of which have existing commitments to biodiversity conservation, and companies from emerging economies (especially Brazil and China), which may have less prior exposure to the business case for biodiversity conservation. To mitigate this risk, economic valuations, biodiversity risk assessments, and certified commodity market analyses will be supported through grants to civil society partners, to help present a convincing business case to private sector actors to engage in development of biodiversity-friendly management practices.	Guidance was provided to applicants to incorporate economic valuations, biodiversity risk assessments, and market analyses into their grant proposals, to help present a convincing business case to private sector actors to engage in development of biodiversity-friendly management practices.	CA	In each pilot hotspot, CSOs were able to engage with private sector actors, for example: in the Cerrado, FUNDACCER engaged with coffee producers in the Corrego Feio Basin and international coffee roasters; in the Eastern Afromontane, Forest of Hope Association worked with three small mining companies working outside of Gishwati Forest to change the way they managed run-off from their operations; and, in Indo-Burma, Sansom Mlup Prey engaged with a Cambodian rice processor and international rice importers.	M	M	Unchanged

PROJECT RISKS	PRODOC RISK MITIGATION MEASURE	MITIGATION MEASURES IMPLEMENTATION	PROGRESS RATING ¹⁰	COMMENTS/JUSTIFICATION	PRODOC RISK RATING	CURRENT FY22 RISK RATING	RISK RATING TREND ¹¹
Risk 7: Strongly asymmetry in the capacity of civil society to influence government policy as compared to private sector	Private sector actors, particularly large corporations with large biodiversity footprints, not only have the incentive to influence government policy to avoid restrictive environmental policies and regulations but also the means to do so, given their resources, expertise, and position as creators of jobs and wealth. Conversely, CSOs often lack the resources and specialist expertise necessary to influence policy, not to mention credibility in the eyes of policymakers. To mitigate this risk, a central strategy of the project (i.e. Outcome 2.1) is to increase the capacity and credibility of CSOs, individually and collectively, to enable them to more effectively influence public policy even in the face of opposition from vested interests within private sector. In addition, opportunities to engage private sector actors as champions of mainstreaming biodiversity into public policy will be proactively sought out. Such opportunities may exist where companies expect to benefit from policy changes that take the form of incentives rather than regulations. In this way, the power asymmetry will be turned to the advantage of CSOs seeking to influence public policy.	Opportunities were identified to engage private sector actors as champions of mainstreaming biodiversity into public policy.	CA	The CEPF Secretariat and the RITs engaged with private sector actors in the pilot hotspots as champions of biodiversity mainstreaming. The greatest progress was made in the Cerrado, especially with companies in the coffee sector, which proved to be strong advocates for responsible commodities. In addition, private sector actors emerged as champions of mainstreaming biodiversity into the eco-extractivism sector, for instance, in the supply chains of baru nut and babassu palm oil. A new supply chain for the latter product was developed through a grant to Cooperativa Central do Cerrado, with The Body Shop Brasil and Natura Brasil as the main private sector partners. In Indo-Burma, grantee Wildlife Conservation Society engaged with Battambang Rice Investment Co Ltd and Mars Foods to promote wildlife-friendly agriculture in Cambodia through the Sustainable Rice Platform.	M	M	Unchanged

PROJECT RISKS	PRODOC RISK MITIGATION MEASURE	MITIGATION MEASURES IMPLEMENTATION	PROGRESS RATING ¹⁰	COMMENTS/JUSTIFICATION	PRODOC RISK RATING	CURRENT FY22 RISK RATING	RISK RATING TREND ¹¹
Risk 8: Effects of climate change and variability override conservation actions on the ground	While they may only be manifested gradually over the project lifetime, the effects of climate change and variability are projected to compound other pressures on natural ecosystems. This risk will be mitigated by addressing threats to biodiversity that are amenable to on-the-ground interventions, such as habitat loss, fragmentation, and over-exploitation, thereby reducing aggregate pressure on natural ecosystems. The project will also adopt climate change adaptation strategies that enhance the resilience of natural systems and plan for future climate change scenarios, in particular by enhancing ecological connectivity within conservation corridors. Moreover, the project will incorporate analysis of climate change projections into the long-term visions, which will feature, inter alia, monitoring of climate change impacts and response by international donors, to enable adaptive response by civil society to changing threats and opportunities.	Guidance was provided to applicants to incorporate into their grant proposals, where appropriate, climate change adaptation strategies that enhance resilience of natural systems and plan for future climate change scenarios, in particular by enhancing ecological connectivity within conservation corridors. Analysis of climate change projections was incorporated into the long-term vision for the Cerrado Hotspot.	CA	Guidance was provided to applicants in the pilot hotspots to incorporate climate change adaptation strategies into their proposals, where relevant. An analysis of climate change projections was incorporated into the long-term vision report for the Cerrado.	L	L	Unchanged

PROJECT RISKS	PRODOC RISK MITIGATION MEASURE	MITIGATION MEASURES IMPLEMENTATION	PROGRESS RATING ¹⁰	COMMENTS/JUSTIFICATION	PRODOC RISK RATING	CURRENT FY22 RISK RATING	RISK RATING TREND ¹¹
<p>Risk 9: Political instability impedes project implementation in pilot countries</p>	<p>All pilot hotspots contain countries with a recent history of political instability, and conflagration could prevent work in a country or, at minimum, impede civil society's engagement with government partners. CEPF has broad experience supporting civil society in countries undergoing or emerging from political conflict and will continue to engage in such countries, provided opportunities to deliver the project's outcomes exist and the security situation does not present unacceptable risks to staff or partners. If continued engagement became untenable, an alternative pilot country would be selected in the same hotspot.</p>	<p>The security situation in each country in the pilot hotspots was monitored, with a view to discontinuing engagement if it presented an unacceptable risk to staff or civil society partners. This was only necessary in Burundi and Myanmar.</p>	<p>CA</p>	<p>The CEPF Secretariat monitored the security situation in each country. In Burundi, CEPF grant making was suspended following a failed coup in May 2015 and subsequent political unrest; no grants were made in the country during the project. In Myanmar, CEPF grant making was suspended following the military coup in February 2021 and resumed under strict conditions in December of the same year. This did not have significant implications for the project, because most activities in the country had already ended at that point. There were also significant concerns about the political situation in Brazil, following the election of a national administration that was hostile towards civil society, especially groups working on environmental issues and Indigenous People's rights, although the situation never reached a point where implementation needed to be discontinued. While not a security risk <i>per se</i>, the COVID-19 crisis present implementation challenges in the Cerrado and Indo-Burma Hotspots (although not in the Eastern Afromontane, where implementation ended in March 2020).</p>	<p>M</p>	<p>M</p>	<p>Unchanged</p>

