

## ***Mid-Term Evaluation of the WWF-GEF Project: Securing the Future of Peru's Natural Protected Areas (2018-2024)***

*GEF Child Project ID: 9374 / WWF ID - G0010*

### ***Final Report***



Client

**WWF - World Wildlife Fund**

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## Project Data Sheet

PROJECT DATA	
Project/Programme Title	Securing the Future of Peru's Natural Protected Areas
GEF Project ID	9374 (Programme 9272)
WWF (Agency) Project ID	G0010
Implementing Agency(s)	WWF-GEF
Executing Agency	SERNANP, PROFONANPE
Executing Partner(s)	GBMF, AAF, WWF, GCF
Countries	Peru
Focal Area(s)	Biodiversity, Land Degradation, Sustainable Forest Management
GEF Operational Programme	GEF 6
Total GEF Approved Budget	USD 9.007.528,-
GEF Agency Fee	USD 810.677,-
Total Co-financing Approved	USD 54.460.781,-
Total Project Costs	USD 64.278.986,-
RELEVANT DATES	
CEO Endorsement/Approval	10/3/2017
Agency Approval Date	3/30/2018
Implementation Start	3/30/2018
Project Completion Date	9/30/2024
Period to be Evaluated	3/30/2018 – 7/31/2021
EVALUATION INFORMATION	
Type of Evaluation	Mid-Term Evaluation
Evaluation Team	Mr Paul Zambon (The Netherlands) Ms Doralice Ortiz (Colombia) Mr Olaf Kooijmans (The Netherlands)
Indicative Timeframe	July 2021 – October 2021
Budget of the Evaluation	USD 30.000,-

## Acknowledgements

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The enthusiasm and professional opinions of the staff and project stakeholders met by the Evaluation Team (ET) have resulted in valuable discussions, enabling the team to gain a profound insight in Peru's System of Protected Areas (SINANPE) and the different challenges faced towards its effective management and conservation.

## Executive Summary

The present Mid-Term Evaluation (MTE) of the WWF-GEF funded Project “Securing the Future of Peru’s Natural Protected Areas” was organized on the request of the funding agency WWF-US. It is part of the normal contractual procedures to commission a MTE for WWF and GEF projects. The MTE covers the period from July 2018 until July 2021, after which the MTE took place. Due to the COVID-19 pandemic no field mission could be implemented. Instead, the MTE is based on the review of documents, group discussions, semi-structured interviews with selected key stakeholders, and the issuance of questionnaires for three groups of stakeholders (a. NPA managers; b. trained staff and c. local and regional stakeholders).

### A. Project Description

The Peruvian Amazon (approximately 64% of the country's territory) is one of the areas with the greatest biological diversity in the world. The area counts with 38 Natural Protected Areas (NPAs). Its protection is in charge of SERNANP, the National Park Service of Peru, which is responsible for the management of the National System of Natural Protected Areas - SINANPE, covering 76 NPAs with an overall area of approximately 19 million hectares. SERNANP does not have sufficient resources for the development of effective protection and conservation actions. In fact, public financing covers only 60% of its operating expenses for the fulfilment of its mission. In order to address this problem, in 2018 the WWF GEF6-PdP project was launched, financed by WWF-US, to initiate the first phase of the wider *Patrimonio Natural del Perú* (PdP) Initiative. The wider PdP Initiative is co-financed by SERNANP, WWF, GEF6-PdP, the Amazon and Andes Fund, the Moore Foundation and other private partners, in the context of the Amazon Sustainable Landscapes (ASL) Program. Its current phase (10 years) focuses only on NPAs in the Amazon biome. The GEF6-PdP project is administered by a Project Management Unit (PMU) that is integrated in SERNANP; the project includes a grant of 5 million US\$ to a Transition Fund that is executed by PROFONANPE under the wider PdP Initiative and is meant specifically for support to a selection of 4 beneficiary NPAs in the Amazon.

The objective of the project is *"to promote long-term financial sustainability for the effective management of the National System of Natural Protected Areas of Peru (SINANPE) for the protection of biodiversity and ecosystem services of global importance in the Peruvian Amazon"*; it seeks to generate an innovative financial model that enables the management and consolidation of the NPA Network, through the development of institutional capacities and the participation of communities and local public and private actors in the responsible management of Peru’s natural heritage. It started on July 1, 2018 and its implementation spans a period of 6.5 years. The project is structured in four (4) components that cover the following fields: 1. Development of a multi-partner public-private initiative (PdP) for the long-term financial sustainability of the NPAs, 2. Diversification of sources of income through the development of financial mechanisms to increase the financing of NPAs, 3. Implementation of the PdP Action Plan measures to consolidate and improve the effective management in 4 pilot NPAs and 4. Project Coordination and M&E.

### B. Key Findings

**Relevance:** The project is considered to be **satisfactorily relevant (rating: 5).**

- The project’s intervention logic as presented in the Project Document correctly identifies and prioritizes the problems to be solved. It describes the relevant elements in the national context. Its risk assessment is reasonable.
- The Theory of Change was concise and logical, yet the project team decided to adjust it at the start of the project as it did not include the identified barriers and strategies to overcome them, while several indicators required reformulation. The updated version was approved early 2019, but further detailed in 2020.
- The expected outcomes of GEF6-PdP remain valid in the actual context to the local and national development priorities. GEF6-PdP catalyses the wider PdP Initiative by significantly influencing the creation of enabling conditions for it, which is very relevant for long-term sustainable financing of SINANPE.
- The project supports SERNANP with development of a selection of 7 Financial Mechanisms, institutional strengthening through capacity building of staff (at headquarters and field level) and technical assistance as well as with the support to 4 selected Natural Protected Areas in view of up-grading their management effectiveness and providing them with FMs that will support them to close the financing gap. This is all very relevant to SERNANP and the pilot NPAs.

**Coherence:** the project is rated as **marginally coherent (rating: 4).**

- Globally, the project is contributing to the achievement of the Aichi Biodiversity Targets (3, 5, 11, 14, and 15).
- At national level, the project is adhering to the Constitution (Art. 68 and 69), the Master Plan for Natural Protected Areas 2009-2019 (needs urgent updating), the National Biodiversity Strategy to 2021 and its corresponding Action Plans.
- A large number of projects have been funded and implemented previously that are covering a wide range of relevant topics that are also inherent to the PdP and the GEF6-PdP project. A greater effort should be exerted to draw lessons learned from these implemented projects, as some of the interventions and resulting products overlap with the outputs produced (or planned) as part of the GEF6-PdP project.
- The GEF6-PdP project has not been fully articulated with other economic and productive sectors and their respective line Ministries (e.g. Forestry, Agriculture, Tourism, Water Management, private sector, etc.), or sectoral strategies.
- Although as part of the proposed FMs, tourism-related activities are envisaged for example in the Tingo Maria National Park, the project does not explicitly link to policy frameworks in other sectors.

**Effectiveness:** the project is overall rated as **satisfactory effective (rating 5).**

The main achievements so far include:

- The signing of the Single Close Agreement (MoU); the significant contribution to the initiation and operationalization of the wider PdP Initiative; the training of and support to SERNANP staff at headquarters and field level (component 1);
- The selection of seven Financial Mechanisms to be further developed (legal basis, feasibility, viability, protocols, testing); six of these are now in the phase, and one is still in the viability study phase (component 2);
- The US\$ 5 million grant to the Transition Fund being executed in support of selected pilot NPAs; technical assistance being to the 4 selected pilot NPAs (e.g. on biomonitoring, border demarcation, vigilance and control, planning for gender and safeguards issues); management plan review on-going and to be ready by end of 2021 (component 3);
- M&E system up-dated and implemented.

The project is part of SERNANP and of the wider PdP Initiative and coordinates in principle on everything with SERNANP management. This facilitates progress and institutionalization of results. However this also causes that for some issues the project follows the lines of conduct of SERNANP, which is not necessarily in line with what the project was expected to develop according to the ProDoc. For example, contrary to what was expected based on the ProDoc, the project decided to follow the participatory approach of SERNANP; in practice the pandemic has seriously affected this approach. Also, with respect to inter-agency and inter-sector contacts the project has been rather inactive, as it is considered that this is rather the task of the institution than of a project.

**Efficiency:** the project is rated as **satisfactory efficient (rating 5).**

- Overall, the project has been found to be cost-efficient, particularly in the activities that are funded directly through the GEF6-PdP project and under control by the PMU. The COVID-19 epidemic also implied that less face-to-face meetings and workshops could be organised, resulting in lower travel cost. Investments in technology have been made that are enabling a new, virtual working mode, this may result in cheaper operational costs in the long-term. The procurement of equipment turned out to be more expensive than budgeted for (partly due to COVID-19), but exchange rates have been relatively favourable.
- The investments made in the training of staff are strengthening the institution and are resulting in improved management.
- A significant portion of the project budget was transferred to the Transition Fund (a total of US\$ 5 million has been released to the TF). Feedback received from interviewed staff however indicate that the execution rate of the Transitional Fund is limited, estimated at approximately 30% (August 2021).

**Impact:** the impact of the project is rated as **satisfactory (rating 5).**

- Progress is observed in the implementation of training processes, gender strategies and safeguards, the latter with an additional result due to the joint approach developed for the entire SINANPE.
- Overall, it is not (yet) feasible to measure the impact generated to date due to these being long-term social processes.
- In general, the ET considers that the selected FMs are relevant and that there is a reasonable chance that they will significantly contribute to close the financing gap, although the moment that they will effectively generate funds as well

as the application and/or replication in other NPAs depends on factors that are out of reach of the project (such as COVID-19, political will, institutional choices).

**Sustainability:** the project is rated as **marginally satisfactory sustainable (rating 4)**.

- If the GEF6-PdP project continues with the integration of its activities in the wider PdP Initiative, it is highly likely that positive results will be further replicated after termination of GEF6-PdP. The direct involvement of SERNANP in all project activities, both under the GEF6-PdP project as well as the wider PdP Initiative, facilitates up-take and institutionalization.
- The lack of a clear participation strategy and the implementation thereof may result in suboptimal dissemination of information and project outputs to relevant stakeholders, both at institutional level, as well as at local level (wider group of beneficiaries and local communities in vicinity of NPAs), which may result in limited ownership and threatening.
- The limited or absent coordination with other Ministries, Departments and Government Agencies (such as Ministry of Agriculture, National Water Authority ANA) may result in a lack of buy-in at policy level, which will affect the implementation of designed Financial Mechanisms, including the scalability or replication of FMs to the wider NPA. The implementation context was negatively affected by the enduring global COVID-19 pandemic, which has led to significant decreases in revenue streams (e.g. from tourism), as well as deteriorating socio-economic conditions.

**Adaptive capacity:** the project adaptive capacity is rated as **satisfactory (rating 5)**.

- At the very start of GEF6-PdP a systematic review of the ToC, strategies, targets and indicators led to several changes. Later, GEF6-PdP did not adjust its goals, but did change activities and outputs to reach these, under changing external conditions. The intervention logic has been progressively adjusted according to the identified needs.
- Annual adaptive management meetings have progressively contributed to clarifying the Theory of Change and defining the scope of work for the GEF6-PdP PMU.
- The open project approach, combined with the lack of a clear Performance Assessment Framework has not been facilitative to apply sound monitoring of project progress.

### **C. Lessons Learned**

1. As the GEF6-PdP project is, like the wider PdP Initiative, part and parcel of SERNANP and its institutional strategic development, it is considered that the level of institutional ownership is very high. This is reflected among others by the facts that a) the PdP Initiative was declared to be a national priority; b) the PdP Initiative was formally started by the President of the Republic and c) the PdP is said to be included as part of the Draft Strategic Plan of SERNANP (yet to be effectively developed and approved).
2. Working with an open approach and a Theory of Change is more complicated as compared to working with a logical framework. The choice for and the introduction of an open approach should be combined with a full training package including all relevant staff of the executing/implementing agencies. The lack of a clear ex-ante Performance Assessment Framework with agreed upon and specified of targets and indicators to be achieved per year, spanning the full duration of the project is detrimental to measuring actual progress and achievements.
3. The project did not explicitly develop its own participation strategy (as suggested in the ProDoc), but rather adopted the SERNANP approach. This implies that the project has no strategy on paper and that staff and stakeholders are not explicitly informed on it, which has led to confusion and unawareness on this topic among staff and stakeholders.
4. The successful coordination and teamwork process carried out between GEF6-PdP and SERNANP on a critical issue such as the design and implementation of a system of social and environmental safeguards highlights the importance of coordination and optimization of efforts with public and private resources that could well serve as a pilot example for other countries that are part of the Amazon Basin.
5. It has become clear that systematic capturing of lessons learned from projects that have been implemented in the past is not organized. With a plethora of projects implemented in the past 15 years that cover similar interventions, activities, and objectives as the GEF6-PdP project, sometimes even in the same geographic area, knowledge management and documentation of results is a key factor in avoiding overlap and duplication of efforts.



## D. Recommendations

6. It is recommended to explicitly develop a participatory methodology, which can start from the systematization of the experience itself, complemented with lessons learned, that serve as a guiding axis for all those who have a role within the Project.
7. Prioritize the support to the preparation process of SERNANP's Strategic Plan that anchors PdP to its strategies and policies, among others by advocacy talks with SERNANP management on its relevance and urgency and through the facilitation of intersectoral and inter-agency consultation tables.
8. Prepare and adopt at Government level, a Sustainable Financing Policy, incl. Protected Areas System Sustainable Financing Strategy and roadmap to enable articulation of Financial Mechanisms across sectors and increase scalability of FMs. . The development of the Sustainable Financing Policy as well as the Protected Areas System Sustainable Financing Strategy should be prioritised together with the revision and updating of the Protected Areas Master Plan.
9. There is an urgent need to establish and strengthen coordination that transcends beyond the PA network actors, i.e. establishment of inter-institutional coordination and dialogue platforms that include institutional actors such as Ministry of Economy Finance, Ministry of Environment, Ministry of Foreign Trade and Tourism, Ministry of Mining and Energy, Ministry of Agriculture and its agencies the National Water Authority (ANA) and the Forest Service (FORNANP).
10. Consider to combine the review of the ToC of GEF6-PdP with that of the wider PdP Initiative as both are practically serving the same objective (with the difference that GEF6-PdP focusses on the development of some specific FMs and the support to the 4 pilot NPAs). The same could apply for the review of the M&E plan of the GEF-6 PdP and the UC-PdP, making M&E more consistent and its results better comparable.
11. Strengthen the implementation of the existing communication plan and the visibility of successful cases, as a decisive factor in increasing the commitment of the stakeholders.
12. Analyze the cost-effectiveness of the support approach for each of the 4 beneficiary NPAs considering the achievement of the reduction of the financial gap as well as the replicability at the level of other NPAs.
13. Establish the "business case" for investments in conservation and nature protection, and to showcase the value of natural capital (human health, life and culture, economic sustainability), which is to be achieved by setting up relevant environmental and ecosystems accounts framework (e.g. forestry, water, tourism, species, etc.) and conduct ecosystems services valuation studies on PAs and related areas of intervention, to showcase their economic importance for local communities, and for general national welfare.
14. The focus of financial mechanisms needs to be on FMs that are innovative and outside traditional revenue streams (e.g. decrease reliance on tourism) to diversify revenue streams and increase financial resilience. It is important to effectively operationalize the FMs so that income is effectively generated, reducing the financial gap, and relevant lessons can be learned in view of upscaling intentions and sharing and promotion of the concepts with decision makers. It is thus essential that not only protocols for FMs are developed, but that these are sufficiently tested in practice and validated with relevant stakeholders and independent experts, before they are promoted for multiplication.
15. Critically reflect on the results, outputs, outcomes, and products developed in previous projects implemented in Peru during the last 15 years (see for example section 3.2.2 on Coherence), as there are many relevant projects that touch upon the very essence of the PdP, as well as include several FMs that have been tested and tried
16. It is recommended to provide the project with a budget neutral extension of 6 month or one year (length depending on the situation by that time), so that there is more chance for the project to finalize its products, to provide the necessary TA and training and to validate and share its experiences.

## Acronyms and Abbreviations

AAF	Andes and Amazon Fund
ANA	National Water Authority of Peru ( <i>Autoridad Nacional de Agua</i> )
ARPA	Amazon region Protected Areas (Brazil)
ASLP	Amazon Sustainable Landscapes Programme
CBO	Community Based Organization
COVID-19	Corona Virus Disease of 2019
DAC	Development Assistance Committee of OECD
DDE	Strategic Development Direction ( <i>Dirección de Desarrollo Estratégica</i> ) of SERNANP
DGANP	NPA Management Direction ( <i>Dirección de Gerencia de Áreas Naturales Protegidas</i> ) of SERNANP
DP	Development Partner ( <i>Socio de Desarrollo</i> )
EbA	Ecosystem based Adaptation
ECA	Administration Contract Executor
ECA-MAENI	Administration Contract Executor MAENI
EI	Implementation Strategy ( <i>Estrategia de Implementación</i> ) of PdP
EM	Evaluation Manager
EQ	Evaluation Question ( <i>Preguntas de Evaluación</i> )
ET	Evaluation Team ( <i>Equipo de Evaluación</i> )
FM	Financial Mechanism ( <i>Mecanismos Económicos</i> )
FONANPE	Peruvian National Fund for National Parks and Protected Areas
FOU	Functional Operational Unit
FPIC	Free, Prior and Informed Consent
GBMF	Gordon and Betty Moore Foundation
GCF	Green Climate Fund
GEF	Global Environmental Facility
GEF6-PdP	The project “Securing the Future of Peru’s Natural Protected Areas”.
GoP	Government of Peru
ha	hectare ( <i>hectárea</i> )
HQ	Headquarters
ILO	International Labour Organization
IO	Indigenous Organization
KfW	German Credit and Development Fund ( <i>Kreditanstalt für die Wiederaufbau</i> )
LA	Local Authorities
M&E	Monitoring and Evaluation
MAQS	Complaints and Consultation Handling Mechanisms
MB	Management Board ( <i>Junta de Administración y/o Junta de Dirección</i> ) of GEF6-PdP and/or PdP
MC	Management Committee ( <i>Comité de Gestión</i> ) of a NPA
MDAs	Ministries, Departments and Agencies
METT	Management Effectiveness Tracking Tool
MP	Management Plan ( <i>Plan Maestro</i> ) of a NPA
MSMEs	Micro, Small- and Medium-sized Enterprises
MO	Operations Manual ( <i>Manual de Operaciones</i> ) for the PdP
MINAM	Ministry of Environment ( <i>Ministerio de Ambiente</i> )
MoA	Ministry of Agriculture ( <i>Ministerio de Agricultura – MINAGRI</i> )
MoEF	Ministry of Economy and Finance ( <i>Ministerio de Economía y Finanzas - MEF</i> )
MoME	Ministry of Mining and Energy ( <i>Ministerio de Minas y Energía - MINEM</i> )
MoTT	Ministry of Foreign Trade and Tourism ( <i>Ministerio de Comercio Extranjero y Turismo - MINCETUR</i> )
MoU	Memorandum of Understanding ( <i>Memorando de Entendimiento</i> )
MRV	Measurement, Reporting and Verification
MTE	Mid-Term Evaluation



<b>MVC</b>	Monitoring, Vigilance and Control
<b>NPA</b>	Natural Protected Area ( <i>Area Natural Protegida</i> )
<b>NGO</b>	Non-Governmental Organisation
<b>OECD</b>	Organization for Economic Cooperation and Development
<b>OVI</b>	Objectively Verifiable Indicator
<b>PD</b>	Strategic Plan ( <i>Plan Director</i> ) of SERNANP
<b>PdP</b>	Natural Patrimony of Peru Initiative ( <i>Patrimonio Natural del Perú</i> )
<b>PES</b>	Payment for Ecosystem Services ( <i>MERESSE</i> )
<b>PFP</b>	Project Finance for Permanence
<b>PMU</b>	Project Management Unit
<b>PNRA</b>	Río Abiseo National Park ( <i>Parque Nacional Río Abiseo</i> )
<b>PNTM</b>	Tingo María National Park ( <i>Parque Nacional Tingo María</i> )
<b>POA</b>	Annual Operational Plan ( <i>Plan Operativo Annual</i> )
<b>PPR</b>	Project Progress Report
<b>PROFONANPE</b>	Peruvian Trust for National Parks
<b>PSO</b>	Private Sector Organization
<b>REDD</b>	Reducing Emissions from Deforestation and Forest Degradation
<b>RCM</b>	Machiguenga Communal Reserve ( <i>Reserva Comunal Machiguenga</i> )
<b>RZ</b>	Reserved Zone
<b>SERFOR</b>	National Forest Service of Peru
<b>SERNANP</b>	National Service for National Protected Areas of Peru
<b>SINANPE</b>	National System of Natural Protected Areas managed by the Government of Peru
<b>SMART</b>	Specific, Measurable, Achievable, Relevant, Time-bound
<b>SMEs</b>	Small- and Medium-sized Enterprises ( <i>pequeños y medianos empresas</i> )
<b>SNTN</b>	National Sanctuary Tabaconas Namballe ( <i>Santuario Nacional Tabaconas Namballe</i> )
<b>TA</b>	Technical Assistance ( <i>Asistencia Técnica</i> )
<b>TF</b>	Transitional Fund
<b>TL</b>	Team Leader
<b>ToC</b>	Theory of Change ( <i>Teoría de Cambio</i> )
<b>ToR</b>	Terms of Reference ( <i>Términos de Referencia</i> )
<b>UC-PdP</b>	Coordination Unit of PdP ( <i>Unidad de Coordinación de PdP</i> )
<b>UNDP</b>	United Nations Development Programme
<b>UNFCCC</b>	United Nations Framework Convention on Climate Change
<b>US\$</b>	US dollars
<b>USA</b>	United States of America
<b>USAID</b>	United States Agency for International Development
<b>USFS</b>	United States Forest Service
<b>WB</b>	World Bank ( <i>Banco Mundial</i> )
<b>WWF</b>	World Wildlife Fund

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# 1. Introduction to the MTE

## 1.1 Purpose of the Evaluation

The goal of the Mid-Term Evaluation (MTE) is twofold: a) to inform the donor and implementing partners about the progress of the project towards achieving its objectives and b) to provide recommendations for the further development, and where necessary adjustment, of the project. *“Securing the Future of Peru’s Natural Protected areas”*.

## 1.2 Scope and Methodology

As part of the GEF and WWF contractual arrangements, projects that reach their mid-term implementation status, are subject to a stock-taking exercise to assess the preliminary results achieved and lessons to be learned during the course of the project. The Terms of Reference (ToR) for the Mid-Term Evaluation presents a comprehensive description of the assignment requirements, setting out the scope and overall objectives of the MTE, as well as the expected deliverables (see Annex 1).

### MTE Objectives and Scope

Following the ToR, the main objective of the consultancy is to conduct a Mid-Term Evaluation of the WWF-GEF project *“Securing the Future of Peru’s Natural Protected Areas”*, known and further referred to as *“GEF6-PdP”*.

More particularly, the specific objectives of the Mid-Term Evaluation are to examine the extent, magnitude, sustainability and potential for project impacts to date; identify any project design problems (Theory of Change - ToC); assess progress towards project outcomes and outputs; and draw lessons learned that can both improve the project effectiveness, efficiency and sustainability of project benefits. In addition, on the basis of the review, the Evaluation Team (ET) will provide a set of recommendations that could be applied for the remaining duration of the project.

The Mid-Term Evaluation will only consider the components of the project financed with GEF funds, and will serve the following purposes:

- Assessment the **performance** of the project, paying particular attention to its emerging **results** measured against its expected objectives; and the reasons underpinning such results.
- Establish a **constructive feedback process** to WWF-USA, the GEF, the Executing Agency Project Management Unit (PMU), and key stakeholders to **support strategic learning**.
- Identification of key **lessons learned**, **conclusions** and related **recommendations** in order to improve current and possible future interventions in this sector.

### MTE Deliverables

The following deliverables are expected during the Mid-Term Evaluation exercise:

1. Inception Report detailing the MTE’s methodology;
2. Post-stakeholder interviews debriefing and presentation of the preliminary findings of the MTE;
3. Draft MTE Report (max. 40 pages, excluding Annexes);
4. Final MTE Report, considering feedback and comments

### Data Collection

The success of the Mid-Term Evaluation relies on the quality of the qualitative and quantitative data collected, their completeness and reliability, as well as analytical results from the evaluation. The interviews and surveys for selected stakeholders have been designed to gather data from different sources to cross-check the design and coordinate the activities with their achievements. Aligned with the Key Evaluation Questions, the interview and survey questions cover those *issues to be assessed* and cross-checked / completed based on the project’s indicators as linked with the Theory of Change and intervention logic.

In order to obtain information from the wide set of stakeholders, the evaluation employed the following data collection tools:

- **Documentation and literature review and analysis**: The documentation review (see Annex 2) is essential to identify the objectives and measures or examples of achievements, beneficiaries, activities, services providers, cost and sources of funds, success and failures. The Documentation and Literature Review provided inputs for the finalization of the evaluation methodology and the identification of

interviewees. It also provided a first set of findings (Annex 3) and served to elaborate the most appropriate field survey tools, tailored to the key issues at stake.

- *Group discussions:* several group discussions were organized with GEF6-PdP team members, representatives of WWF and partners (PROFONANPE, SERNANP) to clarify concepts, approaches and the wider project context.
- *Interviews (phone, skype, zoom) with selected key stakeholders:* A reasonable and representative sample of key stakeholders, representing all key stakeholder groups, was approached for an interview (for a list of stakeholders interviewed, see Annex 4); a considerable number of meetings was planned, all of them remote. The remote interviews focussed on assessing the implementing partners' capacities, the progress achieved and factors affecting achievements in a positive or negative way, and their expectations concerning their capacities, viewpoints, perspectives and satisfaction as active partners in the delivery and monitoring of the project execution.
- *Surveys:* Surveys were developed for three groups of beneficiaries of the project that participated in project activities: a. staff participating in training by GEF6-PdP; b. Managers of Natural Protected Areas (NPAs) in the Peruvian Amazon; c. local and regional stakeholders of the 4 benefitting NPAs. Through these internet-based surveys the Evaluation Team tried to ensure that data collection was harmonized with the required levels of detail and information. A summary of the analysis of each of the surveys and a congregation of the responses received on each of the surveys is presented in Annex 5.

## Evaluation Criteria

Following the ToR, the Mid-Term Evaluation assesses the performance of the project against seven core criteria, considering the WWF and GEF evaluation guidelines<sup>1</sup>, in line with best practices and OECD-DAC evaluation methodology (Relevance, Effectiveness, Efficiency, Sustainability, Results/Impact, Coherence), as well as an additional criterion (Adaptive Management):

- *Relevance:* the appropriateness of the problems identified and mechanisms to address them with reference to the assessed needs and priorities. In addition, it would also be pertinent to check to what degree the project design is consistent with the Theory of Change pathway towards development objectives, including assumptions and mitigated risks, and SMART indicators.
- *Coherence:* the internal and external coherence throughout the results chain with identified priorities, matched with key baseline interventions in the sector/country/institution.
- *Effectiveness:* the progress in the delivery of the achievements (results) and the extent to which the outputs, outcomes and the project objective have been or are likely to be achieved, including how management structure, resources and distribution of responsibilities/coordination have contributed to successful implementation.
- *Efficiency:* the extent to which results have been delivered with the least costly resources possible;
- *Impact:* the ET provides a preliminary assessment of project impact and the extent of intended or unforeseen effects that project interventions or strategies will have on the project objective.
- *Sustainability:* the probability that results will remain after the end of the project activities. The ET analyses the degree to which environmental, social/cultural, institutional and financial sustainability has been addressed.
- *Adaptive capacity:* The ET assesses the extent to which the project has regularly assessed and adapted its work (including updating the Theory of Change), thereby ensuring continued relevance in changing contexts, strong performance, and learning.

<sup>1</sup> Like in GEF Terminal Evaluations, the following scoring per criterion is applied:

- Effectiveness, Efficiency, Relevance, Results/Impact are rated on a 6-point scale: 6=Highly Satisfactory (HS); 5=Satisfactory (S); 4=Moderately Satisfactory (MS); 3=Moderately Unsatisfactory (MU); 2=Unsatisfactory (U); 1=Highly Unsatisfactory (HU).
- Sustainability is rated on a 4-point scale: 4=Likely (L); 3=Moderately Likely (ML); 2=Moderately Unlikely (MU); 1=Unlikely (U)

For each criterion a set of evaluation questions has been developed (see Annex 6) that forms the basis of the Mid-Term Evaluation, and the basis for overall assessment of the performance of the project in terms of a rating / judgement (see Annex 11).

The analysis of these criteria is organized through judgment criteria and indicators following the WWF and GEF guidance for evaluations (as included in the Terms of Reference). The EQs are based on the above evaluation criteria, and were used in developing interview and survey questions.

### 1.3 Composition of the Evaluation Team

**Table 1: Composition of the Evaluation Team and Roles**

Team Member	Background	Role
Mr Paul Zambon	Academic qualifications in Tropical Silviculture and Forest Ecology, with over 30 years of professional experience in sustainable forestry, environmental conservation, and management of natural resources in international cooperation projects, in Latin America, Africa, and Asia.	<b>Team Leader.</b> Coordination, preparation of Evaluation Questions, Survey Questions, Interviews, meeting organisation, document review, analysis, reporting.
Ms Doralice Ortiz	Environmental development professional with an academic background in business administration. Experienced in sustainable development of forest and nature management related topics, integrated gender approaches, participatory development, including engagement of local (indigenous) communities.	<b>Evaluator.</b> Preparation of Evaluation Questions, Survey Questions, Interviews, meeting organisation, document review, analysis, reporting.
Mr Olaf Kooijmans	Development specialist with an academic background in Econometrics, Economics, and Environmental Economics focusing on Climate Change and Natural Resources Management. Professional experiences extend to environmental conservation, climate change, forest governance, and management of protected areas (terrestrial, marine, coastal).	<b>Evaluator.</b> Methodology development, preparation of Evaluation Questions, Survey Questions, Interviews, meeting organisation, document review, formats (presentations, reports, surveys), analysis, reporting.

### 1.4 Implementation and limitations of the Mid-Term Evaluation

The MTE was developed between July 20<sup>th</sup> and September 20<sup>th</sup> 2021; the itinerary is presented in Annex 7. In the implementation of the assignment the Evaluation Team encountered the following limitations:

1. In coordination with the PMU, it was agreed that under the current COVID-19 pandemic, considering the local circumstances and restrictions in Peru, no face-to-face meetings could be planned nor field visits to NPAs or local stakeholders could be conducted. In consequence, contrary to “normal MTEs” *no field mission* was possible. The lack of a field mission and face-to-face interviews affects the accessibility to certain stakeholders (especially those in remote areas that do not have access to internet), while the lack of a field mission makes it impossible to make any field observations.
2. A bulk load on documents was provided to the ET through Google Drive. However, this was not accompanied by any guidance. The latter was requested to enable the ET to shift between documents of more or lesser importance. During the development of the MTE it turned out that several documents had originally been overseen; these were delivered at a later moment to the ET.
3. It took a long time before clarity on key informants / stakeholders was gained and their respective contact data were shared with the ET. This resulted in delay in contacting some of them for interviews and others for surveys. While the delay for the survey for trained staff and NPA managers was several days, the survey for local stakeholders could only be issued more than a week later than originally planned.
4. The ET counted with slow and limited response and availability of stakeholders for online interviews. In several cases stakeholders did not reply at all to the ET’s request, even after a reminder and even though the GEF6-PdP project manager had sent an email announcing the MTE. At the very end of the assignment, when finalising the final report, the ET received some suggestions for additional interviews. These could however not be accommodated any more.
5. It was very difficult to contact representatives of the contract administrator ECA-MAENI of the Machiguenga Communal Reserve. This was due to field presence of the administrator in combination with the absence of internet/telephone signal at field level. After several attempts by e-mail and phone, with active support from GEF6-PdP staff and the respective NPA manager, the ET managed during its last week to have a phone meeting, once the



- administrator was back at his base. Even then the phone signal was failing for minutes, in case there was a signal at all. The many attempts and the call showed the extremely difficult conditions in simply contacting local stakeholders.
6. There has been limited response on the surveys sent to the three stakeholder groups, despite the fact that several reminders were sent by the ET and PMU staff requesting cooperation. Foremost for the survey for local stakeholders the response rate was very low, only 4% (with 1 respondent out of 23 people approached); this partly may have been the effect of poor signal receipt in remote areas, full mailboxes, but also of limited interest or lack of experience in filling out surveys, although all local stakeholders approached are part of the Management Committee (MC) of their respective NPA. For the survey for NPA managers in the Peruvian Amazon the response rate was 26% (10 out of 38), while for the trained staff survey the response rate was 45% (23 out of 51).

### **1.5 Structure of the Mid-Term Evaluation Report**

The MTE report provides an introduction to the MTE in Chapter 1, including background information on its objectives, scope, methodology, limitations and the Evaluation Team. Chapter 2 presents background information on the project, its context, its development, main stakeholders and beneficiaries as well as a description of the baseline scenario. Chapter 3 starts with an assessment of the project design (par 3.1), followed by the assessment of the key evaluation criteria (par 3.2), where relevant per project module, and is followed by assessments of the project's gender approach (par 3.3), participation strategy (par 3.4), safeguards approach (par 3.5), financing and co-financing approach (par 3.6), knowledge products and activities (par 3.7) and finalizes with a presentation of a summary of evaluation ratings (par 3.8). This is followed by a chapter on Lessons Learnt (Chapter 4), presentation of the main conclusions of the MTE (Chapter 5) and the main recommendations of the MTE (Chapter 6), the latter specified per stakeholder group for which they are meant.

## 2. Project Description and Development Context

### 2.1 Project Background and Development Context

After Brazil, Peru hosts the second-largest swath of the Amazon rainforest in Latin America, covering approximately 64% of Peru's surface area. The Peruvian Amazon is one of the most biologically diverse areas in the world, and is considered relatively well protected (*approximately 14,000,000 ha of the Peruvian Amazon is protected as part of the National System of Natural Protected Areas - SINANPE*), although it is increasingly under pressure from human activity (with the most important threat coming from deforestation).

A significant barrier to biodiversity and forest ecosystem protection in Peru is related to the limited financial resources and public funding available for the effective management of protected areas. Insufficient funding implies that natural protected areas (NPAs) in SINANPE do not have the required resources (i.e. staff, equipment, infrastructure, vehicles, and other management necessities) to effectively implement a Management Plan (MP), or conservation and preservation actions. Presently, public funding covers approximately 60% of the core budget of SINANPE to ensure adequate personnel, benefits, and infrastructure.

In March 2018, within the context of the GEF funded *Amazon Sustainable Landscapes Programme (ASLP)*, WWF-US and its partners started a project of which the objective is "to promote long-term financial sustainability for the effective management of the National System of Protected Natural Areas of Peru (SINANPE) for the protection of globally important biodiversity and ecosystem services in the Peruvian Amazon." It is a "child project" of the ASLP and has complementary projects in Peru and sister projects in Brazil and Colombia.

### 2.2 Project Objectives and Expected Outcomes

The GEF6-PdP project is focusing on supporting an innovative financial model to secure funding for long-term management of the Protected Areas Network in Peru, and developing key institutional and technical capacities, thereby assuring a standard level management for Peru's Amazonian NPAs, while consolidating the area under protection and significantly increasing their management effectiveness. The project is expected to move Government of Peru (GoP), Development Partners (DPs) and private investors towards an effective sustainable financing scheme for NPA management in the Peruvian Amazon, while supporting capacity building and active participation of (indigenous) communities, local governments and private sector in responsible natural resource management and use, to their own and the general benefit.

The project GEF6-PdP consists of 4 components, for each of which expected outcomes have been defined (see Table 2). It is managed by a project management unit (PMU) that is attached to SERNANP, the National Parks Service of Peru. The project formally started on July 1<sup>st</sup> 2018 and is planned to continue until December 31<sup>st</sup> of 2024, covering a period of 6.5 years.

**Table 2: Summary of Project Objectives and Components**

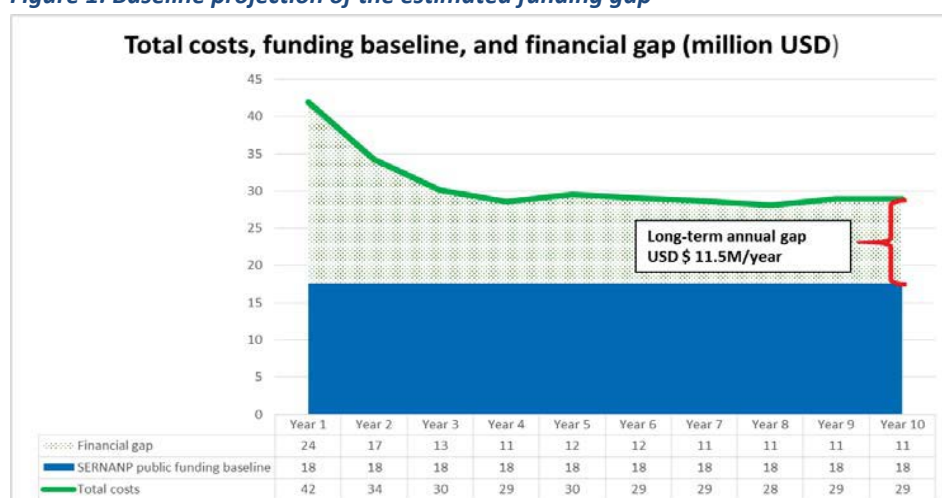
Project Objective, Components, Outcomes			
<b>Objective:</b> To promote long-term financial sustainability for the effective management of the National System of Natural Protected Areas of Peru (SINANPE) for the protection of globally important biodiversity and ecosystem services in the Amazon Biome			
Component		Expected Outcome	US\$ GEF Contribution
1.	<b>Development of a multi-partner, public-private initiative for long-term financial sustainability of the Natural Protected Areas in the Peruvian Amazon:</b> Development of a long-term sustainable financing strategy for the effective management of	1.1. Government and donor commitment secured for a long-term financial sustainability initiative for effective management of Peru's Amazon NPAs.	295,091
		1.2. PdP Initiative for financial sustainability of NPAs in the Amazon operationalized.	431,191

	the natural protected areas in the Peruvian Amazon, using an adaptation of the “Project Finance for Permanence” approach.	1.3. PdP integrated in SERNANP and across other sectors for the management and financing of the Amazon NPAs.	175,696
2.	<b>Diversification of sources to increase NPA financing:</b> Provision of technical and financial assistance to explore, identify and analyse the feasibility of a set of innovative NPA revenue generating mechanisms, both at national and local level, in order to diversify SERNANP's portfolio and help fulfil its commitments under the PdP Initiative.	2.1. NPA values and benefits showcased to increase public and private support for PdP and new financing mechanisms.	98,266
		2.2. Increased options for the sustainable financing of NPAs.	1,548,298
3.	<b>Implementation of PdP Action Plan Measures to consolidate and improve the effective management of Amazon NPAs:</b> GEF funding will contribute to the capitalization of the Transition Fund to support consolidation and improve management effectiveness of a group of Amazon NPAs.	3.1. Improvements in effective management levels contribute to the conservation of biodiversity, sustainable forest and natural resources management, and maintenance of ecosystem services in 2 to 4 Amazon NPAs.	5,375,557
4.	<b>Project Coordination and M&amp;E:</b> facilitate coordination among the various project partners, across national and local levels, and facilitate the implementation of the project's monitoring and evaluation plan.	4.1. M&E plan finalized with measurement, reflection and reporting on time to aid in results-based decision-making and adaptive management.	654,499
		4.2. Project monitoring and evaluation data and lessons learned are transparent, participatory and shared with relevant stakeholders to contribute to coordination, knowledge management and achieving program results.	
	Project Management		428,930
<b>Total:</b>			<b>9,007,528</b>

The primary objective of the project is to establish funding mechanisms to increase revenue streams to structurally fund NPA management and conservation for 35 Natural Protected Areas (NPAs) and 3 Reserve Zones (RZs) in the Peruvian Amazon. In the *baseline scenario*, the total costs for achieving a structural level of protection and management for these 38 NPA, to be achieved within 10 years after the start of the PdP, amounted to approximately US\$ 42 million in the first year (due to high expected investments in infrastructure and equipment for NPAs), and declining to US\$ 29 million in year 10.