PROJECT RISKS	PRODOC RISK MITIGATION MEASURE	MITIGATION MEASURES IMPLEMENTATION	PROGRESS RATING ¹⁰	COMMENTS/JUSTIFICATION	PRODOC RISK RATING	CURRENT FY22 RISK RATING	RISK RATING TREND ¹¹
Risk 10: Changes in institutions providing co-financing to the project could lead to their inability to do so	There is a risk that some of the expected co-financing at the level of individual hotspots may not materialize, leading to more gradual implementation of the long-term visions and reduction in the number of models demonstrated over the duration of the project. This risk has been mitigated by closely engaging with the co-financing institutions during the PPG phase (all of whom are existing donor partners to CEPF at the global or regional scale), to ensure their ownership, involvement, and investment. In the event that the identified co-financing institutions are unable to meet their commitments to provide co-financing, alternative partners will be sought.	CEPF remained in close communication with the identified co-financing institutions, and sought alternatives in case any were unable to meet their commitments. This was only necessary in one case.	CA	The MacArthur Foundation ended its support to conservation and sustainable development projects in the Indo-Burma Hotspot in 2019. At that point, it had provided USD 6.5 million in co-financing (55% of the amount originally committed). This reduction in co-financing was more than offset by a new commitment of funding by Margaret A. Cargill Philanthropies. The other anticipated co-financing, to CEPF via CI, materialized, and the expected total of USD 84.5 million was exceeded by more than USD 13 million.	L	L	Unchanged

PROJECT RISKS	PRODOC RISK MITIGATION MEASURE	MITIGATION MEASURES IMPLEMENTATION	PROGRESS RATING ¹⁰	COMMENTS/JUSTIFICATION	PRODOC RISK RATING	CURRENT FY22 RISK RATING	RISK RATING TREND ¹¹
Risk 11: COVID 19 pandemic	N/A	Grantees were advised to comply with relevant national and sub-national guidance and regulations related to COVID-19 and permitted to reschedule or restructure activities. Activities involving large-group meetings were postponed or canceled. International travel by CEPF Secretariat staff was suspended between March 2020 and December 2021.	CA	The pilot hotspots were affected by the COVID-19 pandemic to differing degrees. There were no activities in the Eastern Afromontane Hotspot, where the final grants ended in March 2020. In the Indo-Burma Hotspot, only four grants were still active in March 2020, all of which were restructured to allow activities to be implemented safely and successfully in the context of the pandemic. The third pilot hotspot, the Cerrado, was severely impacted by the pandemic. Here, many grants needed to be extended and/or restructured, to postpone or redesign activities. Furthermore, the stakeholder consultation for endorsement of the long-term vision was moved online. Also, four multi-hotspot grants were amended to adapt to delays caused by the pandemic and ensure that activities could be safely implemented. Finally, remote working arrangements were put in place for CEPF Secretariat staff; international travel was suspended, and supervision of grantees and RITs was conducted remotely.	S	S	Unchanged

OVERALL RATING OF PROJECT RISKS	JUSTIFICATION	RISK RATING TREND ¹²
M	The no-cost extension allowed the project to effectively adapt to the impacts of COVID-19. All risk mitigation measures were successfully implemented.	Decreasing

¹² **Rating trend:** Increasing, Unchanged or Decreasing

Recommendations

MITIGATION AND CORRECTIVE ACTION(S)	RESPONSIBLE PARTY	DEADLINE
N/A	N/A	N/A

SECTION IV: PROJECT ENVIRONMENTAL AND SOCIAL SAFEGUARDS IMPLEMENTATION STATUS AND RATING

This section of the PIR describes the progress made towards complying with the approved Environmental and Social Safeguard plans, as well as recommendations to improve the implementation of the safeguard plans, when needed. This section is divided in three parts:

- a. Progress towards Complying with the CI-GEF Project Agency’s Environmental & Social Safeguards
- b. Overall Project Safeguard Implementation Rating
- c. Recommendations

a. Progress towards Complying with the CI-GEF Project Agency’s Environmental & Social Safeguards

MINIMUM SAFEGUARD INDICATORS	PROJECT TARGET	END OF YEAR STATUS	CUMULATIVE STATUS	PROGRESS RATING ¹³	COMMENTS/JUSTIFICATION
ACCOUNTABILITY AND GRIEVANCE MECHANISM					
1. Number of conflict and complaint cases reported to the project’s Accountability and Grievance Mechanism	[No target was set]	0	1	CA	All grantees working with local stakeholders were required to establish and disclose a locally appropriate grievance redress mechanism. CEPF and the RITs monitored the grievance mechanisms of individual grants and the grievance email account at CEPF. A single grievance was received during FY19, by a grantee in the Cerrado. The grievance was successfully resolved by the grantee and reported to the CI-GEF Project Agency in the Q3 FY19 quarterly report. No other grievances were received.
2. Percentage of conflict and complaint cases reported to the project’s Accountability and Grievance Mechanism that have been resolved	[No target was set]	n/a	100	CA	
GENDER MAINSTREAMING					
1. Number of men and women that participated in project activities (e.g. meetings, workshops, consultations)	[No target was set]	4,126 women and 4,826 men with training	12,111 women and 15,614 men with training	CA	No targets for the number of men and women participating in project activities were set in the ProDoc. The number of men and women receiving training provides a good proxy; this was 12,111 women and 15,614 men at the end of the project (comprising 5,216 women and 5,533 men in the Cerrado, 1,748 women and 3,458 men in the Eastern Afromontane, and 5,147 women and 6,623 men in Indo-Burma). The number of people receiving direct economic benefits was 77,814 women and 68,271 men; these figures significantly exceeded the targets set in the ProDoc. Gender considerations were incorporated into the three long-term visions.
2. Number of men and women that received benefits (e.g. employment, income-generating activities, training, access to natural resources, land tenure or resource rights, equipment, leadership roles) from the project	25,000 women and 25,000 men with benefits	1,441 women and 1,691 men with benefits	77,814 women and 68,271 men with benefits	CA	
3. Number of strategies, plans (e.g. management plans and land use plans) and policies derived from the project that include gender considerations (this indicator applies to relevant projects)	[No target was set]	0 strategies incorporating gender considerations	3 strategies incorporating gender considerations	CA	

¹³ **O**= Overdue; **D**= Delayed; **NS**= Not started on schedule; **IS**= Under implementation on schedule; and **CA**= Completed/Achieved

<p>STAKEHOLDER ENGAGEMENT</p> <ol style="list-style-type: none"> 1. Number of government agencies, civil society organizations, private sector, indigenous peoples and other stakeholder groups that have been involved in the project implementation phase on an annual basis 2. Number persons (sex disaggregated) that have been involved in project implementation phase (on an annual basis) 3. Number of engagement (e.g. meeting, workshops, consultations) with stakeholders during the project implementation phase (on an annual basis) 4. Percentage of stakeholders who rate as satisfactory the level at which their views and concerns are taken into account by the project 	<p>[No target was set]</p> <p>[No target was set]</p> <p>[No target was set]</p> <p>[No target was set]</p>	<p>2 civil society organizations</p> <p>7,067 women and 9,366 men with training</p> <p>1 meeting</p> <p>[CI-GEF agency is responsible for this indicator]</p>	<p>176 civil society organizations</p> <p>12,111 women and 15,614 men with training</p> <p>11 meetings</p> <p>[CI-GEF agency is responsible for this indicator]</p>	<p>CA</p> <p>CA</p> <p>CA</p>	<p>176 CSOs (147 local and 29 international) in the pilot hotspots received grants under the project. The number of women and men receiving training is used as a proxy for the number of persons involved in the implementation phase. Over the duration of the project, these figures were 12,111 women and 15,614 men. There were at least 11 major engagements with stakeholders. In the Cerrado: CEPF grantees, government representatives and other stakeholders were brought together for the mid-term assessment workshop in April 2019; a virtual meeting was held with stakeholders in July 2020 to create a space for debate on the preservation of the Cerrado; a virtual meeting was held in September 2020 to celebrate Cerrado Day and seek stakeholder endorsement of the long-term vision; and a virtual meeting of CEPF grantees was held as part of the final assessment in November 2021. In the Eastern Afromontane, CEPF grantees and other stakeholders were brought together in Uganda in July 2019 to review results and lessons learned from the CEPF portfolio as part of the final assessment. In the Indo-Burma Hotspot, regional meetings of grantees of CEPF and other donors were held in Cambodia in February 2017, in Vietnam in March 2018, in Cambodia in February 2019, in Thailand in January 2020, and virtually in May 2021; and the final assessment workshop for the CEPF Investment phase was held in Cambodia, in May 2019.</p>
<p>PHYSICAL CULTURAL RESOURCES</p> <ol style="list-style-type: none"> 1. Number of physical cultural resources found in the project area 	<p>[No target was set]</p>	<p>0 resources</p>	<p>1 resource</p>	<p>CA</p>	<p>One of the grants awarded under the project triggered the physical cultural resources policy. The resource concerned was Buddhist shrines in caves in Myanmar, where the grant aimed to reduce impacts of tourism on unique species, adapted to darkness. The grantee prepared a Physical Resources Plan, which set out measures to avoid any alteration of cultural features in the cave or any restrictions on access to cultural sites for pilgrims. The grantee reported that these measures were effective, but it was not possible to verify this independently because a planned site visit was cancelled due to travel restrictions related to the COVID-19 pandemic.</p>
<p>PEST MANAGEMENT</p> <ol style="list-style-type: none"> 1. Number of hectares where pest management is applied 	<p>[No target was set]</p>	<p>0 hectares</p>	<p>0 hectares</p>	<p>CA</p>	<p>None of the grants awarded under the project triggered the pest management safeguard.</p>