With an expected base level of (public) funding from SERNANP of US\$ 18 million per year, this implied that a funding gap was observed (declining scales) of approximately US\$ 24 million in the first year, being reduced to US\$ 11 million after 10 years of operating the PdP (see Figure 1 below).

**Figure 1: Baseline projection of the estimated funding gap**



The assumption of a certain base level of public funding in general will almost never hold true (either positively, or negatively), as public funding is always subject to external shocks, in the macro-economic environment, in terms of public revenue, political shocks, change in government priorities, or in this case COVID19. For the GEF6-PdP project, the process for establishing the total costs for the management was based on a robust and rigorous assessment of basic and structural management targets, and the different types of inputs needed to achieve these targets (e.g. PA staff, infrastructure needs, operating expenses, equipment and vehicles, patrol activities, etc.). This resulted in a first estimate of the financial targets for the full implementation of Phase 1 of the PdP (i.e. the first 10 years of its operation, focussing on the Amazon NPAs), and the preliminary gap projection as depicted in Figure 1.

It is however unclear to what extent these preliminary projections have been updated to reflect the realities of the first years of operation of the PdP after the start of the GEF6-PdP project<sup>2</sup>. In addition, in the initial funding gap assessment no reference has been made to the management and absorption capacity of SERNANP and the targeted Protected Areas in the Amazon biome, in terms of being able to manage and implement the full scope of activities and actions in the event that “sufficient financial resources would be available to fund all annual costs required to reach the minimum standard of protection and management of the 38 NPAs”. Generally, the speed of implementation of activities highly depends on available capacity in procurement, project management, stakeholder consensus, thematic expertise, ability to timely release project funds through (transparent) financial management systems, both at central level (i.e. SERNANP) as well as at local level. When these factors are not accounted for in terms of strengthening before funding is allocated for activities at NPA level, available funds will remain unused or execution rate will be lower than anticipated.

### 2.3 Summary of Project Evolution

The systematic and recurrent problem of insufficient funding from the national budget for NPA management was identified by the project partners. During the World Parks Congress in Sydney (2014) the Ministry of Environment of Peru (MINAM) together with SERNANP and a group of partners including the World Wildlife Fund (WWF), the Peruvian Trust for National Parks (PROFONANPE), the Amazon and Andes Fund (AAF) and the Betty and Gordon Moore Foundation (BGMF) signed a Memorandum of Understanding (MoU) to develop and implement an innovative model for the financial sustainability of the SINANPE to solve the identified problem for once and forever, applying a so called Programme Finance for Permanence (PFP) approach. This funding model was conceived as a holistic approach to the conservation of large-scale NPAs, which aims to help establish the conditions required to secure the ecological, financial, organizational, political, and social sustainability of globally important places.

The following problems and weaknesses, which act as barriers for reaching the long-term solution, were identified:

1. Insufficient budget allocation to cover the costs associated with effective NPA management;
2. Limited development of financial mechanisms to supplement the public budget;
3. Funds from international cooperation are not necessarily aligned with the NPA system’s strategic priorities;
4. Insufficient integration between strategic conservation planning and long-term financial planning;
5. Insufficient integration of inter-institutional and multi-sectoral planning and management, and weak coordination.

Another weakness underlies many of these barriers and, in turn, acts as a barrier to the sustainability of the NPA system:

6. Insufficient or inadequate technical and institutional capacities for the sustainable financial management and effective management of NPAs and the NPA system.

The long-term solution shall be delivered for the entire SINANPE through the *Patrimonio Natural del Perú* (PdP) Initiative. SERNANP has chosen for a phased approach, focusing in a first phase on the 38 NPAs of the Amazon biome. Its goal involves closing the funding gap so that 35 NPAs and 3 reserved zones in the Amazon biome can improve their management effectiveness by consolidating a structural level of management in 10 years.

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<sup>2</sup> PMU staff indicated that during 2021, the funding gap assessment has been updated to reflect more realistically the funding needs. This updated assessment however was not made available to the ET at the time of the evaluation exercise.

Within this context the GEF6-PdP project is active by: contributing to the operationalization of the PdP Initiative, which represents one initiative with its very objective to which donors can hook up (aligning donor funding) and better integrates strategic conservation and long-term financial planning; supporting the achievement of long-term donor funding for the Transitional Fund (TF); developing financial mechanisms (FMs) that supplement the public budget and can replace the Transitional Fund while it is being used; improving inter-institutional and intersectoral planning, management and coordination; and improving the institutional capacity of SERNANP.

Main strategies foreseen in the Project Document included:

- **Component 1:** initiating the PdP Initiative and its key elements (Transition Fund, implementation strategy, management structure, operations manual); mainstreaming the PdP Initiative in SERNANP and across other sectors; targeting donor communications and fundraising.
- **Component 2:** providing technical and financial assistance to explore, identify and analyze the feasibility of a set of innovative NPA revenue generating mechanism at national and local level; testing these in 2-4 selected pilot NPAs; learning of lessons and systematization of experiences for replication and scaling-up.
- **Component 3:** contributing to the capitalization of the Transition Fund with a grant of 5million US\$; improving the management effectiveness of a selected group of 2-4 pilot NPAs.
- **Component 4:** applying integrated M&E in order to test the ToC and generate new information to learn, adapt and contribute to effective management; facilitating coordination among the project partners, at different levels; facilitation and implementation of the M&E plan; exchanging experiences with other child projects.

The project team (PMU) consists of a project manager and five subject matter specialists in the following fields: Administration, NPA Management, Financial Sustainability, Monitoring and Evaluation, Environmental and Social Safeguards and Gender. The latter post was only filled out in the course of 2020.

At the start of GEF6-PdP the team thoroughly reviewed the Theory of Change and made several adjustments to it, including the adjustment of some targets, the inclusion of intermediary products and several improved indicators.

The project started off quite rapidly and achieved the main targets under Component 1 within the first year. From early 2020 it has been confronted with the COVID-19 pandemic that has had significant effects on its implementation, especially affecting the activities under Components 2 and 3. Although the project has looked for ways to keep things going as much as possible, certain activities had to be postponed or were approached in a different, possibly less effective, way.

## 2.4 Main Stakeholders and Beneficiaries

Within the context of GEF6-PdP and the wider PdP Initiative there are several institutional key stakeholders to be identified:

1. The GEF6 **Project Management Unit (PMU)** falls under SERNANP and has direct coordination with relevant SERNANP staff on all aspects of the project. The PMU directly implements the project and consists of a project manager that is supported by specialists in the field of NPA management, Financial Mechanisms, Monitoring and Evaluation, gender and safeguards development and administration.
2. **SERNANP** (*Servicio Nacional de Áreas Naturales Protegidas por el Estado*) is the National Parks Service of Peru, responsible for management and conservation of all 76 NPAs managed by the state. Within the context of the current phase of the wider PdP Initiative, this is the agency that shall be strengthened to achieve good management of all the 38 NPAs in the Peruvian Amazon region, enabling them to contribute to sustainable financing through a combination of good management and application of financial mechanisms that generate income. Within the context of the GEF6-PdP project, it is the agency that implements the project. SERNANP's organization structure consists of a direction that is supported by a general management department - with several administrative sections (planning and budget, juridical advice, administration, institutional control) and a Functional Operational Unit (FOU) on Financial Sustainability - and two main directions: 1. the Direction of Strategic Development (DDE), consisting of the following three functional operational units: a) Policy and Prospects for NPAs ; b) Physical Bases and c) Information Management; 2. the Direction of Management of the NPAs (DGANP), consisting of the following four FOU's: a. Environmental Management in NPAs; b. Natural Resources in

- NPAs; c. Tourism in NPAs and d. Participatory Development in NPAs. In addition this direction includes the management of each of the NPAs.
3. The wider **PdP** (*Patrimonio Natural del Perú*) Initiative equally falls under SERNANP. It has a team reflecting the same expertise of that of the PMUs team.
  4. **PROFONANPE**, the Peruvian Trust for National Parks, is the organization that executes the **Transition Fund**, in support of the strengthening of SERNANP in the wider PdP context for all its 38 Amazonian NPAs and in support to the 4 selected pilot NPAs within the context of the project. PROFONANPE also executes the project account and is therefore responsible for the financial reporting of the project.
  5. The **Ministry of Environment** (*Ministerio de Ambiente - MINAM*), heads SERNANP (which is one of its implementing agencies), and is therefore another important institutional stakeholder.
  6. Next to these main institutional stakeholders, according to the project document, there are some other Ministries, Departments and Agencies (MPAs) that are of relevance for the development of the project, including the Ministry of Economy and Finance (MoEF), the Ministry of Foreign Trade and Tourism (MoTT), the Ministry of Mining and Energy (MoME), the Ministry of Agriculture (MoA), which heads the national forest service (SERFOR) and the National Water Authority (ANA), among others. Contract and coordination with these MDAs is supposed to be enhanced through their participation in the **Management Boards** of GEF6-PdP and the wider PdP Initiative.
  7. Then there are the donors or Development Partners (DPs): **WWF** for the GEF6 project and in addition the Amazon and Andes Fund (**AAF**) and the Gordon and Betty Moore Foundation (**GBMF**) for the wider PdP Initiative, as well as the Green Climate Fund (**GCF**) and the German *Kreditanstalt für Wiederaufbau* (**KfW**), that has a direct financial support link to SERNANP, serving the same goal as the wider PdP Initiative.

The GEF6-PdP project has a **Management Board**, charged with approving annual plans, budgets and the taking of strategic decisions. Once the wider PdP Initiative had been started up, it was decided that the Management Board of the wider PdP Initiative would integrate the Management Board for the project. The Management Board for the wider PdP Initiative includes representatives of MINAM, SERNANP, PROFONANPE and the donors. In addition there is the so called **Unidad de Coordinación of PdP** (UC-PdP), which consists of representatives of the PdP Initiative, and the so-called **core group** (*Grupo Núcleo*), which consists of the teams of GEF6-PdP and UC-PdP combined.

The direct beneficiary of GEF6-PdP is SERNANP, both at headquarter level (including the institution and staff of the two directions (DDE and DGANP) and of PdP) as at field level (with respect to the 4 selected pilot NPAs).

The Indirect beneficiaries of GEF6-PdP include local and regional stakeholders that are living in or around (in the buffer zone of) the four (4) selected pilot NPAs: Tingo María National Park (**PNTM**), Río Abiseo National Park (**PNRA**), Tabaconas Namballe National Sanctuary (**SNTN**) and Machiguenga Communal Reserve (**RNM**). These include both local authorities such as municipalities, as local private sector organizations (PSOs, e.g. on tourism), community organizations, such as associations of producers of certain products and representatives of regional universities. In RCM this includes the co-management organization **ECA-MAENI** of the NPA, representing 14 indigenous communities of 4 ethnicities.



### 3. Findings of the Mid-Term Evaluation

#### 3.1 Project Design and Formulation

**Theory of Change:** The Theory of Change as presented in the Project Document is concise, but clear and logical. Nonetheless, at the start of the project the PMU critically assessed it and came to the conclusion that – although the text of the Prodoc presented a lot of relevant information, the intervention logic was too concise and did not include main elements such as the identified barriers and the strategies to overcome them. The PMU therefore decided to thoroughly and systematically review it, which resulted in a number of adjustments. In general these included: a) actualization of assumptions; b) inclusion of more detailed intermediate results and strategies; c) visualisation of the logic (from strategies - outputs - outcomes – objective) specifying all outputs and outcomes; d) inclusion of the relations between the contributions of the project components, mapping these in one scheme; e) inclusion of key activities enabling M&E and f) reformulation of several indicators and adjustment of related targets. These changes did not only update the ToC to its context, detail the intervention logic further and enable for improved monitoring of the interventions, but also allowed for better differentiation between the results of the GEF6-PdP project and those of the wider PdP Initiative. The proposed adjustments were approved by the Management Board in March 2019.

The project team (PMU) started working with the adjusted ToC and in 2020 they did a second review of the ToC. This led to further adjustments as a) some information appeared not so relevant for the project; b) there was a need for introduction of additional strategies and better linking of the strategies to the result chains of each of the components; c) some threats had turned into “stress factors”; d) some of the barriers defined in the Project Document were not yet represented in the ToC.

The original ToC (2018), the “adjusted original” ToC (2019) and the adjusted ToC of 2020 are presented in Annex 8. As can be seen the 2020 version clearly identifies the six barriers (orange rectangles numbered 1-6) and the strategies (yellow hexagons) to address these. The overall ToC version is guided by up-dated result chains per module identifying the relevant strategies, outputs and outcomes per module.

Early 2021 the adjusted ToC of 2020 was socialized among the key stakeholders of the project. The annual ToC review exercise for 2021 has been postponed until after the MTE, in order to facilitate the integration of possible recommendations.

The ET considers that the PMU did a good and systematic job in annually reviewing the ToC and the relevance of its elements. Adjustments made are defensible in the developing project context and understandable given the fact that the PMU tries to better understand that context and to relocate the elements of the intervention logic in the best possible way. For the overall intervention logic this led to more overview, while at component level this led to clearer result chains.

**Assumptions and Risks:** Assumptions formulated in the Project document are presented per identified barrier and compare scenarios with and without the project. All assumptions remain all valid in principle, yet not all have worked out in practice as assumed: no clear targeted communication campaign has been developed to target the Ministry of Economy and Finance, while a communication and marketing strategy was only developed recently in the context of the wider PdP Initiative.

The risk of “*restriction of public budget allocations to SERNANP due to exogenous effects*” was erroneously estimated to be “low”. In practice the COVID-19 pandemic among others has caused a serious economic crisis, leading to cut-backs in public budget contributions to SERNANP. It also led to dwindling direct income generation by tourism in the NPAs and had significant effects on NPA management and project implementation. On the other hand, the risk that “*funding commitment to implement the long-term financial sustainability for Amazon NPAs is not reached*”, turned out to be estimated erroneously as “high”, as the necessary commitments for the first phase of the PdP Initiative (covering all Amazon NPAs) was achieved already by March 2019. It was noticed though that committed KfW and GCF funding was significantly delayed. Based on information received by the ET, other risks seem to have been assessed in a realistic way.

**M&E Approach:** The M&E plan was based on the GEF Results Based Management approach and includes a description of M&E activities, frequencies, actors and indicators with respect to outcome and objective levels. As mentioned above, at the start of the project several indicators were adjusted in order to reflect better the intermediate results to be achieved. Also, in 2020 the M&E plan was adjusted. The ET considers that the present M&E plan appears to be adequate for monitoring and reporting. Yet, for monitoring purposes the PMU in practice uses a combination of two tools: a) open standards (for which the activities are not so important, but the focus is on the results to be achieved) and b) monitoring of activities, with an additional set of internally defined indicators. This seems to be confusing and inefficient and causes headaches for the staff involved in it. Further simplification of the system therefore seems relevant.

**Incorporated lessons from other projects:** The Project Finance for Permanence (PFP) approach, targeting long-term financing of significant conservation areas through a single agreement among multiple donors, for which an agreed set of enabling conditions needs to be reached before any funds are released, was adopted from the ARPA programme in Brazil. To Peru this approach is new. However, a significant number of projects have been implemented in Peru during the past 15 years, which aim to address similar challenges, including for example the BIOFIN Peru initiative. It is observed that the uptake, synergies, or incorporation of lessons learned from previously implemented projects is limited.

**Additionality:** The project forms part of the wider PdP Initiative. Yet, it is additional in the sense that it helped to prepare the enabling conditions for the start of the PdP Initiative. Also it plays the role of initiator and innovator for elements of the PdP Initiative and even broader activities and strategies of SERNANP, e.g. through the strengthening of PdP and SERNANP staff through training on certain topics; through contributing to knowledge products; through focussing on the support to 4 selected pilot NPAs and through piloting the development of selected Financial Mechanisms. For example, the wider PdP Initiative and SERNANP focus on the development and testing of other FM's and support the other Amazonian NPAs. The PdP initiative set-up implies that other donor projects can hook up to it, integrating their efforts in a structured way, serving the same goal.

**Replication Approach:** Experiences obtained in the selected 4 pilot NPAs and/or with respect to the selected FM's that are developed by the project, can be applied /replicated by the wider PdP Initiative / SERNANP. It is essential that not only protocols for FM's are developed, but that these are sufficiently tested in practice and validated with relevant stakeholders and independent experts, before they are promoted for multiplication. The PMU has also shared its experience on PdP governance with the Colombian Government. Within the context of the ASL programme a Guide to PFP's is being prepared based on the experiences in Peru, Colombia and Brazil, which may facilitate replication.

**Country Ownership:** As the GEF6-PdP project is, like the wider PdP Initiative, part and parcel of SERNANP and its institutional strategic development, it is considered that the level of institutional ownership is very high. This is reflected among others by the facts that a) the PdP Initiative was declared to be a National priority; b) the PdP Initiative was formally started by the President of the Republic and c) by the intention to include the PdP as part of the Draft Strategic Plan (*Plan Director*) of SERNANP (yet to be drafted and approved).

## 3.2 Project Implementation

In the below paragraphs the findings are presented per evaluation criterion. The related evaluation questions are presented on top of each paragraph as a reference. Their rating as assigned by the evaluation and the summary of the justification is included in Annex 6.