2. Percentage of pest management area where Integrated Pest Management or Integrated Vector Management is applied	[No target was set]	N/A	N/A	N/A	
3. Percentage of pesticide applications that comply with the International Code of Conduct on the Distribution and Use of Pesticides	[No target was set]	N/A	N/A	N/A	
INDIGENOUS PEOPLES					
1. Percentage of indigenous/local communities where FPIC have been followed and documented	[No target was set]	100 percent	100 percent	CA	Seventeen of the 64 grants in the Cerrado, six of the 68 grants in the Eastern Afromontane, 28 of the 81 grants in Indo-Burma and two of the seven multi-hotspot grants triggered the Indigenous Peoples policy. All grantees prepared Social Assessments and obtained Free, Prior and Informed Consent (FPIC) from affected communities. One grant in Indo-Burma developed benefit-sharing mechanisms for Indigenous People: under this grant, three communities in China gained access to sustainably harvested medicinal plant resources.
2. The percentage of communities where project benefit sharing have been agreed upon through the appropriate community governance mechanisms and documented	[No target was set]	100 percent	100 percent	CA	
INVOLUNTARY RESETTLEMENT					
1. Number of persons involved in voluntary resettlement	[No target was set]	0 persons	0 persons	CA	Five of the 64 grants in the Cerrado, 11 of the 68 grants in the Eastern Afromontane, 17 of the 81 grants in Indo-Burma, and two of the seven multi-hotspot grants triggered the involuntary resettlement policy due to the potential for restrictions of access to natural resources. These grants typically involved the establishment or expansion of protected areas (mainly community-managed, co-managed and privately managed protected areas) and strengthened enforcement of their management regulations. The approaches adopted involved negotiations with affected parties to negotiate management regulations and zoning that allowed local people dependent on natural resources within these areas to continue to harvest them in sustainable ways. None of them reported any involuntary restrictions on access to natural resources, other than in regard to activities that were illegal, unsustainable and destructive, such as poaching of protected wildlife species. No grants supported the resettlement of people (either voluntary or involuntary).
2. Number of persons compensated for voluntary resettlement	[No target was set]	0 persons	0 persons	CA	
3. Number of persons whose access to and use of natural resources have been voluntarily restricted	[No target was set]	0 persons	245,308 persons	CA	
4. Number of persons whose access to and use of natural resources have been involuntary restricted	[No target was set]	0 persons	0 persons	CA	
5. Percentage of persons who gave their consent for voluntary restrictions	[No target was set]	N/A	N/A	CA	
6. Percentage of persons who have received compensation for voluntary restrictions	[No target was set]	N/A	4 percent	CA	
7. Percentage of persons who have received compensation for involuntary restrictions	[No target was set]	N/A	N/A	CA	

b. Information on Progress, challenges and outcomes on stakeholder engagement

For this project, CEPF made use of its well-established processes to screen grants for social and environmental risk and ensure compliance with social and environmental safeguard policies. Each individual safeguard policy had requirements related to stakeholder engagement. In addition, CEPF had a dedicated Stakeholder Engagement Best Practice, which required every grantee to develop and implement a plan for stakeholder engagement through all stages of project design and implementation. Guidance and templates were prepared in English, French, Portuguese, and Spanish, covering the working languages of the majority of countries with project activities. In particular, grantees were provided with guidance and examples on establishing grievance mechanisms (see <https://www.cepf.net/stories/what-why-and-how-grievance-mechanisms>). Only one grievance was raised via a grievance mechanism, and it was satisfactorily resolved by the grantee. This indicates a satisfactory performance with stakeholder engagement.

There were some specific challenges encountered with engaging Indigenous People's and traditional people's organizations as grantees. These organizations tended to be less experienced in accessing international donor funds that many urban-based organizations with which they were competing for CEPF grants. This required some innovations in the grantmaking process to establish a more level playing field, including allowing applications (for small grants) in local languages, inviting applicants to present their project ideas to reviewers verbally, and providing applicants with hands-on support with preparation of their applications and supporting documents. These organizations also faced challenges with meeting reporting requirements, due to remoteness, poor internet connectivity and language barriers. This required CEPF and the RITs to make greater allowance for incomplete or late reports, and to prioritize these groups for monitoring, hands-on assistance, and training. Finally, indigenous and traditional peoples were disproportionately impacted by the COVID-19 pandemic, especially in the Cerrado Hotspot. CEPF and the RIT responded by allowing grantees working in affected communities to restructure their grants to allow more time to complete activities, postpone or redesign activities with a risk of COVID-19 transmission, and redirect part of their grant funds to addressing immediate needs related to the pandemic (food, seed, medical supplies, communication equipment, etc.).

c. Provide information on the progress towards achieving gender sensitive measures/targets

During project preparation, CEPF developed and adopted a Gender Policy, based upon CI's own policy. During implementation, CEPF developed a number of tools to facilitate roll-out of the policy to each grant. These included a Gender Toolkit for grantees, a Gender Fact sheet, and a Gender Tracking Tool. These tools were made available in English, French, Portuguese, and Spanish (<https://www.cepf.net/grants/before-you-apply/cepf-gender>). The Gender Toolkit provided practical advice on measures that grantees could take to incorporate gender considerations into project design and implementation. Its use was complemented by trainings on gender mainstreaming for applicants and grantees, conducted by the CEPF Secretariat, the RITs, and third-party service providers. The Gender Tracking Tool was a self-assessment, used to monitor changes in grantees' performance with regard to gender mainstreaming. Baseline and final Gender Tracking Tools were completed by 123 grantees (and 27 mentees) in the pilot hotspots, of which 57 grantees (and eight mentees) reported an increase of at least 20% in their overall score. These measures stimulated CSOs to reflect on capacity gaps with regard to gender and to address them. For example, five grantees in the Eastern Afromontane started, or completed, a gender policy for their organizations due to their involvement with CEPF.