### 3.2.1 Relevance

Key Evaluation Question	
<b>1. To what extent was the <u>design of the project</u> relevant:</b>	
a.	Do the project's intervention logic and Theory of Change correctly identify and prioritize the problems in the national context (political, economic, and social), particularly in relation to forest and biodiversity conservation?
b.	Were the links between the overall objective, specific objectives, expected results and activities logical and what was the quality of the defined objectively verifiable indicators (OVI) including baseline information?
c.	Were the assumptions made during the design phase valid, and were eventual risks adequately anticipated?

## Key Evaluation Question

- d. During the first phase of implementation, did the expected outcomes of the project remain relevant to local and national development priorities and organizational policies, including the context of the changing circumstances of the country (e.g. political context)?
- e. Did the design of the project appropriately incorporate social safeguards, FPIC principles and collaboration mechanisms with local communities in the Peruvian Amazon Protected Areas Network?

The project's intervention logic as presented in the Project Document (ProDoc) correctly identifies the problems to be solved. It describes the relevant elements in the national context and includes assumptions and a risk assessment that is reasonable, although some risks appear to have been estimated either rather high (i.e. the risk that funding commitment for long-term financial sustainability for Amazon NPAs would not be achieved) or too low (i.e. the risk of external factors negatively affecting project implementation). With respect to the former it is said that a very complex political situation was overcome by the project to sign the single close, yet that the risk was high. The latter included both the pandemic, which of course nobody had foreseen, but also the unstable political situation, which has caused continuous political risk affecting all projects that depend somehow on the government.

GEF6-PdP catalyses the wider PdP Initiative by significantly influencing the creation of enabling conditions for it, which is very relevant for long-term sustainable financing of SINANPE (as shown by the current COVID-19 situation, that is affecting public funding and at the same time limits direct income generation through tourism). It is fair however, to indicate that SERNANP staff started in 2015 to prepare for the design of the wider PdP initiative and that, before the wider PdP Initiative took off in 2020, the process was also supported by other partners, like the GBMF, that financed the UC-PdP between 2018 and 2020.

The links between the overall objective of the wider PdP Initiative, the project objective, expected results and activities were clear and logical. Yet, at the start of the project, the team and its partners critically reviewed the ToC and improved it, by specifying several intermediate results and adjusting some targets and independently verifiable indicators (OVIs), several of the latter, indeed were not as well defined as they should have been in the original Prodoc. The change of targets included the removal of the target to up-grade two reserved areas (for NPA development) into formally legalized NPAs; this target was left to the wider PdP initiative. The adjusted intervention logic was approved early 2019 and used for project implementation and monitoring and evaluation. In 2020 a second adjustment of the ToC and an up-date of the M&E plan took place.

The expected outcomes of GEF6-PdP remain valid in the actual context. Even in case the new GoP, once settled after the recent elections, may put some different priorities with respect to budget or the FMs to be developed and tested by the project, the expected outcomes remain valid, as SERNANP recognizes the importance of the diversified range of FMs to assure its financial sustainability in the long-term. In other words: it will endeavour to operationalize all feasible and viable alternatives.

Free, Prior and Informed Consent (FPIC) principles, social safeguards and community participation strategy were sufficiently considered in the design of the project, but were only gradually and slowly being incorporated through transversal approaches, depending on screening of activities to be implemented from the Annual Operational Plans (POAs). Given the restrictions of the pandemic and the complexity of the Amazonian processes, which must be based on respect for existing cultural patterns, the strategy has been taken into account in coordination with the SERNANP technical area in order to influence the general framework that favours participation of women on NPA Management Committees. In the course of 2020, trainings related to PMU/the wider PdP Initiative/ SERNANP personnel were scheduled, which resulted in a better integration of these elements in the development of the project.

A national Protected Areas System Sustainable Financing Strategy and related roadmap are lacking, as was identified in the Project Document as one of the barriers to overcome. Although this is still the case, the project has been supporting SERNANP and its SINANPE in the development of a financial strategy for the NPAs of the Amazon region and the "piloting" of sustainable financing mechanisms in 4 selected NPAs, the lessons of which can be used for the entire SINANPE. The project intends also to support SERNANP with the adjustment process of its Strategic Plan, including the long-term financial planning, yet this process is still in an initial phase and not in first instance the task of the project. In other words, the projects depends basically on SERNANP to effectively start and lead the process. Finally, in cooperation with SERNANPs FOU on Sustainable Financing, the project is developing an intermediary financing strategy for the wider PdP Initiative.

### 3.2.2 Coherence

#### Key Evaluation Question

##### 2. To what extent was the design of the project coherent:

- a. Is the project complementary to (or overlapping with) other policy-related interventions (financial & technical cooperation) within Protected Areas Management implemented by the Government of Peru, other Development Partners, Agencies, or NGOs?
- b. Is the project coherent with other interventions (financial & technical cooperation) across other relevant sectors with cross-cutting interlinkages with Protected Areas Management in Peru?

First of all, at the international level, the GEF6-PdP project is part of the Amazon Sustainable Landscape Programme, which has a focus on Sustainable Finance for NPAs and has similar components in the different countries of the region (Brazil, Colombia and Peru). Within the ASL context experiences and views are exchanged on a regular basis.

At the global level, the GEF6-PdP and the wider PdP initiative are contributing (either directly or indirectly) to the achievement of the Aichi Biodiversity Targets, particularly Aichi Target 3 (positive incentives for the conservation and sustainable use of biodiversity are developed and implemented), Aichi Target 5 (reduction in the rate of natural habitat loss), Aichi Target 11 (expansion of Protected Area Networks); Aichi Target 14 (ecosystem restoration and safeguarding), and Aichi Target 15 (ecosystem resilience and carbon stocks enhancement through biodiversity conservation).

At the national level, the GEF6-PdP project links to the wider GoP responsibilities as reflected in the Constitution of Peru (*Constitución del Perú, 1993*). The fundamental right of any person to “*enjoy a balanced environment*” that can support human development, is enshrined in the Constitution, which also places an obligation on the Government to promote the “conservation of biological diversity and protected natural areas” (Art. 68) and to promote the “*sustainable development in the Amazon*” (Art. 69).

Peru’s Protected Areas are governed by a national Strategic Plan (“*Master Plan for Natural Protected Areas*”, of 10-year duration, 2009-2019), which is the main policy on NPA management, and serves as the framework for strategic planning. The integration of the PdP in this Strategic Plan is very important to anchor PdP in the institutional strategies and policies. The updating of the Strategic Plan was due in 2019, but has been postponed several times based on multiple reasons (including COVID-19), to the extent that some stakeholders consider that there might be a lack of political will to undertake the process. Besides its linkage with the Strategic Plan, the GEF6-PdP project contributes to the implementation of the Peru National Biodiversity Strategy to 2021 and corresponding Action Plans for implementation (2014-2018 and 2019-2023).

The GEF6-PdP project is complementary to a wide range of programmes and projects funded by several development partners including UNDP, GEF, World Bank, KfW, WWF, USAID, among others. Many of these projects are administered through the Peruvian Trust Fund for National Parks (PROFONANPE). The Trust Fund was established in 1992 as a result of a GEF-World Bank funded project, to raise funding to support the implementation of programmes and projects that contribute to the conservation of biodiversity, mitigation and adaptation to climate change. Important projects complementary to the GEF6-PdP project, or from which it can draw lessons for its implementation include among others:

1. Reducing Emissions from Deforestation by Conserving Forest Ecosystems in Protected Areas (completed 2011, funded by KfW). The aim was to contribute to the avoidance of greenhouse gas emissions resulting from the accelerated deforestation processes in the high Amazon of Peru, through the effective management of the NPA and its buffer zones with an integrated approach to conservation and development.
2. Avoiding Emissions through Effective Management of Protected Areas in Peruvian Amazonia (completed 2012, funding from KfW). Project activities included building management capacity and investing in measures for sustainable resource use and alternative incomes in the buffer zones to prevent and reduce deforestation. The avoided emissions were quantified by means of a monitoring system for REDD+ (e.g. Measurement, Reporting and Verification - MRV).
3. Reduction of Emissions from Deforestation and Forest Degradation (REDD) of the Cordillera Azul National Park (completed 2007, funding from GEF). Since 2014, the Cordillera Azul National Park has managed to sell significant batches of carbon credits worth tens of millions of US\$, to fund park operations.
4. Participatory Management of Natural Protected Areas (completed in 2010, funded by the GEF).

5. Participation of native communities in the management of natural protected areas in the Peruvian Amazon (completed in 2007, funding from the GEF). The project's objective was to increase the sustainability of biodiversity conservation in the Peruvian Amazon through the involvement of native communities in the management of existing and new NPAs.
6. Basis for the establishment of an effective Management of Yaguas National Park II (completed 2020, funded by Andes Amazon Fund).
7. Conservation and sustainable use of high Andean ecosystems in Peru through payment for environmental services for rural poverty alleviation and social inclusion (completed 2020, with funding from the GEF). Although seemingly not directly related to the Amazon biome, many of high Andean ecosystems are part of the wider Amazon watershed and important PES mechanisms on water regulation are developed under this project, which could be replicated under the PdP.
8. USAID/USFS Forest Monitoring and Resource Strengthening Programme - FOREST (ending 2021, funding from USAID). Several outputs produced under this project would also be relevant to the PdP, for example a guide and catalogue to implement the use of the official list of forest products, and the application of the InterBosques platform.
9. EBA Amazonia: Integrated Climate Change Management in Communal Reserves in the Amazon Rainforest (ending 2021, funding from UNDP). Main aim of the project is to strengthen community resilience to the negative impacts of climate change in two communal reserves. One action being taken is the integration of ecosystem-based adaptation (EbA) strategies into the sustainable management of protected communal areas.
10. Amazonia Resiliente: Transforming Management of Protected Area/Landscape Complexes to Strengthen Ecosystem Resilience (ending 2021, funding from UNDP GEF). Under the leadership of the Ministry of Environment, the project aims to improve resilience to the impacts of climate change on vulnerable ecosystems in natural protected areas and in surrounding landscapes, in order to ensure their biodiversity, functionality and the provision of ecosystem services.
11. BIOFIN Peru<sup>3</sup> – The Biodiversity Finance Initiative: In Peru, BIOFIN, in collaboration with the Ministry of Environment, is working on developing innovative financial solutions to leverage funding towards conservation and the sustainable management of resources and biodiversity, linked with the implementation of the National Biodiversity Strategy 2021 and Action Plan 2014-2018, and a Green National Public Investment System (Invierte.pe).

The above (small) selection of projects implemented in Peru during the past decade, covering a wide range of relevant topics that are also inherent to the PdP and the GEF6-PdP project, indicate that a significant level of experience and knowledge should already be available in SERNANP and related institutions on NPA effective management, different types of (participatory) management modalities for NPAs, as well as large scale application of potential funding mechanisms such as selling of carbon credits. It is not clear whether the project has indeed fully considered the wide body of knowledge and interventions that have been implemented in the past, and to what extent the project is articulated with the efforts developed by for example BIOFIN.

The GEF6-PdP complements the wider PdP Initiative by a) supporting the overall establishment of the PdP; b) developing a selection of the Financial Mechanisms to support the financial sustainability of the management of Amazon PAs; c) covering 4 of the 38 Amazonian NPAs included in the wider PdP, as pilots for improved NPA management (however, not covering recurrent expenses, such as salaries of NPA staff); d) support the training SERNANP and PdP staff in several technical areas (financial sustainability, safeguards, adaptive management, gender). On its own, the PdP concerns a long-term approach to sustainable financing of SINANPE, enabling insertion of support initiatives serving the same objective in a coherent way.

Thus far, the GEF6-PdP project has not been fully articulated with other economic and productive sectors and their respective line Ministries (e.g. Forestry, Agriculture, Tourism, Water Management, private sector, etc.), or sectoral strategies for that matter. It is therefore not clear to what extent there is coherence with developments in other sectors and how the project links with overall national economic development planning. It has however become clear that such articulation is not considered a project matter, but rather an issue that is developed (or not) at the highest institutional level, considering the most strategic moments to do so. The up-date of SERNANP's Strategic Plan is considered a good moment to improve inter-sector and inter-agency articulation and therefore should be supported where possible, including by facilitating thematic round-tables once applicable. This is expected to positively affect the viability, effectiveness and impact of FMs developed by the project.

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<sup>3</sup> See also: <https://www.biofin.org/index.php/peru>

### 3.2.3 Effectiveness

Key Evaluation Question
<b>3. What are the <u>main achievements realised</u> by the project during the first phase of implementation and how do they benefit overall sectoral progress and outcomes?</b>
a. What are the main outputs and outcomes achieved under the project thus far?
b. What factors contributed to the success of the achieved results, and which factors negatively affected the overall progress of implementation?
c. To what extent is the project management structure (organization, resources, distribution of responsibilities, and coordination mechanisms) appropriate for achieving progress towards project outcomes?
d. Did the project, in view of decision making, develop and apply a consultative approach towards indigenous communities to increase the effectiveness of planned project activities?

In this section the main outputs and outcomes achieved so far by GEF6-PdP are presented in general and per project component. In addition Annex 9 presents a cumulative overview of all outputs and outcomes achieved per component and per planned activity for the period July 2018 – June 2021, with an indication of progress achieved as estimated by the project on the basis of its M&E system.

#### **Overall Achievements:**

- At the very start of the project a systematic review and adjustment of the ProDoc, its strategies, indicators and targets took place, leading to adjustments.
- The GEF6-PdP project established the enabling conditions for the wider PdP Initiative, first of all supporting the negotiation and signing of the MoU and secondly supporting the development of essential elements like the Implementation Strategy (EI), the Operations Manual (MO) and further supporting the development of the institutional setting for PdP and the Transitional Fund.
- A capable and highly motivated project team has been set-up and provided with the necessary equipment to effectively operate.
- The GEF6-PdP PMU works in direct coordination with SERNANP, strengthening the institution through training and Technical Assistance (TA).

**Component 1: Development of a multi-partner, public-private initiative for long-term financial sustainability of the Natural Protected Areas in the Peruvian Amazon:** *Development of a long-term sustainable financing strategy for the effective management of the natural protected areas in the Peruvian Amazon, using an adaptation of the “Project Finance for Permanence” approach.*

- GEF6-PdP contributed significantly to the preparation and negotiation for the factual signing of the MoU.
- GEF6-PdP contributed also to the factual operationalization of the PdP Initiative (EI, MO, establishment of the Transition Fund).
- GEF6-PdP further significantly has been contributing to institutional strengthening through the training of relevant staff of SERNANP (including PdP and the PdP Coordination Unit), PROFONANPE, in adaptive management, financial sustainability and financial mechanisms, environmental and social safeguards, gender and complaints mechanisms, among others, which was much appreciated by the majority of staff trained.
- The Draft Strategic Plan of SINANPE is in an early phase of preparation and it is said that it will include the PdP elements and approach (however, this is still being developed and to be approved; no draft could be made available yet to the ET).
- The NPA Management Plan review process is currently on-going in 13 selected NPAs. By the end of 2021 five of these will be ready in draft, while seven shall be approved, including the four pilots that benefit from GEF6-PdP TA. While the project initially supported several of these NPAs, the project’s technical support is now focused on the 4 beneficiary NPAs only.
- GEF6-PdP contributed to the review process of the ToC of the wider PdP Initiative (early 2021); it has also contributed to the development of a communication strategy to be applied at the wider PdP Initiative level.

**Component 2: Diversification of sources to increase NPA financing.** *Provision of technical and financial assistance to explore, identify and analyse the feasibility of a set of innovative NPA revenue generating mechanisms, both at national and local level, in order to diversify SERNANP’s portfolio and help fulfil its commitments under the PdP Initiative.*

- A systematization was done to map all relevant literature on national and regional experiences regarding economic valorization and impact of Financial Mechanisms. This systematization served two goals at the same time: a) to obtain



reference materials for awareness creation of different target groups and b) to provide technical input for the design and negotiation of selected Financial Mechanisms (FMs).

- A preselection of 25 Financial Mechanisms was done out of more than 30 legally feasible FMs that had been identified before the project. This was followed by the development of a shortlist of 16 FMs, using a set of pre-set criteria, including periodicity, volume, effectiveness and viability. In 2020, GEF6-PdP elaborated a substantiated selection of 7 FMs to be further developed by GEF6-PdP. This selection was done in coordination with SERNANP management, meaning institutional support, as some of these included politically sensitive elements. The following FMs were selected by the project in coordination with SERNANP management: a) Payment for Environmental Services (PES); b) An Incentive System for the Private Sector; c) Management Contracts; d) Environmental Compensation Mechanisms; e) Tourism; f) A System of Fines, Civil Infractions and Reparations; g) A Water Regulation Agreement. The project applies a development road map consisting of 5 phases (pre-feasibility, feasibility, viability, design, implementation). The first six FMs mentioned are currently in the design phase of FM protocols; the last one is still in the viability study phase. Some of the other shortlisted FMs, are taken care of directly by SERNANP, including a) Conservation Agreements; b) Resources Management and c) Compensation for Easements, while others are at the moment developed and/or piloted by external parties, including d) the Commercialization of Carbon Credits.
- In support of the above selection and development process a number of consultancies were contracted in 2020 and 2021. Of the seven contracted consultancies 3 were cancelled due to COVID-19 (one due to international travel restrictions and two due to infection of the respective consultants). With respect to the deliverables of the other four consultancies, one report was due in the last quarter of 2021 (a guide for hydrological ecosystem services), two reports were delivered only in June 2021 (on valorization of water supply services from ANPs) and July 2021 (on tourism development in PNTM). In total, only one report was delivered in 2020 (on environmental compensation) and had been used so far.
- With respect to piloting of FMs it shall be noted that except for the FM on environmental compensation, the “piloting” of FM’s thus far has been restricted rather to the implementation of viability studies and the development of protocols than to the factual testing and validation of the complete experience.

### **Component 3: Implementation of PdP Action Plan Measures to consolidate and improve the effective management of Amazon NPAs.**

*GEF funding will contribute to the capitalization of the Transition Fund to support consolidation and improve management effectiveness of a group of Amazon NPAs.*

- A well substantiated and systematic selection took place of 4 beneficiary NPAs: Tingo María National Park (PNTM), Río Abiseo National Park (PNRA), Tabaconas Namballe National Sanctuary (SNTN) and Machiguenga Communal Reserve (RCM). These were selected from a preselected group of six NPAs, of which 2 - 4 were supposed to be selected as pilot areas for support under Component 3 of the project.
- A review and homogenization of the baseline data of the 38 Amazonian NPAs was done as it turned out (during the 2019 METT review) that there were significant differences in the way the baseline data had been taken and criteria had been conceived. In order to have a better and consolidated basis for comparison, the baseline data were reviewed and - where relevant - adjusted. In 2019 the use of METT became obligatory for all the NPAs in SINANPE. From 2020 an annual review of METT data has been done based on the adjusted and comparable baseline data. Collection of the data takes place by the NPA teams that - in the case of the 4 pilot NPAs - are supported (on distance) by GEF6-PdP. The METT data are being processed by the PMU and included in the M&E system. From the survey for NPA managers, it became clear that not yet all NPAs comply with the use of METT (but this obviously does not fall under the responsibility of the project).
- The foreseen grant (5 M US\$) was effectively transferred to the TF and is in execution in support of the 4 priority NPAs (see section 3.2.9 for more information).
- TA is provided to the four pilot NPAs (e.g. on analysis of infrastructure needs, review of Monitoring Vigilance and Control (MVC) plans, improving biomonitoring, demarcation of NPA borders, support on M&E, review of the NPA Management Plan (*Plan Maestro*) and integration of the gender plan), all with a view to improve the level of effective management. While the TA has been much appreciated by the NPA management and their staff, its delivery has been slightly affected by COVID-19 in the sense that TA provision has been mainly by virtual means.
- Also TA support has been provided to the 4 pilot NPAs in respect of their annual work plan, considering the elements of strategic planning, the COVID-19 pandemic and the changing political situation.
- In addition to TA, the staff of the 4 selected pilot NPAs also participated in several of the training courses that were organized by the project under Component 1.

- Based on the grant mentioned above, there has been Improved funding and equipment for the 4 pilot NPAs and strengthening of communication channels by providing internet in remote areas. This involves support to four budget lines: a) Equipment and Goods; b) Operation Costs; c) Consultancies and d) Construction of Infrastructure. For each of the four pilot NPAs a planning and related budget was prepared for 2020 and 2021.
- The formulation of action plans on issues such as gender and safeguards is in progress in the 4 pilot NPAs.

**Component 4: Project Coordination and M&E.** *Facilitate coordination among the various project partners, across national and local levels, and facilitate the implementation of the project's monitoring and evaluation plan.*

- A M&E plan and protocol have been developed and put into practice. Based on the first experiences with the system and adjustments made to the ToC, the M&E system was reviewed and adjusted.
- This has resulted in a functioning M&E system, allowing for timely preparation of project progress reports (PPRs) and taking of management decisions.
- There have been annual meetings to review the ToC, strategies, targets, activities and products of GEF6-PdP.
- There has been an annual exchange of experiences and knowledge in the context of the ASL programme (with similar projects in Brazil and Colombia), first by country visits and later, due to COVID-19, through virtual meetings.

**Positive factors contributing to the success of the project include:**

- There has been a *strong willingness* to cooperate at the political and the institutional level. Although some stakeholders indicate that SERNANP - and in general GoP agencies - are rather top-down institutions, it was also stressed that SERNANP has shown great flexibility and readiness to improve its procedures and integrate new elements, allowing e.g. for the transversal integration of gender and safeguards issues.
- There is a *competent, hardworking and supportive PMU team* that applies flexibility in the ways that they provide technical assistance to the beneficiaries of the project. This flexibility was shown for example by the change of activities under the COVID-19 pandemic, during which focus shifted to adjustment of protocols and development of guidelines that can be used once the restrictions on life meetings are eased and field activities can be planned in a more normal way. PMU staff have been working basically from their respective houses since the start of the pandemic.
- There is said to be *increasing environmental awareness*, to the extent that some actors, representing national, regional and local authorities, as well as private sector and communities, increasingly recognize that development shall consider nature. This may result in better acceptance of conservation messages and availability for participation in NPAs Management Committees. The ET got the impression that MCs are well developed and include significant numbers of representatives of local stakeholder groups. The ET considers that it is not probable that the project has significantly contributed to greater awareness among the general stakeholders, as so far there has been no active awareness campaign for the general public, while the wider PdP Initiative communication strategy (to which the project contributed) has yet to be implemented. It is rather expected that the awareness of the general public has been increasing due to external reasons like the effects of climate change and forest fires.
- The *innovative long-term approach* of the PdP/GEF6-PdP in itself, is the basis for long-term (co-)financing which helps to overcome the main problem addressed by the project.
- There has been *good "internal" articulation* between the national level (MINAM), SERNANP officials (at headquarter and field level), PdP and GEF6-PdP. The continuous involvement of SERNANP staff, also at the highest levels of the organization, has been facilitating the creation of institutional ownership and supporting natural integration of the project. The project is therefore not an alien unit attached to SERNANP, but rather a well-integrated element of it (in the words of the general director of SERNANP: "the project is SERNANP and is aligned in all its elements with the administrative and strategic planning procedures of SERNANP").

**Factors impeding on the progress achieved by the project:**

- The *COVID-19 pandemic* caused delay in implementation of field activities; delay in implementation of field studies; changes in activities, strategies and support to NPAs; severe restriction of participation of local actors, especially communities (some local actors have become basically out of reach, as they have no access to internet and/or no telephone signal); difficult implementation of the gender strategy with communities; delay of delimitation activities and activities on the review of Management Plans, among others. At the level of the NPAs it also limited effective vigilance and control, affecting patrolling by rangers and community volunteers.

- The *economic crisis*, partly resulting from the COVID-19 pandemic, has caused cut-backs in public budget, while at the same time the direct revenues from tourism have been decreasing (tourism is the most important source of direct revenue income for SERNANP, representing 90% of its total directly generated income, showing the need for diversification of FMs for SERNANP).
- As an indirect effect of COVID-19, *procurement prices* have been higher than budgeted for; this meant that some adjustments to the budget had to be made to ensure that all planned equipment could be purchased.
- The *unstable political context* (multiple changes of government, with five Presidents over the last four years and with successive changes in high level staff (including ministers and vice ministers), part of whom (once again) needed to be informed on and motivated for support to the project and the wider PdP Initiative). In addition, this has affected the feasibility or not of certain Financial Mechanisms for the national level, such as carbon taxes and fines.
- There is *limited in-country expertise on innovative Financial Mechanisms*, causing problems with procurement of local consultancy services (resulting in delays, poor responses to Calls for Proposals, need for redrafting of ToRs, among others). This problem was further exacerbated by the pandemic, due to which 3 out of 7 consultancy contracts for FM development had to be cancelled. Also, there seems to be a slight preference for the (further) development of the more traditional FMs, and a kind of risk aversion with respect to FMs that would involve cross-sector or inter-agency cooperation. Nonetheless it must be said that even those more traditional FMs, such as PES, tourism, fines and water fee redistribution, have yet to be arranged for at the national level and not necessarily represent low hanging fruits to be picked. For example, the FM on water fee redistribution will have to be negotiated with the National Water Authority ANA and/or the Ministry of Agriculture (MoA). Although the project is supporting this FM through a viability study (consultancy), SERNANP has not yet started to contact ANA directly on this issue for strategic reasons: it first wants to have all relevant technical information available to substantiate its claim for sharing in the water fees collected by ANA. The final selection of FMs took place in coordination with the management of SERNANP and is still considered valid by SERNANP.
- Although the ET noticed interest among PMU staff to implement participatory processes, the ET has the feeling that the applied participatory approach shall be strengthened and be made more explicit. This feeling is supported by the results of the survey applied to 23 professionals who participated in the training process. On a question whether they know the participation mechanisms applied by the project, 61% answered that they do not know them. In addition, many of the answers provided by another 35% of this stakeholder group did not coincide with the elements of the participation approach followed by SERNANP, as expressed by SERNANP Management, which is basically based on creating enabling conditions for direct economic benefit of local stakeholders and thereby indirectly for long-term conservation. This means that even most staff strained by GEF6-PdP are not aware of the participatory approaches applied by it.
- There seems to have been *limited political interest* to support the up-dating process of SERNANP's Strategic Plan, which was due in 2019, but due to multiple reasons has been postponed again and again, which has resulted in a dragging process of starting up and still has not resulted in a draft document. This process is very important for the institutionalization of PdP and for the involvement of cross-sector actors and MDAs. It should therefore become more and more a priority for GEF6-PdP to focus on.
- There have been some *bureaucratic issues* with respect to funds that were transferred by PROFONANPE to SERNANP headquarters in view of the execution of support for the 4 selected priority NPAs, which led to delay in procurement of local goods and services and in the implementation of planned activities (which had previously been approved in the respective annual plans of these NPAs). After the management of these NPAs complained to the project, the PMU had to repeatedly spend time in meeting relevant SENANP staff to arrange for release of the respective funds.

#### **Other observations on project effectiveness:**

- GEF6-PdP has been very effective in the first 1.5 years. Since early 2020 GEF6-PdP implementation has been affected by external conditions (causing delays, changes in activities).
- The ***project management structure*** is appropriate for achieving planned results. It is linked to SERNANP's and PdPs management structures. The project's PMU resembles the structure of the wider PdP team (in other words: the teams are mirrored). Together the two teams are referred to as "the core team". Next to the PMU and the wider PdP team SERNANP has specialists working on the themes of interest to GEF6-PdP and the wider PdP Initiative, as well as other units that can be of support, including the Functional Operational Unit (UOF) on Environmental Management in NPAs, the UOF on Natural Resources in NPAs, the UOF on Tourism in NPAs and the UOF on Participatory Management in NPAs, but also the Office on Legal Advice and the UOF on Sustainable Finance. The latter is involved in prioritization of FMs and articulation with relevant sources and projects.

- The implementation rate amounted to 70% in 2019 followed by 79% in 2020, but has been decreasing to overall 21% for the reporting period January-June 2021). Effects of the COVID-19 pandemic partly clarify this through delayed and cancelled activities. This does not mean that no work was done, but part of the planned activities have not yet been completed; also, instead other activities were scheduled. On the other hand, the relatively high implementation rates for 2019 and 2020 are suggested to have been caused partly by the fact that the originally planned targets were reduced in the course of those years, to the extent that the implementation rate would probably not have reached 50% of the originally approved annual operational plans. In this respect, some stakeholders warn for the risk that the concept of “adaptive management” may mistakenly be interpreted as a means to easily adjust targets to the available institutional capacity. Relatively high scores for annual implementation seem to corroborate this thought, when compared to medium scores for overall achievement of the project targets.
- The overall budget execution is on track (partly due to the release of a US\$ 5 million grant to the Transition Fund, which covers more than half of the budget. While budget execution amounted to 70 % in 2019 and even 95 % in 2020, in the first half of 2021 it dipped to 23%. This is partly explained by quite a number of consultancies of which the reports were delivered by the end of June, which had not yet been approved and thus paid for.
- The execution of the US\$ 5 million grant to the Transition Fund slowly started in 2020 on the basis of approved annual operational plans and related budgets for the 4 beneficiary NPAs.
- With respect to coordination with other MDAs however, contacts have been more limited or even absent. Although the ProDoc identifies the “insufficient integration of inter-institutional and multi-sectoral planning and management, and weak coordination” as one of the barriers to achieving long-term sustainable financing of SINANPE, GEF6-PdP has not succeeded in strengthening such coordination with key MDAs in a well-structured and consistent way. Whereas the Ministry of Foreign Trade and Tourism was invited to and has been participating in the original steering Committee of GEF6-PdP, it has not participated in the Management Board of the wider PdP Initiative. The Ministry of Economy and Finance, although invited as member of the Management Board does not participate and even never answered the invitation for participation. Although this seems to be normal in the Peruvian context, it is not in line with the impression that was given in the ProDoc. However, the lack of even intents to actively work on this is explained by the fact that interinstitutional and/or interdepartmental contacts in Peru are generally maintained at the highest level, in this case at the institutional level by the General Director and the Head of SERNANP and the Minister of MINAM rather than at the project level. SERNANP maintains contact with MDAs at the highest level, for example within the context of land use planning, but it is not common that bilateral contacts are maintained for specific projects.
- At the level of the selected pilot NPAs there have been some attempts to coordinate with local authorities and departments through round tables in view of the review and validation of adjusted management plan proposals.
- Although the project document explicitly defines a stakeholder engagement strategy in practice GEF6-PdP has not defined its own **participatory strategy**. Instead it claims to follow the SERNANP approach to participation, which according to the PMU is based on adaptive management. This approach would require several processes to be bottom-up, actively involving stakeholders (e.g. a NPA Management Plan cannot be approved without the consent of local stakeholders). Yet the ET considers that there is a significant difference between (on the one hand) involving stakeholders to approve a document that has been prepared by others without their active involvement and (on the other hand) actively involving stakeholders from the start in the development of a document, with the aim of understanding and integrating their points of view in the proposal and creating ownership on the process and the results, with a view to improve the sustainability of those results in the long-term. For this reason, as the limitations imposed by the pandemic are overcome, it is important to finalize the process of participatory development and validation of Management Plans. Having said this, it must be recognized that SERNANP stimulates the participation of local stakeholders by enabling them to actively participate through generation of economic benefits / income. The mechanism applied is that local stakeholders can obtain sustainable use contracts for the sustainable extraction of certain resources (e.g. medicinal plants, palm leaves, timber, bush meat, honey, butterflies) or e.g. to make use of the landscape resource by guiding tourists in it. At the same time that these local stakeholders sign the sustainable use contract, they also sign a conservation agreement, requiring them to contribute to the conservation of the area of their interventions by contributing to vigilance and control. In this way SERNANP enables the local stakeholders to get an economic stake in the conservation of the area, while at the same time

SERNANP actively involves local stakeholders in vigilance and control and thereby supposedly can avoid contracting higher numbers of rangers to achieve its conservation goals<sup>4</sup>.

- In practice, effective participation of especially local and regional stakeholders has been weakened through COVID-19 restrictions due to which areas were basically closed off and life meetings were banned, enhancing isolation of especially local stakeholders and making their participation extremely difficult if not impossible, due to the fact that virtual participation is hardly or no option for part of them, as they are simply not connected to the internet and/or have poor phone signal. This applies among others to indigenous communities and their representing organizations, which indicate that it is very important to return to live meetings, because they “do not understand much, during virtual meetings”.
- Considering the historic top-down management mechanisms within the GoP institutions, the mentioned participatory approach of SERNANP is considered by some already a big step forward. Besides, it is supposed to work towards sustainability as the owners of the resource use contracts do want to maintain the conditions intact that allow them to use the resources in a sustainable way. Yet the ET considers that more can be done to target a higher level of ownership of local actors and sustainability.
- A **communication strategy** has been developed for the wider PdP Initiative, with support of the project. A campaign to create awareness of the general public and specific stakeholders (e.g. politicians, decision makers) on the values represented by NPAs and the opportunities offered by Financial Mechanisms has been planned for the second semester of this year. This campaign will also address SERNANP staff, since it was established by a communication diagnosis that many SERNANP staff do not yet fully understand the PdP Initiative.

### 3.2.4 Efficiency

#### Key Evaluation Question

4. To what extent are the achieved outputs and outcomes under the project realised in a cost-efficient way (i.e. with the least costly resources: funding availability, human resources, procurement of technical assistance, project coordination)?

Overall the project has been found to be cost-efficient, particularly in the activities that are funded directly through the GEF6-PdP project and under control by the PMU (with direct releases by PROFONANPE). While also considering the impact of COVID-19 on the execution rate of some activities and the spending possibilities, the GEF6-PdP budget execution has been medium to good. GEF6-PdP found ways to continue functioning at the best possible level (mainly through the internet). COVID-19 also implied that less face-to-face meetings and workshops could be organised, resulting in lower travel cost. However, the overall price paid for eliminating face-to-face meetings with local stakeholders turned out to be significant, as this has resulted in delays in the execution of several key activities that require a high level of participation (for example demarcation, management committees, master plans, etc.). On the other hand investments in technology have been made that are enabling a new virtual working modus; this may result in cheaper operational costs in the long-term. To this end procured equipment turned out to be more expensive than budgeted for (partly due to COVID-19), but exchange rates have been relatively favourable. The investments made in the training of staff are strengthening the institution and are resulting in improved management.

PROFONANPE has released a significant portion of the project budget to the Transition Fund (a total of US\$ 5 million has been released to the TF). However, through the financial reporting by PROFONANPE on GEF6-PdP no insight is provided on how the US\$ 5 million grant to the TF is being spent through SERNANP, and which activities or investments have been funded within the 4 pilot NPAs targeted under GEF6-PdP. Information on the execution of the TF grant was therefore separately requested and obtained from the UC-PdP. Feedback received from interviewed staff however indicate that the execution rate of the Transitional Fund is limited, mainly due to bureaucratic procedures. The execution of the FT by GEF source is said to stand at less than 30% (August 2021). This raises concerns about the execution of the work plans of the four pilot NPAs, whose costs are quite different to those of the other Amazonian NPAs. How much of the funds from the TF actually are spent on PA improvement is clear to the ET, although the ET did not receive details on the exact activities that were funded through the TF (see also section 3.2.9 on Project Execution). Feed-back from stakeholders also suggests that the efficiency of especially the

<sup>4</sup> The total number of rangers employed by SERNANP (730) divided by the area to be protected (19 million ha) delivers an average cover rate of 1 ranger per approximately 26,000 ha! In addition, before the pandemic SERNANP was supported by between 200 and 300 volunteers for Vigilance and Control.



Management Plan review processes in the four pilot NPAs would be much lower than that in other NPAs involved in the same process. It would be wise to compare the approaches applied and the final results in order to establish which approach has the best cost benefit ratio and should be recommended for replication.

Feedback received from interviewed staff indicate that the implementation of a number of project activities rely on external consultancies (see also Annex 10) as no appropriate technical capacity is available within SERNANP, or even at country level. Sometimes this leads to low-quality outputs, not fully delivering what was originally requested or missing out on the scalability of proposed solutions, resulting in consultancies with non-approved outputs. This weakness has been recognised, and also extends to the level of the PdP Transition Fund. It has been decided by the Board of Directors to reduce the dependency on external consultancies, particularly where consultancies go at the expense of internal work and internal capacity building efforts.

Therefore, spending project resources on external consultants may have to be subject to more stringent quality assurance (particularly in fulfilment of Terms of References) in the remainder of the project. Proposed consultancies should be defined more concretely in terms of anticipated value and impact through their implementation, for example a consultancy should generate specialized information (or its analysis) that will further catalyse a process or strengthen capacity that in turn will generate other types of returns (process efficiency, cost savings, etc.).

Overall, thus far only approximately 3% of executed GEF6-PdP project resources have been spent on consultancy contracts. It is noted that the final costs of the consultancies had a variation between what was initially budgeted and what was actually agreed, in almost all cases the contracted amount was less than the budgeted amount. This was partly due to exchange rate effects, as the project budget is received in dollars, while generally consultancies were paid in Peru soles (the depreciation of the sol in the last 2 years has been approximately 25%).

### 3.2.5 Impact

Key Evaluation Question	
<b>5. To what extent are the <u>realised outputs and outcomes</u> under the project contributing to the achievement of project objectives?</b>	
a.	What is the foreseen impact that the achieved outputs and outcomes under the first phase of implementation of the project are likely to generate, particularly with respect to social, economic, and environmental benefits (i.e. the triple bottom line)?
b.	Do the project interventions have any unforeseen effects (positive or negative)?
c.	To what extent are positive results replicable or scalable?

Although the SERNANP Strategic Development Department is aware of the importance of the Master Plan reflecting integrating local and national level priorities in order to advance public policy, it has not yet been formulated, followed by the development of a Sustainable Financing Policy and Protected Areas Network Sustainable Financing Strategy. The lack thereof is limiting the work of the GEF6-PdP PMU.

Financial mechanisms will decrease the dependence on the public budget and increase the income for the NPA system. But also of importance is that an approach to FMs is applied that leaves room for income generation by local stakeholders, giving them a stake in conservation of the NPAs, creating more impact and heading for sustainability. Not all selected FMs can significantly improve the direct income generation capacity of SINANPE and selected ANPs (e.g. the mechanisms on fines). Nevertheless they are considered relevant for the long term, as part of the overall endeavour to close the financing gap and /or as strategy to lower costs, and therefore have to be developed. In case of the FM on fines as a) it will bring in some money; b) it will normalise the governance chain of verbalising, processing of the fine and cashing of the amount due, which will c) fight lawlessness and impunity and in the end may avoid people to commit offences and thereby avoid the system to run into additional costs for a raised level of illegalities and related losses of natural resources.