With regard to Outcome Indicator 3.1.6, the project achieved greater participation of women in direct socio-economic benefits than anticipated. Against a target of 25,000 women, the project achieved a total of 77,814, which significantly exceeded the total of 68,271 men. This was largely due to the performance of grants in the Eastern Afromontane Hotspot, where many of the grants addressed conservation issues where poverty was a driver of unsustainable natural resource use, requiring strategies to increase and diversify incomes. Therefore, many grants in this hotspot included activities to promote sustainable agriculture, micro-enterprise development, non-timber forest product collection and processing, community-based ecotourism and other livelihood activities. CEPF and the RIT encouraged and guided grantees to apply a gender lens to the design, implementation and monitoring of these activities. In addition, dedicated training was provided to grantees, including a course on women in conservation, which promoted practical ways to overcome gender barriers within their organizations and conservation projects.

One significant challenge with regard to gender was meeting one of the sub-targets of Outcome Indicator 2.1.2, for at least five women’s groups to show at least 10% improvement in civil society tracking tool scores. The challenge here was to engage “women’s groups” as grantees. Civil society organizations with a primary focus on biodiversity conservation almost never have an explicit gender focus to their composition or mission. While there exist a greater number of groups comprised of or working for the benefit of women on development issues, such as livelihood improvement, health, and human rights, very few had missions with a sufficiently close fit to the CEPF investment strategies in the three pilot hotspots, and it was only possible to engage two women’s groups as grantees. One of these groups, the Kigezi Initiative for Women and Children Empowerment and Development Uganda (KIWOCEDU), engaged women in the Echuya Forest to take an interest in managing their own environment. During the period of CEPF support, the group’s capacity was strengthened by hiring an accountant, developing a membership plan and a gender plan, professionalizing its relationship with local government, and improving its ability to document results. With hindsight, the project adopted an overly narrow definition of women’s group, and a broader definition, encompassing civil society organizations with women in leadership positions, would have been more useful in monitoring the project’s performance with advancing gender equity in the conservation sector, which tends to be very male-dominated in the three pilot hotspots, with significant barriers to career development for women.

d. Overall Project Safeguard Implementation Rating

SUMMARY: PROJECT SAFEGUARD IMPLEMENTATION RATING BY TYPE OF PLAN

SAFEGUARDSTRIGGERED BY THE PROJECT (delete those not applicable)	CURRENT FY22 IMPLEMENTATION RATING	RATING TREND
Accountability and Grievance Mechanisms	HS	Unchanged
Gender Mainstreaming Plan (GMP)	HS	Unchanged
Stakeholder Engagement Plan (SEP)	HS	Unchanged
Physical Cultural Resources	S	Decreased
Pest Management Plan	HS	Unchanged
Indigenous Peoples	HS	Unchanged
Involuntary Resettlement	S	Decreased

OVERALL PROJECT SAFEGUARD IMPLEMENTATION RATING

RATING	JUSTIFICATION	RATING TREND
HS	CEPF has a well-established process to screen grants and manage the environmental and social safeguards standards triggered. The project closely monitored the grievance mechanisms and surpassed its gender target for beneficiaries as well as the number of stakeholders engaged. CEPF ensured compliance with the other safeguards standards including Indigenous Peoples, Physical Cultural Resources, and Involuntary Resettlement. The experience here can be helpful for Funds that will work with CSOs in the future, and maybe even for those working with SMEs, to understand the tools developed by this project to measure improvement among their grantees.	Unchanged

	<p>A field verification of the grantee that triggered ESS6 on cultural heritage was not possible due to COVID-19 restriction, and it would have been ideal. Also, as there were processes to voluntarily restrict access to natural resources, the project should be requested to provide a number for indicator: <i>“Number of persons whose access to and use of natural resources have been voluntary restricted”</i> and in case applicable, also the indicator: <i>“Percentage of persons who have received compensation for voluntary restrictions”</i>.</p> <p>There is an opportunity to share some good practices and lessons learned from this project that have the potential to serve other funds, NGIs and projects providing grants to civil society organizations. There are significant take aways in the tools developed to mainstream gender, strengthen CSOs capacities to advance gender equality, and promote self-assessments regarding gender equality.</p> <p>There are also good lessons learned in the differentiated challenges that indigenous peoples’ organizations can face in order to access grants, and the gaps to advance monitoring and reporting (both in terms of technical and technological capacity). Sharing the challenges observed and mitigation strategies, could be very beneficial for future funds, NGIs, or projects that are planning to work with indigenous people’s organizations as grantees.</p>	
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e. Recommendations

CORRECTIVE ACTION(S)	RESPONSIBLE PARTY	DEADLINE
No corrective actions required		

SECTION V: PROJECT IMPLEMENTATION EXPERIENCES, KNOWLEDGE MANAGEMENT AND LESSONS LEARNED

Required topics

1. Knowledge activities/products (when applicable), as outlined in the knowledge management plan approved at CEO endorsement/approval.

Six innovative knowledge products were produced under Component 4 of the project: (i) a guide and video about establishing community-managed fish conservation zones based on CEPF grantees' experience from Indo-Burma; (ii) a master class for CEPF applicants that provides detailed instruction on project design, M&E, safeguards, procurement and other issues, based on experience from the Eastern Afromontane Hotspot; (iii) a web portal focusing on the conservation of bustards, based on experience from the Indo-Burma Hotspot, (iv) a manual providing guidance to replicate strategies for uptake of sustainable practices, based on experience from the Eastern Afromontane Hotspot; (v) a guide and video documenting best practices for identification and mapping of traditional territories and communities, based on experience from the Cerrado Hotspot; and (vi) a package of training materials on strengthening women's voices in conservation, based on experiences from the Indo-Burma Hotspot.

These knowledge products were made publicly available on the CEPF website at the links below:

Community-managed fish conservation zones (English and Spanish):

<https://www.cepf.net/sites/default/files/fish-conservation-zone-guidebook.pdf>

<https://www.youtube.com/watch?v=3qI5VyaYsHI>

<https://www.youtube.com/watch?v=957RRmd49j4>

CEPF Master Class (English and Spanish):

<https://www.cepf.net/sites/default/files/master-class-cepf-applicants-english.pdf>

<https://www.cepf.net/sites/default/files/master-class-cepf-applicants-spanish.pdf>

Web portal focusing on bustard conservation (English):

<https://bustards.org/>

Manual on uptake of sustainable practices (English and French):

<https://www.cepf.net/sites/default/files/solutions-worth-sharing-french.pdf>

<https://www.cepf.net/sites/default/files/solutions-worth-sharing-english.pdf>

Mapping the lands of traditional 'invisible' communities (Portuguese and Spanish):

<https://www.cepf.net/resources/documents/mapping-lands-traditional-invisible-communities-cerrado>

Empowering women in conservation (English, French, Portuguese and Spanish):

<https://www.cepf.net/resources/documents/empowering-women-conservation-overview-2021>

All knowledge products were high quality and comprehensive. Quality was assured by maintaining frequent contact with consultants, ensuring review by knowledgeable individuals, and strict oversight of workplans and deliverables.

Additional topics

2. Engagement of the private sector

The project had a significant focus on engagement with the private sector. For example, the grantee FUNDACCER, supporting the Cerrado Waters Consortium's work on the coffee sector, reported that, by the end of the project, a total of 57 producers, representing 73 properties, had signed contracts for the development of climate-smart restoration strategies and monitoring for three years.

In Patrocínio municipality, Minas Gerais state, where the project was piloted, 45 producers representing 57 properties adhered to the Conscious Producer Investment Program. In 2021, the model started to be replicated in Serra do Salitre municipality, where 12 producers with 16 properties adhered to the program. A total of 114 individual property plans were prepared (94 for Patrocínio and 20 for Serra do Salitre), comprising 27 plans for climate management and 87 for connected landscapes. Under these plans, a total of 335 hectares was switched to climate-smart agriculture, while a total of 142 hectares was put under conservation. The project successfully promoted good practices for restoration of native vegetation, such as use of organic herbicide and pesticide, which resulted in seedling loss rates of less than 10%, and use of fencing, which prevented trampling by cattle and consequent spread of invasive plant species.

Elsewhere in the Cerrado, the grantee COPABASE, a cooperative, promoted the sustainable harvesting of non-timber forest products. By the end of the project, COPABASE reported that four new products had been launched and that there had been an increase in product sales from USD 140,000 in 2017 to USD 175,000 in 2021, despite the pandemic. This involved more than 350 members of the cooperative, in addition to 160 women in the handicraft chain and 95 women in family farming. During the project, COPABASE provided technical assistance and training on productive management and sustainable harvesting to smallholders with properties covering 27,927 hectares.

One of the key Cerrado species promoted by COPABASE under the project was baru (*Dipteryx alata*), which produces an edible nut. During the project, the number of families supplying baru nuts to the cooperative grew from 120 to 300, while COPABASE helped to develop supply chains for sustainably harvested baru nuts, including by organizing a Fair Trade Seminar of the Baru Chain. Thirty private enterprises in the baru nut chain continue to maintain dialogue and the exchange of information through two social media. A course on good practices in baru nut management, marketing, processing, and planting was delivered by several grantees, including COPABASE. Baru nut is now considered to be a major new market opportunity, including at the international level, with the potential for promoting family farming and biodiversity conservation.

3. Implementation of safeguard policies, including gender mainstreaming, accountability and grievance mechanisms, stakeholder consultations

Prior to the start of the project, CEPF had 15 years' experience of implementing environmental and social safeguards in the context of its grants program. In 2008, CEPF adopted an environmental and social management framework (ESMF) based upon the safeguard policies of the World Bank. During the preparation of the GEF project, in 2015, CEPF revised its policies to align with those of the CI-GEF Project Agency; this involved developing a Gender Policy and a Stakeholder Engagement Best Practice. In 2021, CEPF embarked upon a more fundamental overhaul of its framework for managing environmental and social risk, to align more closely with the minimum requirements of the GEF. This involved developing safeguard policies and standards to cover risk areas not explicitly addressed by CEPF's current ESMF, including labor and working conditions, and community health and safety. CEPF has learned from the experience of the CI-GEF Project Agency as it developed its new ESMF, which was adopted in 2022.

SECTION VI: PROJECT GEOCODING

This section of the PIR documents the precise and specific geographic location(s) of activities supported by GEF investments based on information provided in the Project Document. The following information should be contained in this section:

- a. Geo Location Information of Project Location(s) for the current fiscal year

Geo Location Information of Project Location(s) for the current fiscal year

Geo Location Information	Location No. 1	Location No. 2	Location No. 3	Location No. 4	Location No. 5	Location No. 6
CLASSIFICATION <i>Indicate whether the site is new or already existing in the previous PIR or indicate whether the site is included at CEO Endorsement/Approval or not. Please add more columns for projects with more than 3 locations.</i>	New	New	New	New	New	New
Note: Provide justification if the location is a new site in this line	The project is mapped to the capital cities of the countries in the three pilot hotspots. All countries were included at CEO Endorsement, but this is the first time that Geo Location information has been requested.					
GEO NAME ID <i>Provide the location's Geo Name ID in a numerical format. IDs are available in the GeoNames' geographical database covering all countries and containing millions of placenames with free access at: http://www.geonames.org.</i>	3469058	344979	160263	890299	373303	232422
LOCATION NAME <i>Name of the geographic locations in which the activity is taking place. In instance when a GeoNames ID is provided above, the name of the said ID should be reflected. Otherwise, the location name provided will be considered as an exact location.</i>	Brasília	Addis Ababa	Dar es Salaam	Harare	Juba	Kampala
LATITUDE <i>Provide locations in Decimal Degrees WGS84 format, a notation expressing geographic coordinates as decimal fractions of a degree. Include at least four decimal points.</i>	-15.7797	9.0250	-6.8234	-17.8277	4.8517	0.3163
LONGITUDE <i>Provide locations in Decimal Degrees WGS84 format, a notation expressing geographic coordinates as decimal fractions of a degree. Include at least four decimal points.</i>	-47.9297	38.7469	39.2695	31.0534	31.5825	32.5822
LOCATION DESCRIPTION <i>(Optional field) Text description that qualifies in a sentence or so the location in which an activity is taking place, such as for example "mini-grid energy system" or "park ranger site".</i>	Capital city	Capital city	Capital city	Capital city	Capital city	Capital city
ACTIVITY DESCRIPTION <i>(Optional field) Text description that qualifies in a sentence or so the activity taking place at the location, for example, "Installing a mini-grid energy system".</i>	Pilot hotspot (Cerrado)	Pilot hotspot (EAM)	Pilot hotspot (EAM)	Pilot hotspot (EAM)	Pilot hotspot (EAM)	Pilot hotspot (EAM)

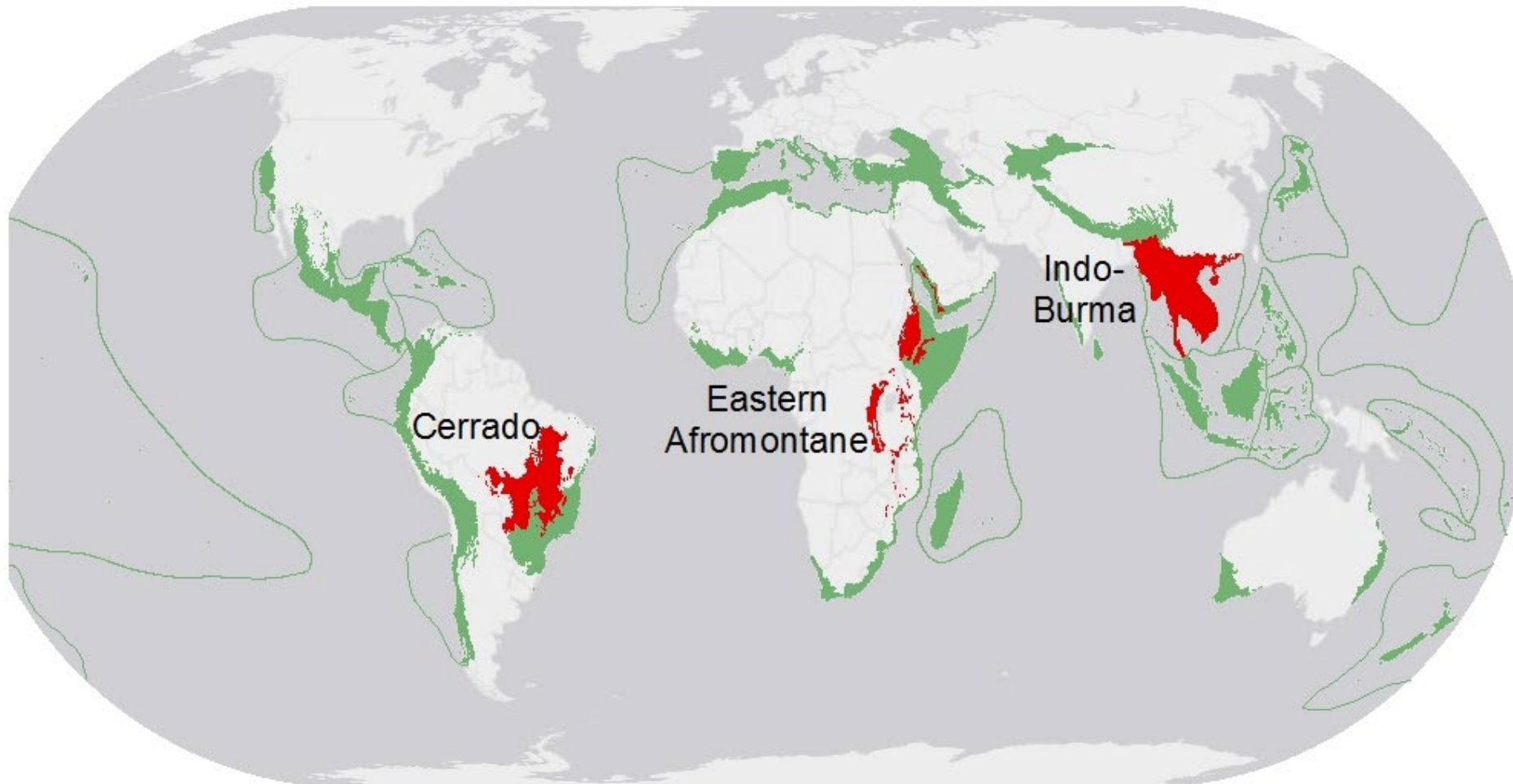
Geo Location Information of Project Location(s) for the current fiscal year (continued...)