Part of the selected FMs are rather traditional - or in other words not very innovative - (e.g. tourism) or rely on redistribution of GoP funds, creating shortages in other sector MPAs (e.g. redistribution of water fees collected by ANA). Of course, the FM on tourism has proven to be able to generate a lot of funds for SINANPE (90 % of the directly collected income of SERNANP). In 2019 the NPAs received 2.8 million tourists with a growth tendency of 16% per year. Nonetheless, tourism is currently



plagued by the negative effects of the COVID-19 epidemic, with the number of tourists in the 4 benefitting NPA dwindling from 113,579 in 2019, to 34,656 in 2020 and a mere 8,100 so far in 2021. It is not clear how long tourism will remain affected by the pandemic, but some suppose that it may at least last until 2024, the year that the project is planned to terminate. Even though protocols can be further developed by the project in this period, it is doubtful to what extent these may be tested and to what extent impact may be expected by that time. Others expect tourism to fully recover by 2026 and suggest that the pandemic period shall be used to diversify the tourism offer, invest in tourism infrastructure development and adjust the entry fee system to be future proof and be able by then to fully pick the fruits and appreciate the impact.

For some of the FMs under review for development, political will and decisions are needed to enable implementation. This concerns e.g. the introduction of a “conservation fee” taxation for incoming travellers by plane, added to the cost of a flight ticket (this was discussed by the SERNANP management with the Minister of Tourism, but sided for the time being, due to the already negative effects of COVID-19 on tourism, and therefore to be followed up at a later, more convenient time). It was therefore not selected as one of the FMs to be developed by the project. Another example of a FM that was not selected due to lack of political will is the one on introduction of a carbon tax; it is however not unthinkable that the new GoP might change that position. Political and institutional will and cooperation will also be needed in case of the water redistribution FM from ANA. Although it seems very reasonable that SERNANP claims a share in the fees collected by ANA, as much of the water provided originates from NPAs and in addition ANA is said to have never ever invested in watershed management or reforestation activities in those areas in its 40 years of existence. Nevertheless this sharing of directly generated resources among GoP institutions obviously will have to be negotiated and therefore needs institutional and political will.

In general though the ET considers that the selected FMs are relevant and that there is a reasonable chance that they will significantly contribute to close the financing gap, although the moment that they will effectively generate funds and their level of application/replication in other NPAs depends on factors that are out of reach of the project (such as COVID-19, political will, institutional choices).

The qualification of the technical team of the project, through the training process provided in adaptive management and open standards, enables the improvement of the intervention processes and with it the generation of results expected by the project in the long term, such as conservation of biodiversity and ecosystem services.

Greater efficiency is expected in the valuation and use of ecosystem services of the ANPs, given the enlistment and improvement of the project intervention areas, based on investment in issues such as tourism infrastructure, site plans, design of financial mechanisms, among others.

Progress is observed in the implementation of training processes, gender strategies and safeguards, the latter with an additional result due to the joint approach developed for the entire SINANPE. Overall, it is not (yet) feasible to measure the impact generated to date due to these being long-term social processes. Of the trained staff (mostly SERNANP) more than 80% indicate to have applied the newly gained knowledge in their work, e.g. internalising the new approach on sustainable finance in all their work or by applying the new elements on safeguards and gender in the way that stakeholders are approached. Also the majority of trained staff (65%) indicated to have shared the gained knowledge with colleagues. The strengthened staff capacity is likely to enhance the overall quality of NPA management.

Some officials and team members trained in safeguards in 2020, identified situations at the local and regional level, that could lead to non-compliance by local and regional authorities in the commitments made in the preparation of the Management Plans, given the political instability, the high turnover of personnel in local governments and the lack of budget; aspects that remain in force to date according to the testimony of some interviewees. The PMU team considers that affecting the commitments agreed in the Management Plans may limit the impact of the project related to the conservation of ecosystem services and biodiversity, as well as the benefits generated for the population. The changes of government do not guarantee the continuity of the professionals that received training as part of the project, which may affect its compliance.

The impact of the support to the four pilot NPAs through the Transition Fund support, training and TA on management plans, vigilance and control plans, support to border demarcation (e.g. as foreseen under Component 3), and the overall effects so far on the increased level of effective management for each of the 4 pilot NPAs are not be possible to measure to the date,

given that, although there are results, the limitations due to the pandemic and the short project execution time does not allow to identify significant impacts. In addition, responses received from NPAs concerning METT scores (see also Annex 5) do not provide a clear picture on improvement in management effectiveness.

It appears that other than supply of office equipment, internet services, phones, vehicles and infrastructure, investments in more innovative technologies that could be introduced and tested by the project for replication at a bigger scale, such as drones, GIS software and camera traps, yet have to be realized. The surveys clearly indicated the interest of NPA staff for such developments. By focussing on the introduction of such innovative technologies the project could increase its impact.

### 3.2.6 Sustainability

Key Evaluation Question	
<b>6. To what extent are the <u>results achieved</u> under the first phase of implementation of the project <u>sustainable</u>?</b>	
a.	What is the likelihood that positive results of the project are continued after completion of the funding support from GEF/WWF?
b.	Did the project generate further support and buy-in from a wider group of stakeholders and beneficiaries (incl. indigenous communities) at national and local level to continue key activities and ensure ownership?
c.	What is the potential to scale up or replicate any of the positive results achieved under the project thus far?

The GEF6-PdP project is part of the wider (and in duration significantly longer) PdP Initiative, which also resorts under SERNANP. It is highly likely that the wider PdP Initiative and SERNANP will continue and replicate positive results after termination of GEF6-PdP. This can be ensured by further integrating the project activities into the PdP before the end of the project.

The direct involvement of SERNANP in all project activities, both under the GEF6-PdP project as well as the wider PdP Initiative, facilitates up-take and institutionalization. More particularly, the participation of a wide and diverse group of SERNANP staff in trainings and workshops conducted by the GEF6-PdP PMU have contributed to establishing a basic level of understanding about the PdP, the different thematic areas covered under the programme, and knowledge on key technical fields of intervention such as Financial Mechanisms and sustainable financing (see also feedback received through the surveys, Annex 5). However, at the same time a relatively high level of staff turnover is observed in local and regional governments, and the fluidity in political context may not guarantee the continuity of the professionals that received training as part of the project, limiting the sustainability of training outcomes.

There is some concern among stakeholders about the sustainability of the achieved contribution to the reduction in the financing gap by the end of the project. This is caused primarily by the fact that in only one of the four selected pilot NPAs a location specific Financial Mechanism approach is developed (i.e. in PNTM, which is developing a tourism development plan). This means that in the other 3 NPAs only the “national level” FM will be applied, yet it is uncertain to what extent and by what time these will be included in the annual operational plans (AOPs) for active testing. In addition the UC PdP suggested that operational costs of the 4 selected NPAs are relatively high as compared to those of the other 34 NPAs in the Amazon region.

The earlier mentioned “participation approach” of SERNANP, based on enabling local stakeholders to economically benefit from natural resources in a sustainable way, seeks to provide them with a stake in the conservation of local natural resources, which may have a positive impact for the short and the long term. Yet, considering the concerns on growing population pressure on the NPAs, among others in view of the pandemic, it must be ensured that such uses indeed are sustainable. This means that the necessary controls and checks and balances have to be in place to ensure this. SERNANP is issuing certificates for all sorts of products that come from the NPAs. Although it is said that SERNANP applies strict protocols and demanding contracts for the “Certification of Conservation Allies” the ET did not get information on the criteria that need to be complied with before a certificate can be issued and the protocols for the control of the chain of custody of certified products. In fact it is not clear to what extent relevant sustainability criteria have been defined and how these are monitored in practice and by whom. Proper implementation of such a certification scheme would probably imply a significant workload and imp[ly costs, yet it may be relevant to develop it in a serious way to avoid that it is not worth anything and to avoid that products from unsustainable practices are marketed as sustainable, whilst natural resources are being affected negatively.

The lack of a clear participation strategy and the implementation thereof may result in suboptimal dissemination of information and project outputs to relevant stakeholders, both at institutional level, as well as at local level (wider group of beneficiaries

and local communities in vicinity of NPAs), which may result in limited ownership and threatening sustainability. Furthermore, when eventually Financial Mechanisms are implemented, this may face resistance from affected or non-benefitting stakeholders. In addition, the participation of local stakeholders has been and still is significantly affected by the COVID 19 situation, which affects the review and updating process of NPA Management Plans. The limited or absent coordination with other Ministries, Departments and Government Agencies (such as Ministry of Agriculture, National Water Authority ANA) may result in a lack of buy-in at policy level, which will affect the implementation of designed Financial Mechanisms, including the scalability or replication of FMs to the wider NPA network. This limitation was identified already in the design of the project, which assessed the *“insufficient integration of inter-institutional and multi-sectoral planning and management, and weak coordination”* as one of the barriers to achieving long-term sustainable financing of SINANPE. This assessment still remains valid at this stage in the implementation of the project. PMU staff indicated that the alignment of intervention strategies with other sectors and institutional stakeholders has to be carefully done, especially when an intervention has not yet been defined technically. It is however advised to include a wider set of institutional stakeholders very early in the process, to gain buy-in at a later stage when technical specifications are developed.

To increase the general level of sustainability of the project outcomes, there will be a need to increase the public support and acceptance of a broad package of Financial Mechanisms that can be introduced to financially support environmental conservation. To this end a clear communication and awareness campaign to a wider public could be considered on the value of the environment and its contribution to the national economy, both in terms of human health, cultural identity, and connectedness of economic activity (tourism, agriculture, forestry, watershed management, fisheries, etc.) with the natural environment.

### 3.2.7 Adaptive Capacity

Key Evaluation Question	
<b>7. To what extent are <u>adaptive management principles</u> applied to meet indicator targets included in the intervention logic, and to mitigate adverse effects on project implementation?</b>	
a.	Was the design of the project (e.g. intervention logic, Theory of Change) altered to address any design flaws encountered during the implementation of activities?
b.	Did the implementation context of the project change, including policy priorities, making it necessary to adjust the design of the project?
c.	Do the M&E mechanisms applied (including the annual adaptive management meetings) facilitate appropriate review and monitoring of the project's ToC and intervention logic?

At the very start of GEF6-PdP a systematic review of the ToC, strategies, targets and indicators led to several changes. Later, GEF6-PdP did not adjust its goals, but did change activities and outputs to reach these, under changing external conditions.

A consistent and coordinated work is identified around the review and adjustment of the Theory of Change and the intervention logic of the project, through the active participation and leadership of the main stakeholders such as SERNANP, PROFONANPE and WWF, who, through a methodology suitable to the process, have sought to link other relevant stakeholders in decision-making, which confirms the effectiveness of the M&E mechanisms.

The intervention logic has been adjusted according to the identified needs, an example of this is giving due importance to the issue of safeguards with the necessary budget and the assignment of professionals in charge.

Although there are participation strategies around the design of the Strategic Plan of SERNANP and the management plans of the NPAs, under the direction of the Management Committees, with broad participation of local stakeholders, it is also important to achieve the wider involvement of the communities (among others by raising awareness and clearly communicating on benefit sharing mechanisms) a process that has been interrupted to date by the COVID-19 pandemic.

The current changes in the political and socio-economic context may result in changes in political priorities, which may lead to needs to adjust targets, activities and possibly selected FMs.

### 3.2.8 Partnership Arrangements

The overall PdP strategy is to consolidate a wide spectrum of financial sources flowing into Peru (both from domestic resource mobilisation as well as from international funding flows) to support the effective management of protected areas in the Peruvian Amazon. Besides they need to further streamline the coordination with in-country partners (e.g. MINAM, PROFONANPE, and other ministries) to enhance sustainable financing flows, this also implies the need for a coordinated effort between various bilateral and multi-lateral donor agencies and development partners such as the UNDP, KfW, USAID, GEF, Andes Amazon Fund, the Green Climate Fund, the Moore Foundation, and the WWF among others, in a more holistic approach towards conservation funding and sustainable financing.

The PdP includes a Management Board consisting of donor agencies, as well as representatives from government, to monitor the flow of funds from donors. On the basis of the annual work plan, conservation milestones, and meeting set conditions, funds are released to execute implementation of activities. The private funds are managed by PROFONANPE<sup>5</sup>, which specializes in raising and managing financial resources aimed at implementing programmes and projects that contribute to biodiversity conservation, mitigation and adaptation to climate change.

Overall the GEF6-PdP project has set the basic conditions for collaboration between SERNANP, the Ministry of Environment, and PROFONANPE, by providing support in the development of the Memorandum of Understanding with SERNANP to establish the Patrimonio Natural del Perú (PdP) programme agreement (covering the 38 Amazonian Protected Areas for an initial period of 11 years). The wider PdP catalysed an initial US\$ 70 million in funding contributed from various sources (WWF, Andes Amazon Fund, Gordon and Betty Moore Foundation). Furthermore, the GEF6-PdP project contributed to the development of the PdP Implementation Strategy, which defined the key activities of the wider PdP Initiative. The PdP Initiative (phase I, concerning the Amazon region) was approved in March 2019 and assured high-level political support from the Ministry of Environment (Decreto Supremo No 003-2019-MINAM), which declared the wider PdP Initiative a national priority.

Following from the establishment of the wider PdP Initiative, the GEF6-PdP project also contributed to the development of the Operations Manual for the management of the Transitional Fund, to which a grant has been released of US\$ 5 million (from the WWF-GEF commitment). The GEF6-PdP project is administered through PROFONANPE, which manages the financial execution of the project.

Overall, the collaboration between the GEF6-PdP PMU, PROFONANPE, SERNANP, and Ministry of Environment has been positive, particularly at technical level. However, alignment of the GEF6-PdP with activities of the MINAM Department for Economy and Environmental Financing can be improved, for example in relation to environmental valuation studies, environmental accounting, that would support building a business case for selected FMs. In addition, coordination with MINAM should be improved specifically at the level where initiatives such as BIOFIN are managed in collaboration with MINAM. As an indirect result of the GEF6-PdP project and the establishment of the wider PdP Initiative, the Department for Sustainable Financing within SERNANP has been initialised and is gradually taking shape. This “professionalising” of SERNANP in this specific field of work will further contribute to coordination and absorption of external support within the SERNANP in relation to funding of the SINANPE, including partnership arrangements with a variety of actors at Government level, Development Partners, Non-Governmental Organisations (NGOs), and PROFONANPE.

Since 2016, the Green Climate Fund (GCF) has been activated in Peru (PROFONANPE and Fundación Avina have been accredited), and is disbursing funding for supporting readiness activities, concept note preparations, gender assessments, and social and environmental safeguards, as well as approved projects.

It has been noted that some partners, e.g. KfW, have recently shifted support to Protected Areas Management to direct management with SERNANP, for example in the form of a budget support. As committed in 2018, KfW implements a results-based budget support programme of US\$ 20 million with SERNANP starting 2021 (effectively operational in 2022), for which

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<sup>5</sup>PROFONANPE has been the lead administrator for projects funded by the World Bank, KfW (German Development Bank), the Global Environmental Facility, USAID, International Fund for Agricultural Development, and the Swedish Government. It has also been appointed by the Green Climate Fund and the Adaptation Fund as an implementing agency.

the contract has been signed directly with Ministry of Economy and Finance (MoEF); one of the reasons why KfW started with budget support is the maturing relation between Peru and KfW, with budget support more responsibilities are transferred to SERNANP / GoP. Also budget support reduces overall transaction costs for KfW, as PROFONANPE - as intermediary administrator for previous KfW projects - charges a management fee (generally 5% of funds managed). Overall, there is no formal coordination between GEF6-PdP and KfW, nevertheless KfW is kept informed on project implementation by GEF6-PdP.

### **3.2.9 Project Execution, Coordination, and Operational Issues (WWF and implementing Partner)**

Project execution in general has been smooth. The project team works in line with established agreements and procedures and there are no major hic-ups reported. The PMU and the PROFONANPE teams appear very experienced, systematic and show good rigor in implementing the work, so that e.g. semestral Project Progress Reports and quarterly Financial Reports are timely and generally of good quality. There seem not to be any issues on the financial management by PROFONANPE. PROFONANPE has contracted part of the PMU staff, including the administrative officer and the M&E specialist. Contractual conditions, including social and health security, are said to be good.

Coordination between PMU and PROFONANPE is considered good and frequent. Coordination with the donor (in principle 3-4 times a year, or more if required) has been less frequent but also good.

Under COVID restrictions, which significantly affected field implementation, focus has turned to elements that could be developed in the meanwhile, such as procedures, guidelines and other elements that can be used at a later moment once restrictions are eased. This may have affected budget execution.

Budget execution in 2020 amounted to 70% of the budgeted amount and in 2020 95% of the budgeted amount (of the considerably reduced work plans, due to COVID-19, which – as indicated earlier – reflected an original budget execution of less than 50%). In the first half of 2021 it was only 23%, which can partly be explained by the delay in finalizing many of the consultancies. In the second semester of 2021 the respective payments are expected to be made.

The annual financial report presented by PROFONANPE to WWF for 2020 presented the US\$ 5 Million grant as executed in 2020, as the amount had been transferred to the Transition Fund. Understandably this did not provide any details on the execution of this grant, that is specifically meant to support the four selected NPAs at field level.

Information concerning the execution of the grant has been requested from PROFONANPE, which provided the following:

- The TF became operational in February 2020. It manages a total capital of 18 Million US\$ (of which 5 Million US\$ from the project). Until the end of June 2021 it has implemented approximately 2 Million US\$.
- TF currently executes grants for the Amazon and Andes Fund (AAF), the Moore Foundation (GBMF) and the GEF6-PdP project.
- In 2020 a total amount of US\$ 90.305 was executed for GEF6-PdP, representing 23% of the approved annual budget (compared to respectively 48% for AAF, 58% for GBMF/WWF and 52% on average for the approved budgets of the TF). This means that execution of the GEF6-PdP grants was relatively lower. However it has to be clarified that it is not clear to the ET where the funds for the other TF partners is supposed to be used for, making it difficult to compare. It is clear however, that those of the project are specifically meant to be used for support at field level for the four selected beneficiary NPAs, and that due to COVID-19 restrictions contacts and movements in the area became seriously restricted.
- In 2021, from January until the end of August (so covering 2/3rd of the year), a total amount of US\$ 174,368 was executed for GEF6-PdP, representing 24% of the approved annual budget (compared to respectively 8% for AAF, 19% for GBMF and 17% on average for the approved budgets of the TF). This means that execution of the GEF6-PdP grants was relatively higher.
- Of the total amount executed for GEF6-PdP in 2021 88% was on equipment and goods, 8% on infrastructure, 3% on consultancies and 1% on operational costs. This clearly shows the effect of the continuing restrictions due to COVID-19.
- The execution so far in 2021 for the 4 beneficiary NPAs has been as follows: PNRA 0%, PNTM 36%, RCM 14% and SNTN 35% of the approved annual budgets. This shows that PNRA stays behind. Explanations included lack of stock of equipment to be purchased, causing delay, COVID-19 restrictions affecting purchases that require presence of staff, field activities cancelled due to insufficient resources received from SERNANP, activities rescheduled and to be funded from another

source and services starting in second semester. In addition it shows that all NPAs are still affected by COVID 19 restrictions, which was confirmed through interviews and information gathered through the surveys.

No specific operational issues were mentioned with respect to the relations between PROFONANPE, GEF6-PdP and WWF. One issue that came up on the relation with PROFONANPE related to the inefficiencies in administrative and financial systems, for example that funds transferred by PROFONANPE to SERNANP Headquarters for the support to the four beneficiary NPAs got stuck for a long time at SERNANP HQ, to the extent that the PMU management had to make efforts to talk to those responsible in the institution to release those funds. It led to NPAs complaining about the unnecessary long procedures, causing delay in implementation. In addition, it was mentioned that there were delays in reporting, lags in real-time data, and that PROFONANPE initially charged their management fee on the basis of projections rather than on actual execution of activities. It is important that such delays and administrative issues are avoided in future.

The GEF6-PdP project has been developed as an open approach project. Yet, its M&E system appears to be a mixture of results based management and monitoring of implementation of planned activities for which (internally) separate indicators have been developed and are being used. This indicates that the monitoring of the open approach is apparently not that easy in practice. The day to day M&E of the project is mainly based on the project progress reports. The first PPR in a year covers the first semester (based on an approved annual work plan), while the second PPR covers the second semester and in addition provides information on the achievements of the entire year. For every year an annual operational plan is being prepared and approved. Per year the PMU defines new activities to be developed, which are numbered starting from #1. Activities may be repeated in another year, but not necessarily under the same reference number, which is confusing. Another issue is that, once the targets are adjusted in the course of the year, the reporting takes place against the adjusted targets. As an effect project implementation may seem high (e.g. 90% as measured against the adjusted targets), while in fact it has been medium (e.g. around 50%, measured against the original annual target). There is no cumulative reporting (since the start of the project) on project achievements. This makes it rather difficult to get an impression of the overall achievements towards the targets of the project. It is therefore recommended to include this as a standard element of the PPRs, at least down to the level of the products to be delivered.

### 3.3 Gender Equality and Mainstreaming

In order to develop the gender approach, GEF6-PdP has included a specialist on the subject to its PMU since March 2020 and hired a consultancy to formulate the gender action plan, a process that culminated in December 2020.

The training process has been led by SERNANP with the support of specialists in safeguards. It has been oriented to NPA managers, members of the technical teams of SERNANP and the project, NPA teams and some representatives of the Management Committees. To date, it has not yet been possible to reach the general assemblies of the Management Committees, given the restrictions imposed by the pandemic.

SERNANP is responsible for implementing and ensuring the M&E for the gender action plan with support of GEF6-PdP, which would ensure its implementation and multiplication throughout the entire NPA system.

Institutional political will is identified from SERNANP to incorporate the gender approach into the regulatory framework of the Management Committee that allows promoting the equitable participation of women and other vulnerable groups, a process that has been promoted. To this end, the project has made an important effort to achieve the training of professionals in gender approach, thus, of the 23 trained people who responded to the evaluation survey, 43% received training on this subject, defining its importance; "Gender and safeguards, although they are donor requirements, project the scope of many citizens' rights, so it is important to promote measures for their use and assumption by the stakeholders", "Capacities are strengthened in the NPA". Likewise, there is a dynamic of acceptance and assessment of the subject by professionals who are not related to the social sciences.

On the other hand, interest is identified on the part of the wider PdP (core) team in strengthening the participation of local actors, as well as social and environmental management with a gender perspective, since they have the conditions for this,



however, they consider that there are conceptual barriers from SERNAP and PROFONANPE that limit the dynamics by directing the process mainly with officials and not with local actors.

Synergies are identified between the gender measures implemented by the project and the measures suggested by international cooperation. The process is based on the initial training of NPA officials, who are responsible for implementing the knowledge acquired. Instruments designed in the gender action plan (that became ready by June 2021) are available for implementation with different local stakeholders. These bases are expected to support the subsequent implementation of WWF's policy of ensuring that conservation actions "benefit women and men equally and contribute to gender equality".

### 3.4 Stakeholder Engagement

The intervention analysis of the project to date shows the involvement and support of key stakeholders mainly at the national level, which explains their recognition from the start of the implementation of the PdP Initiative in which the President of the Republic participated in its installation.

The connection with MINAM and donor organizations such as WWF and the Moore Foundation is recognized; however, it is important to establish existing relationships with the Ministry of Economy and Finance (MoEF) as a fundamental basis for achieving the sustainability of the SINANPE.

There are key organizations for the development of the project such as SERNANP and PROFONANPE, as well as a coordination unit that interacts with the GEF6-PdP project, the latter forming, together with the wider PdP Initiative, the "core team".

Overall, the project is linked mainly with state agencies and donors, given current mobility limitations. The participation of NGOs and local stakeholders is evidenced in meetings of Management Committees through virtual tools which are oriented, among others, to the evaluation of participatory management and its effectiveness, as well as to the analysis of strategic stakeholder participation, classified as "collaborative, dissenting and neutral". A pertinent analysis by specialists in the Machiguenga Communal Reserve, identifies in the first semester of 2021 a "regular collaboration" by the strategic stakeholders. Given the importance of involving grassroots communities in decision-making processes, it is important to motivate their involvement to the extent allowed by the pandemic.

### 3.5 Safeguards Review

The project has played a special role in the involvement of safeguards, ensuring the necessary budget for the accompaniment of specialists on the subject. According to the document "Pautas metodológicas para la elaboración del análisis socialambiental y pautas de salvaguardas para el proceso de demarcación física de los límites del ANP realizado en el marco de la iniciativa PdP." (June 2021), the project's participation strategy is oriented to wide spaces where citizens and representatives of organized stakeholders have access to information and their participation is promoted in decision making.

Likewise, it has made a significant effort to train professionals on the subject of safeguards; Of the 23 trained people who responded to the project evaluation survey, 52% participated in issues related to social and environmental policies and safeguards, CPLI, MAQS and interculturality, mentioning their importance for "the compliance and effective management of the ANP, through the mainstreaming of the intercultural approach, gender equality and youth". Other professionals surveyed suggest strengthening training in "participatory management, safeguards, guidance on inclusive language, and gender equality, for its implementation in the actions carried out by the ANP".

On the other hand, it is observed how the PMU has prepared evaluations of safeguards and mitigation measures required by the GEF agency in order to foresee the social and environmental impacts of the project and enable the adjustments required in its implementation.

The project safeguards highlight the value of the conservation initiative as a channel for generating positive and sustainable social, economic and environmental benefits, which is why it is necessary to ensure the participation of community

representatives in the negotiation of agreements to consider their subsistence needs, as well as enable direct communication within the communities and ensure the sustainability of the project.

The inclusion of the subject of safeguards, which began with the acceptance and inclusion of terminology in the everyday language of the SERNANP team, has achieved positive results to date with the design of instruments such as the parallel mechanism for complaints, consultations and suggestions, called MAQS, for its acronym in Spanish. While this was structured with the support of GEF6-PdP, its usefulness applies to the entire SERNANP. The mechanism was initially approved by SERNANP in 2020 and later (March 2021) by Presidential Resolution RP-076-2021; it is considered an indicator of lasting institutional change within SERNANP.

### 3.6 Finance and Co-finance Review

Based on the preliminary gap projection in the Prodoc, the financial target for the total amount of donor contributions required for the single closing agreement and the full implementation of Phase 1 of the PdP was estimated at a range of between US\$ 60 million and US\$ 70 million. To make a head start to close this funding gap, at the start of the GEF6-PdP project, a total of US\$ 41 million was been pledged in support of the PdP initiative, including US\$ 10 million from the Gordon and Betty Moore Foundation, and US\$ 5 million from WWF, which was contingent on the finalization of the design of the initiative and Government commitment to the programme.

Now (July 2021), with the GEF6-PdP project underway since March 2018, the total budget of the project has accumulated to US\$ 63,468,309. The total level of co-financing accumulated to US\$ 22,700,478, of which the following amounts have been contributed through:

- SERNANP: US\$ 8,197,428
- PROFONANPE: US\$ 203,050
- GBMF: US\$ 9,300,000
- WWF: US\$ 5,000,000

The funds are administered and released through PROFONANPE, which monitors the financial execution of the project. A total of US\$ 1,117,262 of the project budget has been released for direct implementation of activities, while another US\$ 5 million has been released to SERNANP to the Transition Fund<sup>6</sup>.

In addition, KfW has pledged EUR 20 million (US\$ 24.4 million) to SERNANP to be used towards NPA financial sustainability for a 5-year period, targeting 12 NPAs in the Northern Amazon Biome, which was established as a budget support through a direct management agreement through the Ministry of Economy and Finance (starting beginning of 2021).

### 3.7 Assessment of Knowledge Products and Activities

**Training courses:** Training courses have been implemented on the following themes: financial sustainability, with the participation of 30 people; adaptive management, with the participation of 33 people; safeguards, with the participation of 70 people, and MAQS, a subject in which 97 people participated.

Among SERNANP professionals, field and project staff, and a consultant (23 people), who responded to the survey related to the training process oriented within the framework of the project, 91% was of the opinion that the training considered the requirements specific to the target group. A positive assessment of the process is observed, with emphasis on the importance of economic assessment for the development of potential products (22%), the need for sustainable business plans (17%) and the application of basic economic concepts to the financial sustainability of the PNAs (17%). 83% of the respondents indicated

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<sup>6</sup> The detailed information on TF spending was not made available to the ET, despite being requested several times, so it is impossible to verify if whether TF funds have been effectively spent on NPA improvements.

having applied the knowledge obtained in practice and 65% indicated having shared the knowledge obtained with other colleagues.

The following recommendations were made regarding the training process: include more time for hands-on learning and practical examples (22%), strengthen training regarding sustainable fundraising alternatives for NPAs (26%), business plan development and other related economic issues (17%); piloting of financial mechanisms, including carbon credits (17%), as well as training in strategic planning, gender and safeguards and environmental education. It is important to develop the training plan in a participatory manner with officials, professionals and beneficiaries of the process, in order to guide the topics based on the needs felt by them. Likewise, to implement the training process with a methodology of "learning by doing", with concrete examples that optimize the creativity of the participants, and that, to the extent that the limitations of the pandemic allow, the training is carried out through field days and through tours to other NPAs in Peru to learn about successful experiences.

One of the causes of the relative emphasis on the request for economic and financial issues seems to be the unfamiliarity or confusion in the management of social issues. When faced with the question of whether the interviewee knows the participation mechanisms applied by the project, 61% of the respondents indicated that they do not know them, while of the 35% who confirm that they are aware of the participation mechanisms, 26% mention among them the gender approach, social safeguards and complaint mechanisms as an important participation strategy, while others refer to communication mechanisms such as monthly meetings or communication services like internet. This shows that strengthening on participatory approaches and concepts is highly desirable.

The project has developed some quality documents such as the Gender and Communications Action Plan, which should be accompanied by a systematized and validated participation strategy, taking advantage of the immense potential for existing participation in NPAs through spaces such as Management Committees, so that as a whole they strengthen the project's sustainability strategy.

**Consultancy Reports and Guidelines:** The project has been developing several knowledge documents, through consultancies and development of guidelines. The latter included guidelines for bio-monitoring, development of plans for monitoring, vigilance and control, a guideline for the integration of safeguards, gender, MAQS and intercultural approaches and a guideline for the development of FMs on environmental compensation. All of these were mentioned by project stakeholders as being of use to their work.

Furthermore, a series of consultancies has been implemented, both directly from the GEF6-PdP project budget as indirectly, through the Transition Fund. A list of consultancies contracted directly by GEF6-PdP is presented in Annex 10. Many of them have so far resulted in *draft reports that have yet to be approved*. Once approved and in case they are of sufficient quality they can be used for knowledge sharing purposes.

Consultancies facilitated through the Transition Fund included a technical study on tourism for PNTM, which mainly focuses on infrastructure needs and possibilities for tourism development from the technical and economical point of view. The study did not make reference to participation approaches for local and/or regional stakeholders or refer to input gained from them in the development process. Although the reason for this may have been the restrictions for field work during the pandemic, the ET considers that the participatory part still will have to be done, once the situation allows.

### 3.8 Evaluation Rating Summary

1. Assessment of Project Outcomes	Rating	Justification
Were project outcomes <b>Relevant</b> when compared to focal area/operational program strategies, WWF strategies, country priorities, and mandates of the Agencies? Was the design appropriate for delivering the expected outcomes?	<b>6: Highly Satisfactory</b>	The outcomes are highly relevant to the GoP and WWF strategies and policies. PdP has been defined to be a national priority by the President. While the design and Prodoc text were generally OK, the ToC was too limited and needed to be revised to improve focus on the barriers to be taken away.
How do you assess the <b>Effectiveness</b> of project outcomes? Were the actual outcomes commensurate with the expected outcomes?	<b>5: Satisfactory</b>	The project estimates to have so far roughly achieved 60% of its projected results, which is satisfactory. Stakeholders interviewed indicate to apply the knowledge obtained through training and developed tools.
How do you assess project <b>Efficiency</b> ? Was the project cost-effective? How does the project cost/time versus output/outcomes equation compare to that of a similar project?	<b>5: Satisfactory</b>	Budget execution rate has been rather high even when compared with the implementation. This is partly due to the execution of the US\$ 5 million grant (compared to the project budget), now managed by PROFONANPE, for which the execution rate is still relatively low (partly due to administrative issues, with significant differences between NPA's).
Overall Rating of Project Outcomes	Rating	Justification
Using above criteria, please provide an <b>overall rating</b> for the achievement of the Project outcomes. This assessment should analyze both the achievement and shortcomings of these results as stated in the project document.	<b>5: Satisfactory</b>	See section 3.2.2 Effectiveness

#### 2. Assessment of Risks to Sustainability of Project Outcomes

Please describe these risks below, taking into account likelihood and magnitude:

##### Financial Risks

There is some risk that due to a continuation of the pandemic, the economic crisis continues or even deepens and leads to further cut-backs in budget contribution by the national government, while in addition direct income generation by SERNANP through tourism will remain insignificant compared to what it could be. This may affect the overall financial situation of the institution and therefore be felt rather strongly at the NPA level. While the resources from the Transition Fund (the part from GEF6-PdP) will be used specifically for the 4 beneficiary NPAs, there is a risk that - due to pressure on the national government's contribution to SERNANP - the 4 beneficiary NPAs will receive no funds other than for salaries, making it more difficult to achieve and/or maintain the required level of effective management.

##### Socio-political Risks

Central government is changing after recent elections. It is not yet clear what the plans of the new government are, whether they will continue to consider the objectives of the PdP Initiative as highly relevant and a national priority or whether they rather consider that natural resources shall be used to the benefit of the local population that shall be allowed to get easy access to the natural resources, including those in NPAs. It is also possible that the new government will put different priorities with respect to FMs to focus on. This might influence the selection of FMs to be developed by the project and cause delays in the necessary field testing and validation of protocols for their replication and therefore the project's factual contribution to closing the financial gap.

##### Institutional Framework and Governance Risks

A matter of concern is the limited knowledge on the project among professionals related to the management of NPAs, which may affect its governance and positioning among other stakeholders. Of the 23 people trained by the project who responded to the evaluation survey, when asked if they are familiar with the objectives, goals and implementation strategies of the GEF6-PdP project, only 30% indicated to know them well, 57% indicated to know them moderately and 9% have no information on the project, only on the PdP initiative. From the group of local stakeholders invited to fill out a survey only one responded.

##### Environmental Risks

The project outcomes so far have been favourable towards environment rather than causing environmental risks. Selected FMs do not include the FM on management of natural resources, which would require explicit attention to ensure the sustainability of interventions.

Overall Rating of Sustainability of Project Outcomes	Rating	Justification
Using above criteria, please provide an <b>overall rating</b> for the risks to sustainability of project outcomes.	<b>5: Satisfactory</b>	The main beneficiary of the project is SERNANP; as the project is embedded within and coordinates extensively with its management, project outcomes have a good chance of being adopted and institutionalized. At field

		level, the project applies a participatory approach to stakeholder participation, adopted from SERNANP, which due to COVID restrictions could not be fully implemented. Involvement of local stakeholders has therefore been very marginal so far, which forms a risk for the sustainability of outcomes.
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3. Assessment of M&E Systems		Remarks
<b>M&amp;E Design</b> – Was the M&E plan at the CEO endorsement practical and sufficient? Did the M&E plan include baseline data? Did it: specify clear targets and appropriate SMART indicators to track environmental, gender, and socioeconomic results; a proper methodological approach; specify practical organization and logistics of M&E activities including schedule and responsibilities for data collection; and budget adequate funds for M&E activities?		The M&E plan turned out to have some shortcomings and had several OVIs that were unpractical and had to be adjusted. It included baseline data, but these were not always correct; e.g. the baseline on METT had to be updated due to differences in interpretation.
<b>M&amp;E implementation</b> – Did the M&E system operate as per the M&E plan? Where necessary, was the M&E plan revised in a timely manner? Was information on specified indicators and relevant GEF focal area indicators gathered in a systematic manner? Were appropriate methodological approaches used to analyze data? Were resources for M&E sufficient? How was the information from the M&E system used during project implementation? Did it facilitate transparency, sharing and adaptive management?		The M&E plan was revised in 2020. Yet there are some issues. Next to the formal M&E open approach indicators, an internal set of indicators is managed to enable the PMU to keep overview. Focus is on reference to the approved annual operational plans rather than on the overall project targets. There is some serious micro-management in reporting details (e.g. “achieved for 42.78%”) and an overkill of information through many different versions of reports, many of which are attached to PPRs, and probably therefore are not read/monitored or only to some extent by the donor. So yes, there is transparency and information is shared, but due to the massive archives it is not easy to keep oversight. The M&E specialist does the monitoring; PPRs are prepared by the PMU manager with inputs from all staff.
Overall Rating of M&E	Rating	Justification
Using above information as guidance, please provide an overall rating for M&E during project design.	<b>4: Marginally Satisfactory</b>	The M&E plan had to be adjusted and the description of several OVIs was of limited quality
Using above information, please provide an overall rating for M&E during project implementation.	<b>4: Marginally Satisfactory</b>	Registration and transparency but lack of easily accessible oversight.

4. Implementation and Execution Rating	Rating	Justification
Please rate the WWF GEF Agency on the project implementation.	<b>4: Marginally Satisfactory</b>	WWF-GEF has been well involved in the approval of key project elements and outputs (through participation in the Management Board). Yet they seem not to have noticed that - although the Prodoc refers a participation approach for stakeholders – the project did not explicitly develop it and instead adopted SERNANP’s approach. The same applies for the limited inter-sectoral and inter-agency interaction, which were identified as barrier in the Prodoc, yet not given much attention by the project.
Please rate the Executing Agency on project execution.	<b>5: Satisfactory</b>	SERNANP indicates to embrace the project that it considers a part of it. It has been supportive in many ways and has been open to learn from it, as shown in case of the MASQ system, the wider support for PdP and its recognition as national priority. Yet it is important that it undertakes to update its Strategic Plan, including the integration of PdP, showing that it is still at the forefront of this important development.
Overall quality of implementation and execution	<b>5: Satisfactory</b>	Overall quality of implementation and execution has been quite satisfactory given the limitations due to COVID-19 and related problems caused by it.