Geo Location Information	Location No. 7	Location No. 8	Location No. 9	Location No. 10	Location No. 11	Location No. 12
CLASSIFICATION <i>Indicate whether the site is new or already existing in the previous PIR or indicate whether the site is included at CEO Endorsement/Approval or not. Please add more columns for projects with more than 3 locations.</i>	New	New	New	New	New	New
Note: Provide justification if the location is a new site in this line	The project is mapped to the capital cities of the countries in the three pilot hotspots. All countries were included at CEO Endorsement but this is the first time that Geo Location information has been requested.					
GEO NAME ID <i>Provide the location's Geo Name ID in a numerical format. IDs are available in the GeoNames' geographical database covering all countries and containing millions of placenames with free access at: http://www.geonames.org.</i>	202061	2314302	927967	1040652	184745	71137
LOCATION NAME <i>Name of the geographic locations in which the activity is taking place. In instance when a GeoNames ID is provided above, the name of the said ID should be reflected. Otherwise, the location name provided will be considered as an exact location.</i>	Kigali	Kinshasa	Lilongwe	Maputo	Nairobi	Sanaa
LATITUDE <i>Provide locations in Decimal Degrees WGS84 format, a notation expressing geographic coordinates as decimal fractions of a degree. Include at least four decimal points.</i>	-1.9500	-4.3276	-13.9669	-25.9655	-1.2833	15.3547
LONGITUDE <i>Provide locations in Decimal Degrees WGS84 format, a notation expressing geographic coordinates as decimal fractions of a degree. Include at least four decimal points.</i>	30.0589	15.3136	33.7873	32.5832	36.8167	44.2067
LOCATION DESCRIPTION <i>(Optional field) Text description that qualifies in a sentence or so the location in which an activity is taking place, such as for example "mini-grid energy system" or "park ranger site".</i>	Capital city	Capital city	Capital city	Capital city	Capital city	Capital city
ACTIVITY DESCRIPTION <i>(Optional field) Text description that qualifies in a sentence or so the activity taking place at the location, for example, "Installing a mini-grid energy system".</i>	Pilot hotspot (EAM)	Pilot hotspot (EAM)	Pilot hotspot (EAM)	Pilot hotspot (EAM)	Pilot hotspot (EAM)	Pilot hotspot (EAM)

Geo Location Information of Project Location(s) for the current fiscal year (continued...)

Geo Location Information	Location No. 13	Location No. 14	Location No. 15	Location No. 16	Location No. 17	Location No. 18
CLASSIFICATION <i>Indicate whether the site is new or already existing in the previous PIR or indicate whether the site is included at CEO Endorsement/Approval or not. Please add more columns for projects with more than 3 locations.</i>	New	New	New	New	New	New
Note: Provide justification if the location is a new site in this line	The project is mapped to the capital cities of the countries in the three pilot hotspots. All countries were included at CEO Endorsement but this is the first time that Geo Location information has been requested.					
GEO NAME ID <i>Provide the location's Geo Name ID in a numerical format. IDs are available in the GeoNames' geographical database covering all countries and containing millions of placenames with free access at: http://www.geonames.org.</i>	1609350	1816670	1581130	6611854	1821306	1651944
LOCATION NAME <i>Name of the geographic locations in which the activity is taking place. In instance when a GeoNames ID is provided above, the name of the said ID should be reflected. Otherwise, the location name provided will be considered as an exact location.</i>	Bangkok	Beijing	Hanoi	Nay Pyi Taw	Phnom Penh	Vientiane
LATITUDE <i>Provide locations in Decimal Degrees WGS84 format, a notation expressing geographic coordinates as decimal fractions of a degree. Include at least four decimal points.</i>	13.7540	39.9075	21.0245	19.7450	11.5625	17.9667
LONGITUDE <i>Provide locations in Decimal Degrees WGS84 format, a notation expressing geographic coordinates as decimal fractions of a degree. Include at least four decimal points.</i>	100.5014	116.3972	105.8412	96.1297	104.9160	102.6000
LOCATION DESCRIPTION <i>(Optional field) Text description that qualifies in a sentence or so the location in which an activity is taking place, such as for example "mini-grid energy system" or "park ranger site".</i>	Capital city	Capital city	Capital city	Capital city	Capital city	Capital city
ACTIVITY DESCRIPTION <i>(Optional field) Text description that qualifies in a sentence or so the activity taking place at the location, for example, "Installing a mini-grid energy system".</i>	Pilot hotspot (Indo-Burma)	Pilot hotspot (Indo-Burma)	Pilot hotspot (Indo-Burma)	Pilot hotspot (Indo-Burma)	Pilot hotspot (Indo-Burma)	Pilot hotspot (Indo-Burma)

b. Project Map and Coordinates from Project Document



APPENDIX I: PROJECT ANNUAL IMPLEMENTATION PROGRESS RATING

Rating		Overdue (O)	Delayed (D)	Not started on schedule (NS)	Under implementation on schedule (IS)	Completed/Achieved (CA)
Highly Satisfactory (HS)	HS	0%		100%		
Satisfactory (S)	S	20%		80%		
Moderately Satisfactory (MS)	MS	40%		60%		
Moderately Unsatisfactory (MU)	MU	60%		40%		
Unsatisfactory (U)	U	80%		20%		
Highly Unsatisfactory (HU)	HU	100%		0%		

- **Highly Satisfactory:** 100% of the indicators: a) have been completed/achieved, b) are under implementation on schedule, and/or c) have not started but are on schedule, according to the original/formally revised Project Annual Workplan for the project. The project can be presented as an example of “good practice” project,
- **Satisfactory:** 80% of the indicators: a) have been completed/achieved, b) are under implementation on schedule, and/or c) have not started but are on schedule, according to the original/formally revised Project Annual Workplan for the project; except for only 20% that are delayed and/or overdue and need remedial action,
- **Moderately Satisfactory:** 60% of the indicators: a) have been completed/achieved, b) are under implementation on schedule, and/or c) have not started but are on schedule, according to the original/formally revised Project Annual Workplan for the project; while 40% are delayed and/or overdue and need remedial action,
- **Moderately Unsatisfactory:** 40% of the indicators: a) have been completed/achieved, b) are under implementation on schedule, and/or c) have not started but are on schedule, according to the original/formally revised Project Annual Workplan for the project; while 60% are delayed and/or overdue and need remedial action,
- **Unsatisfactory:** only 20% of the indicators: a) have been completed/achieved, b) are under implementation on schedule, and/or c) have not started but are on schedule, according to the original/formally revised Project Annual Workplan for the project; while 80% are delayed and/or overdue and need remedial action, and
- **Highly Unsatisfactory:** 100% of the indicators: a) are overdue, and/or b) delayed in their implementation, according to the original/formally revised Project Annual Workplan for the project.

APPENDIX II: RISK RATINGS

Rating	
Low (L)	L
Modest (M)	M
Substantial (S)	S
High (H)	H

- **Low Risk (L):** There is a probability of up to 25% that assumptions may fail to hold or materialize, and/or the project may face only modest risks.
- **Modest Risk (M):** There is a probability of between 26% and 50% that assumptions may fail to hold or materialize, and/or the project may face only modest risks.
- **Substantial Risk (S):** There is a probability of between 51% and 75% that assumptions may fail to hold and/or the project may face substantial risks.
- **High Risk (H):** There is a probability of greater than 75% that assumptions may fail to hold or materialize, and/or the project may face high risks.

APPENDIX III: PROGRESS TOWARDS ACHIEVING PROJECT EXPECTED OUTPUTS

INDICATORS	PROJECT TARGET	END OF YEAR INDICATOR STATUS	PROGRESS RATING ¹⁴	COMMENTS/JUSTIFICATION
Outcome 1.1 Long-term conservation visions developed for the Cerrado, Eastern Afromontane and Indo-Burma Hotspots, with participation of civil society, government, donor and private sector actors				
Output Indicator 1.1.1: Number of approved vision documents incorporating civil society 'graduation' targets	3 approved vision documents	3 approved vision documents incorporate graduation targets. This is an increase of 3 over the baseline of 0.	CA	Long-term visions (incorporating resource mobilization strategies and policy targets) were prepared for the Cerrado Hotspot, the Albertine Rift and Eastern Arc Mountains Sub-region of the Eastern Afromontane Hotspot, and the Indo-Burma Hotspot. All three were approved by the CEPF Donor Council.
Output Indicator 1.1.2: Number of financing plans defined for implementation of the long-term conservation visions	3 financing plans	3 financing plans have been defined. This is an increase of 3 over the baseline of 0.	CA	Financing plans were defined for implementation of the Cerrado, Albertine Rift and Eastern Arc Mountains, and Indo-Burma long-term visions.
Output Indicator 1.1.3: Number of vision documents incorporating a full set of targets covering major sectoral drivers and key policies, developed with broad stakeholder participation	3 vision documents	3 vision documents incorporate a full set of targets. This is an increase of 3 over the baseline of 0.	CA	All three long-term visions incorporated targets developed with broad stakeholder participation.
Output Indicator 1.1.4: Number of pilot hotspots with completed strategies for engagement with private sector actors	3 pilot hotspots	3 pilot hotspots have completed strategies for engagement with private sector actors. This is an increase of 3 over the baseline of 0.	CA	Strategies for engagement with private sector actors were prepared for the Cerrado, the Albertine Rift and Eastern Arc Mountains, and Indo-Burma.

¹⁴ **O**= Overdue; **D**= Delayed; **NS**= Not started on schedule; **IS**= Under implementation on schedule; and **CA**= Completed/Achieved

INDICATORS	PROJECT TARGET	END OF YEAR INDICATOR STATUS	PROGRESS RATING ¹⁴	COMMENTS/JUSTIFICATION
Outcome 2.1 Increased capacity and credibility of conservation-focused civil societies in the Cerrado, Eastern Afromontane and Indo-Burma Hotspots				
Output Indicator 2.1.1: Number of hotspots with long-term institutional structures in place	3 pilot hotspots	1 pilot hotspot has a long-term institutional structure in place. This is an increase of 1 over the baseline of 0.	CA	It was decided that the RITs in the pilot hotspots would provide the strongest foundation on which to establish long-term implementation structures. In the Eastern Afromontane and Indo-Burma Hotspots, the RIT TORs were amended, enabling them to take on the responsibilities of long-term implementing structures. BirdLife and IUCN began to institute the necessary changes and to explore long-term funding sources. This process was more successful in the Indo-Burma Hotspot, where funding was secured from CEPF and other sources to maintain the long-term implementation structure for at least five more years. In the Eastern Afromontane, an independent evaluation found the performance of the RIT to be highly satisfactory, but funding has not yet been secured to maintain a long-term structure, despite efforts to find it. In the Cerrado, CEPF and IEB are exploring efforts to transform the RIT into a long-term implementation structure and enable it to continue beyond the end of the project.
Output Indicator 2.1.2: Number of local civil society organizations engaged in biodiversity conservation in each pilot hotspot with a civil society tracking tool score of 80 or more	[No target was set]	34 local civil society organizations have a civil society tracking tool score of 80 or more. This is an increase of 21 over the baseline of 13.	CA	At the end of the project, 34 local CSOs (11 in the Cerrado, six in the Eastern Afromontane and 17 in Indo-Burma) had a civil tracking tool score of 80 or more.
Outcome 2.2 Increased and more sustained financial flows to civil societies engaged in the conservation of biodiversity, from diverse sources, including non-traditional sources				
Output Indicator 2.2.1: Number of regional resource mobilization strategies developed to generate additional revenue	3 strategies	3 regional resource mobilization strategies have been developed. This is an increase of 3 over the baseline of 0.	CA	Resource-mobilization strategies for the Albertine Rift and Eastern Arc Mountains countries and Indo-Burma were prepared during FY18. A strategy for the Cerrado was prepared in FY20.

INDICATORS	PROJECT TARGET	END OF YEAR INDICATOR STATUS	PROGRESS RATING ¹⁴	COMMENTS/JUSTIFICATION
<p>Output Indicator 2.2.2: Number of models for private sector conservation finance demonstrated</p>	<p>2 models</p>	<p>3 models for private sector conservation finance have been demonstrated. This is an increase of 3 over the baseline of 0.</p>	<p>CA</p>	<p>In FY19, Mars Foods provided a price premium to 200 rice farmers in Cambodia to produce wildlife-friendly rice conforming to the Sustainable Rice Platform standard. In Kenya, the Maasai Wilderness Conservation Trust completed the long process of certification and sale of voluntary carbon units on the international market. During FY20, they sold 355,000 units. By the end of the project, 45 of the 78 coffee producers in the Corrego Feio Basin of Brazil had agreed to co-finance the costs of ecosystem restoration and climate-smart agriculture. A further 12 producers from the neighboring Serra do Salitre municipality also agreed to co-finance these activities on their properties.</p>

INDICATORS	PROJECT TARGET	END OF YEAR INDICATOR STATUS	PROGRESS RATING ¹⁴	COMMENTS/JUSTIFICATION
Outcome 3.1: Integrating biodiversity conservation and sustainable use into production landscapes implemented with public and private sector actors across at least total 1,000,000 hectares in the Cerrado, Eastern Afromontane and Indo-Burma Hotspots				
Output Indicator 3.1.1: Number of policies, programs, or plans incorporating results of policy demonstration models	6 policies, programs or plans	45 policy, programs and plans incorporate the results of policy demonstration models. This is an increase of 43 over the baseline of 2.	CA	28 grants aimed to implement policy demonstration models in the pilot hotspots (11 in the Cerrado, seven in the Eastern Afromontane and 10 in Indo-Burma). In the Cerrado, 21 policies were influenced, comprising six at national and 15 at sub-national level. Most of these policies focused on ecosystem management, agricultural best practices, species conservation, protected area declaration and climate resilience. In the Eastern Afromontane, 21 policies were influenced, comprising 19 local policies in Kenya, Tanzania, Uganda, Zambia, and Zimbabwe, and two national policies in Uganda. In Indo-Burma, the experience of WCS and its partners on community co-management approaches at Kulen Promtep Wildlife Sanctuary and other sites was incorporated into national zoning guidelines for protected areas, which were adopted by the Cambodian Ministry of Environment. These guidelines set out a clear process for designating community and sustainable zones within protected areas, which permit and regulate small-scale agriculture, fishing and NTFP collection.

INDICATORS	PROJECT TARGET	END OF YEAR INDICATOR STATUS	PROGRESS RATING ¹⁴	COMMENTS/JUSTIFICATION
<p>Output Indicator 3.1.2: Number of biodiversity-friendly business practices adopted by key private sector change agents</p>	<p>12 business practices</p>	<p>41 biodiversity-friendly business practices have been adopted by key private sector change agents. This is an increase of 34 over the baseline of 7.</p>	<p>CA</p>	<p>Nineteen grants to promote biodiversity-friendly business practices were awarded (11 in the Cerrado, two in the Eastern Afromontane and six in Indo-Burma). These grants promoted the adoption of 34 biodiversity-friendly management practices by key private sector change agents. In the Cerrado, 20 companies introduced biodiversity-friendly practices, including 14 in the agriculture sector, two in the tourism sector, one in the strategic consulting sector and three working on ecological restoration. In the Eastern Afromontane, 12 companies (in Kenya, Mozambique, Tanzania, Uganda, and Zimbabwe) adopted such practices, including in the brewing, oil and gas, agriculture, and forestry sectors. For example, Hoima Sugar of Uganda made commitments and then provided guidance to contract cane growers, to not purchase sugarcane grown inside the protected Bugoma Forest. In Indo-Burma, a set of voluntary guidelines on mitigating socio-environmental risks were adopted by Vietnamese outward investors in the agriculture sector, and a set of guidelines for best practice in limestone quarrying were adopted by a cement manufacturer in Myanmar.</p>

INDICATORS	PROJECT TARGET	END OF YEAR INDICATOR STATUS	PROGRESS RATING ¹⁴	COMMENTS/JUSTIFICATION
Output Indicator 3.1.3: Number of new management models involving direct participation introduced at protected areas	20 management models	New management models involving direct participation have been introduced at 96 protected areas. This is an increase of 87 over the baseline of 9.	CA	33 grants aimed to introduce new participatory management models at protected areas (14 in the Cerrado, 11 in the Eastern Afromontane, and eight in Indo-Burma). These grants developed new management models for 87 protected areas: 35 private protected areas (RPPNs), 22 conservation units and 13 indigenous lands in Brazil; two national parks in the DRC; one national park each in Ethiopia, Rwanda and Uganda; one wetland park in Kenya; one protected forest in Tanzania; two fish conservation zones and a multiple-use conservation landscape in Cambodia; two fish conservation zones and a bird conservation zone in Myanmar; two species and habitat conservation areas and a community-based conservation area in Vietnam; and a dugong conservation area in Thailand.
Outcome 4.1: CEPF investments in other hotspots strengthened through the adoption of successful models and tools developed in the pilot hotspots				
Output Indicator 4.1.1: Number of additional (non-pilot) hotspots with long-term implementation structures	9 additional hotspots	4 additional hotspots have a long-term implementation structure. This is an increase of 4 over the baseline of 0.	CA	New long-term implementation structures incorporating lessons learned from the pilot hotspots were established for four additional hotspots: the Mountains of Central Asia in November 2019; Wallacea in August 2020; the Caribbean Islands in August 2021; and the Tropical Andes in January 2022.
Output Indicator 4.1.2: Number of hotspots with regional resource mobilization strategies	9 additional hotspots	1 additional hotspot has a regional resource mobilization strategy. This is an increase of 1 over the baseline of 0.	CA	A resource mobilization strategy was incorporated into the long-term vision for the Tropical Andes Hotspot, drawing on experience from the pilot hotspots.

INDICATORS	PROJECT TARGET	END OF YEAR INDICATOR STATUS	PROGRESS RATING ¹⁴	COMMENTS/JUSTIFICATION
Output Indicator 4.1.3: Number of countries in other hotspots adopting policy demonstration models	2 countries	2 countries adopted a policy demonstration model from the pilot hotspots. This is an increase of 2 over the baseline of 0.	CA	A policy demonstration model for mainstreaming bustard conservation into rice cultivation piloted in the Indo-Burma Hotspot was replicated in India. A policy demonstration model for community-managed fish conservation zones piloted in the Indo-Burma Hotspot was replicated in Costa Rica and India.
Output Indicator 4.1.4: Number of countries in other hotspots replicating management practices for mainstreaming biodiversity	2 countries	4 countries adopted a policy demonstration model from the pilot hotspots. This is an increase of 4 over the baseline of 0.	CA	Best practices for identifying KBAs as a tool for safeguarding sites from incompatible development demonstrated in the Indo-Burma Hotspot were replicated in Kenya (Eastern Afromontane Hotspot), Nigeria and Ghana (both Guinean Forests of West Africa). Also, best practices for mainstreaming biodiversity into the operations of Chinese companies demonstrated in the Indo-Burma Hotspot were replicated in China (Mountains of Southwest China Hotspot).
Outcome Indicator 4.2: Models, tools and best practices developed under the project are widely available and inform other actors developing public-private partnerships for biodiversity conservation globally				
Output Indicator 4.2.1: Number of innovative knowledge products, number of knowledge products related to gender mainstreaming and number of knowledge products related to Indigenous People and conservation made publicly available	6 knowledge products, including at least 1 related to gender mainstreaming and at least 1 related to Indigenous People and conservation	6 knowledge products were prepared, including 1 related to gender mainstreaming and 1 related to Indigenous People. This is an increase of 6 over the baseline of 0.	CA	Six knowledge products were produced under the project: (i) a guide to establishing community-managed fish conservation zones; (ii) a master class for CEPF applicants that provides detailed instruction on project design, M&E, safeguards, procurement and other issues; (iii) a web portal focusing on the conservation of bustards; (iv) a manual providing guidance to replicate strategies for uptake of sustainable practices; (v) a guide and video documenting best practices for identification and mapping of traditional communities and their territories; and (vi) a package of training materials on strengthening women's voices in conservation.