## 4. Lessons Learned

1. In order to have a better understanding of the intervention logic, it helps that the identified barriers, strategies and intermediate results are included in the ToC from the start. However, working with an open approach and a Theory of Change is more complicated as compared to working with a logical framework. This is shown by the facts that some still do not fully understand it, others seem to consider it as an easy way to reduce annual targets in the course of the year and the M&E system shows a mixture of elements and approaches. A choice for and introduction of an open approach should be combined with a full training package including all relevant staff of the executing/implementing agencies. The lack of a clear ex-ante Performance Assessment Framework with agreed upon and specified of targets and indicators to be achieved per year, spanning the full duration of the project is detrimental to measuring actual progress and achievements.
2. Regarding participatory processes, SERNANP presents important participation processes such as the preparation of the NPA Management Plan, that is supposed to be prepared through a broad informed and participatory process. GEF6-PdP is also committed to the participation of communities and local and regional public and private stakeholders in the responsible management of NPAs. The project as such did not explicitly develop a participation strategy (suggested in the Prodoc), but rather adopted the SERNANP approach, which means that the project has no strategy on paper and that staff and stakeholders are not explicitly informed on it, leading to confusion and unawareness on this topic among them. In this sense, it would be important to explicitly develop a participatory methodology, which can start from the systematization of the experience itself, complemented with lessons learned, that serve as a guiding axis for all those who have a role within the Project, which would allow the strengthening of the communication channels, coordination and participation of local and regional stakeholders and their sense of ownership as an important basis for the sustainability of the project results.
3. As the GEF6-PdP project is, like the wider PdP Initiative, part and parcel of SERNANP and its institutional strategic development, it is considered that the level of institutional ownership is very high. This is reflected among others by the facts that a) the PdP Initiative was declared to be a national priority; b) the PdP Initiative was formally started by the President of the Republic and c) the PdP is said to be included as part of the Draft Strategic Plan of SERNANP (yet to be effectively developed and approved). Through its institutional embedding within SERNANP this is thus not another project of which the outcomes shall be absorbed after its termination, but instead it is feeding the strategic development of the institution continuously from inside, improving by default the sustainability of its impact.
4. The successful coordination and teamwork process carried out between GEF6-PdP and SERNANP on a critical issue such as the design and implementation of a system of social and environmental safeguards highlights the importance of coordination and optimization of efforts with public and private resources that could well serve as a pilot example for other countries that are part of the Amazon Basin.
5. The role played by the NPA Management Committees as a bridge between the interests of the national government, international development partners and the requirements of the local and regional NPA stakeholders is fundamental for the protection of ecosystem services and biodiversity, which demonstrates the empowerment of stakeholders when working for the common benefit, which is an important basis to achieve the sustainability of the project results and, foremost, the NPA long-term sustainable management and financing. Overcoming limitations due to the pandemic shall allow adding a fundamental value to the process of development and monitoring of the implementation of the NPA Management Plans, which is the holding of general assemblies of the Management Committees with the presence and participation of local communities.
6. The presence of multiple stakeholders represented in organized communities, NGOs, women's groups, academia, the public sector and the private sector, with diverse interests oriented, among others, towards monitoring, control, use, conservation and research in the NPAs, ensures compliance with safeguard strategies on issues related to complaints and claims, and allows for the harmonization of interests based on ongoing coordination among stakeholders, as a fundamental part of the social and environmental impacts foreseen by the GEF6-PdP project.



7. The evaluation of an open approach project that is part of a wider initiative such as GEF6-PdP shall not be underestimated. While the ToR clearly states that the scope of the evaluation only concerns “the child project”, for better contextual understanding it is relevant to review in-depth information beyond “the project”. By the very end of the evaluation process the ET received several suggestions for consultation of additional sources (both documents and people) that could not be accommodated any more given the agreed time frame. More time and additional budget would have been needed to accommodate this.
8. It has become clear that systematic capturing of lessons learned from projects that have been implemented in the past is not organised. With a plethora of projects implemented in the past 15 years that cover similar interventions, activities, and objectives as the GEF6-PdP project, sometimes even in the same geographic area, knowledge management and documentation of results is a key factor in avoiding overlap and duplication of efforts. To this end, a thorough mapping of key projects directed at improving protected areas management in Peru, and particularly in relation to resource mobilisation for conservation, sustainable financing, financial mechanisms, should be initialised to document their results and implemented interventions (either successfully implemented, or documenting failure). This “knowledge management system” should be centrally organised by MINAM, with support of SERNANP and PROFONANPE.

## 5. Conclusions

1. GEF6-PdP counts with a strong project team that resembles relevant institutional, sector and subject matter knowledge and experience. The PMU applies a rigid and systematic way of developing tools and strategies, reviewing ToC and approaches, M&E. The PMU reports timely and avails of required capacities.
2. While GEF6-PdP had a quick start, from early 2020 on COVID-19 affected implementation causing delay, changes in planning and cut-backs in the public budget. Yet, GEF6-PdP implementation has been overall satisfactory.
3. The GEF6-PdP project has been developed as an open approach project. Yet, its M&E system seems to be a mixture of results-based management and monitoring of implementation of planned activities for which (internally) separate indicators have been developed and are being used. This indicates that the monitoring of the open approach is apparently not that easy in practice. The day-to-day M&E of the project is mainly based on the project progress reports and related to the approved annual operation plans. There is no cumulative reporting (since the start of the project) on project achievements. This makes it rather difficult to get an impression of the overall achievements towards the targets of the project. It is therefore recommended to include this as a standard element of the PPRs, at least down to the level of the products to be delivered.
4. GEF6-PdP made several adjustments to the ToC at the start of the project, including strategies and intermediate products, as well as reformulating indicators and some targets. Changes made are in general considered to be relevant, yet the importance of a clear participation strategy was missed out on, so it was not included. The ET considers that the PMU did a good and systematic job in periodically reviewing the ToC and the relevance of its elements. Adjustments made are defensible in the developing project context and understandable given the fact that the PMU tries to better understand that context and to relocate the elements of the intervention logic in the best possible way. For the overall intervention logic this led to more overview, while at component level this led to clearer result chains.
5. GEF6-PdP made significant contributions together with partners by arranging for the signing of the single close agreement (MoU) and effectively initiating the PdP Initiative (Component 1), providing a long-term basis to attach other projects and donors, serving the same objective.
6. The COVID-19 epidemic has particularly affected field studies/consultancies, both through infection of consultants, impossibility to enter field areas and/or to travel internationally, which led to delays and in some cases cancellation of signed contracts (Component 2) and participatory approach/field implementation, e.g. on NPA demarcation and NPA Management Plan review/validation processes, which led a shift from face to face contacts to virtual contacts, postponement and/or delay of planned activities and serious restrictions to involving local stakeholders (Component 3).
7. GEF6-PdP counts with a functioning M&E system, supporting timely reporting and management decisions (Component 4). Yet the system is complicated and combines different approaches, making it less efficient and not easily replicable. It shall therefore be reviewed once more.
8. GEF6-PdP has strengthened the team's and institutional capacities through the training process. The majority of trained staff appreciate the trainings received and effectively apply what was learned in their work, in multiple ways.
9. Whereas in general the design of the intervention logic of GEF6-PdP was coherent with the Government policy framework for protected areas management, the importance of external factors was significantly underestimated in the risk assessment. Understandably nobody foresaw the pandemic, yet it has significantly affected project implementation. Political instability is an external factor that should have been better identified, as it is not new to the region.
10. Inter-institutional coordination mechanisms suggested in the Prodoc, have not received sufficient attention, resulting in limited to absent links with some of the foreseen institutional partners (e.g. the Ministry of Finance and Economy). This is caused by the fact that within the hierarchy of SERNANP such contacts are left for the highest institutional levels, yet are not common at project level. Fact is that such contacts have not been established nor maintained by the project, which may affect the sustainability and replicability of the intervention results, limiting impact.
11. GEF6-PdP is well positioned within SERNANP. Through direct coordination of all its activities and through training and TA provided to SERNANP staff (at HQ and field level) GEF6-PdP can work effectively, while the institution is strengthened and chances to have impact in a sustainable way are increased. Having said that, it is recognized that there is not yet an updated Strategic Plan (*Plan Director*) of SERNANP, through which the PdP Initiative is clearly anchored in its strategies and policies. Support to the facilitation of this Strategic Plan is therefore becoming a priority for the project.

12. The project forms part of the wider PdP Initiative. Yet, it is additional in the sense that it helped to prepare the enabling conditions for the start of the PdP Initiative. Also it plays the role of initiator and innovator for elements of the PdP Initiative and even broader activities and strategies of SERNANP. The PdP initiative set-up implies that other donor projects can hook on to it, integrating their efforts in a structured way, serving the same goal.
13. Thus far, the GEF6-PdP project has not been fully articulated with other economic and productive sectors and their respective line Ministries (e.g. Forestry, Agriculture, Tourism, Water Management, private sector, etc.), or sectoral strategies for that matter. It is therefore not clear to what extent there is coherence with developments in other sectors and how the project links with overall national economic development planning. It has however become clear that such articulation is not considered a project matter, but rather an issue that is developed or not) at the highest institutional level, considering the most strategic moments to do so. The alignment of activities and interventions should not depend on a political strategy for each intervention after it is technically designed, institutional stakeholders with a cross-sectoral interest should be included and consulted from the start of conceptualizing interventions. Inter-sectoral coordination and articulation with proposed interventions will be critical for the success of proposed financial mechanisms.
14. The FMs selected by GEF6-PdP are relevant, and will contribute to diversifying the SERNANP portfolio, however most are considered rather traditional (i.e. income generation from tourism among others). Some criticism received from interviewed staff refer to “low-hanging fruit” options that may not significantly contribute to generating large revenue streams. Furthermore, due to changing external circumstances (COVID-19 pandemic, political fluidity) there is a risk that some of these will not be fully scalable or contribute to building financial resilience to support NPA management. It is not (yet) clear what the forecasted contribution of each of the proposed FMs will be towards closing the funding gap.
15. Several FMs, such as Payment for Ecosystem Services (PES), Water Regulation, Carbon Offsets / Carbon Credit Selling have also been developed in previous projects (*see the long list of projects administered through Profonanpe and implemented with SERNANP*). It is therefore highly questionable whether these experiences have been taken forward in the current GEF6-PdP project, or whether the project is spending resources on re-inventing products that are already in existence. To this end, a critical reflection should be undertaken of already implemented projects to accumulate their lessons learned and knowledge generated on key interventions, and further centralised in knowledge management systems of MINAM, SERNANP, and PROFONANPE.
16. Important efforts are being made by GEF6-PdP in the development of internet platforms<sup>7</sup>, aimed at making the information of the NAPs visible or facilitating the reporting on disaster risks, among others, parallel to the expansion of Internet coverage in NPAs parallel to the expansion of Internet coverage in NPAs, which is necessary for the better connection in view of issues such as deforestation alerts and allowing virtual participation to meetings.
17. A flaw in stakeholder participation may result in limited ownership of local stakeholders, which may risk sustainability of the results. Therefore, once the limitations due to the pandemic are overcome, it will be necessary to implement a participatory strategy regarding the design and validation process of the Management Plans.
18. GEF6-PdP has applied adaptive management by reviewing and adjusting its ToC and some of its related elements. Yet, the reaction to external factors like the COVID-19 pandemic has been limited to mitigation rather than adaptation, which may require stronger adjustments (e.g. change of selected FMs).
19. The inclusion of the gender approach by GEF6-PdP has been possible based on advocacy strategies at the national level, however it is at an early stage of implementation.
20. The traditional participation strategy in Peru takes into account International Labour Organization (ILO) Convention 169, within the framework of which consultation processes with indigenous communities should be promoted. In the case of GEF6-PdP, there is only one situation for which this is relevant: Communal Reserve Machiguenga, which is co-managed between SERNANP and co-management organization ECA-MAENI, which represents 14 indigenous communities. The contract operator ECA-MAENI is in charge of carrying out the consultation processes, which are sometimes limited to the provision of information and enhancement of agreements on how to mitigate or compensate environmental impacts. The management committee (MC) of the NPA, as a dynamizing agent of the process, has an important role to play. The expected impact on the benefits for the communities and their environment will largely depend on the degree of ownership of the communities with respect to the project, which has been affected by the pandemic given the limitations for meetings and assemblies with local communities.

<sup>7</sup> For example: <https://estadoconservacion.sernanp.gob.pe/geoserver/principal.php>, and <http://sis.sernanp.gob.pe/diana>, or <http://geo.sernanp.gob.pe/visorsernanp>, or <https://banda.shinyapps.io/forestviewer/>

## 6. Recommendations

Following from this mid-term evaluation of the GEF6-PdP Project “Securing the Future of Peru's Natural Protected Areas”, a number of recommendations are proposed that could improve the further implementation of the project. In the view of the Evaluation Team, a lot of work remains to be done, particularly at the level of (inter-institutional) coordination between key Government agencies, development partners, and local stakeholders to ensure the sustainability and replicability of proposed interventions. The recommendations can serve as a basis for further review and detailing of activities.

### 6.1 For the Project

1. Critically reflect on the results, outputs, outcomes, and products developed in previous projects implemented in Peru during the last 15 years (see for example section 3.2.2 on Coherence), as there are many relevant projects that touch upon the very essence of the PdP, as well as include several FMs that have been tested and tried, including their methodologies and engagement with local communities, in order to avoid duplication of efforts, to avoid implementation of “mistakes”, and replicate those actions that have proved successfully in the past.
2. Increase the capacity of the project to support increasing national awareness on the value of natural capital, and to deal with the rather complex structure and context of developing financing mechanisms, sustainable financing processes, and the operationalisation thereof (which is the very core of the project), it is recommended to include in the PMU additional senior economic expertise on: sustainable financing, ecosystem valuation, ecosystem services assessment, natural capital accounting.
3. Upscale inter-institutional and inter-sectoral communication and public awareness activities on sustainable financing, financial mechanisms, value of natural capital, based on a clear communication plan.
4. Where possible, participatory management processes and activities need to be re-activated especially considering involvement of local communities, to increase management resilience of PAs. Although it has been possible to hold Management Committees virtually, local communities cannot easily participate due to connection limitations. It would be important to improve internet access and increase the number of face-to-face meetings once the limitations of the pandemic are overcome.
5. Although the gender action plan is correct and has been developed at the national level, it is necessary to further cascade and operationalise its implementation with local actors, communities, after overcoming the limitations due to the Covid-19 pandemic.
6. The focus of financial mechanisms need to be on FMs that are innovative and outside traditional revenue streams (e.g. need to decrease reliance on tourism as primary source of revenue) to diversify revenue streams and increase financial resilience. It is important to effectively operationalise the FMs so that income is effectively generated, reducing the financial gap, and relevant lessons can be learned in view of upscaling intentions and sharing and promotion of the concepts with decision makers. It is thus essential that not only protocols for FMs are developed, but that these are sufficiently tested in practice and validated with relevant stakeholders and independent experts, before they are promoted for multiplication.
7. Establish the “business case” for investments in conservation and nature protection, and to showcase the value of natural capital (human health, life and culture, economic sustainability), which is to be achieved by setting up relevant environmental and ecosystems accounts framework (e.g. forestry, water, tourism, species, etc.) and conduct ecosystems services valuation studies on PAs and related areas of intervention, to showcase their economic importance for local communities, and for general national welfare. Statistics generated through environmental-economic accounting (see for example System of Environmental-Economic Accounting SEEA - <https://seea.un.org>) and results of valuation studies directly feed into Government policy planning and facts-based decision-making processes, so that environmental management can be mainstreamed cross-sectoral, and which can serve as a basis for inter-institutional dialogue and setting national development priorities. This will also be a vital element towards building national communication and public awareness campaigns, and creating more awareness on environmental importance of conservation. Such studies need to be articulated to the Financial Mechanisms and interventions under development within the project (e.g. water regulation). Although on the basis of insights provided by such “accounting” studies, this may provide new leads to support the development of additional FMs.

8. Strengthen field implementation strategies on safeguards issues as soon as the limitations imposed by the pandemic are overcome. In a hypothetical scenario in which the conditions of the pandemic are not overcome, which is unlikely according to the progress of overcoming it in the world, it would be necessary to review the strategies of the ToC since it would affect the project implementation and its budget.
9. Improve the appropriation qualification of strategic stakeholders in the Management Committees by motivating their involvement in key planning activities of the ANP that represent a greater commitment and visibility on their part. An example of this are the Pacts for water that are implemented in countries such as Colombia, Ecuador and the Dominican Republic, which could also be oriented to ANP, forests, biodiversity, legal timber, among others.
10. Strengthen the implementation of the existing communication plan and the visibility of successful cases, as a decisive factor in increasing the commitment of the stakeholders. Knowledge of the results is one of the indicators that is not well known by the professionals trained by the project, being evident that of the 23 people who responded to the evaluation survey, 35% do not know them or do not respond and some that responded pose only consulting results despite the broad tangible benefits of the project. Likewise, the heads of ANP who responded to another type of survey raised among their recommendations to improve the project: "Improve the fluid communication channel between the technical team in charge of implementation and the beneficiaries, disseminate the achievements of the GEF6 Project- PdP, share the lessons learned from the GEF6-PdP Project for the effective management of the ANP, the communication of progress must be friendly and understandable to better involve partners and stakeholders.
11. Consider to combine the review of the ToC of GEF6-PdP with that of the wider PdP Initiative as both are practically serving the same objective (with the difference that GEF6-PdP focusses on the development of some specific FMs and the support to the 4 pilot NPAs). This will strengthen synergies and make the process more efficient. The same could apply for the review of the M&E plan of the GEF-6 PdP and the UC-PdP, making M&E more consistent and its results better comparable.
12. Prioritize the support to the preparation process of SERNANP's Strategic Plan that anchors PdP to its strategies and policies, among others by advocacy talks with SERNANP management on its relevance and urgency and through the facilitation of intersectoral and inter-agency consultation tables, targeting that by the end of 2022 a consolidated draft plan is ready for approval (this process should not be affected too much by COVID-19 restrictions, so good use could be made of the pandemic period by supporting the preparation of this highly needed plan).
13. Analyse the cost-effectiveness of the support approach for each of the 4 beneficiary NPAs considering the achievement of the reduction of the financial gap as well as the replicability at the level of other NPAs.
14. Include in the Project Progress Reports not only an oversight of the implementation and execution percentages against the current Annual Operational Plan and related budget, but add an oversight reflecting the cumulative achievements (on implementation and execution) since the start of the project towards the planned target by project end, specifying the percentages of the achieved targets for each of the products, results, components as well as for the overall project goal.

## 6.2 For PdP

1. There is an urgent need to establish and strengthen coordination that transcends beyond the PA network actors, i.e. establishment of inter-institutional coordination and dialogue platforms that include institutional actors such as Ministry of Economy Finance, Ministry of Environment, Ministry of Foreign Trade and Tourism, Ministry of Mining and Energy, Ministry of Agriculture and its agencies the National Water Authority (ANA) and the Forest Service (FORNANP). This has to be organised formally under an umbrella mechanism or managed for example through the UCPDP.
2. Join forces with the GEF6-PdP and relevant SERNANP staff to enroll the development of gender and safeguard plans to all the Amazonian NPAs and in the end to all NPAs under SERNANP responsibility.
3. Try to join forces with GEF6-PdP with respect to annual review of ToC and M&E mechanisms, thereby jointly working towards one validated system.

## 6.3 For PROFONANPE

1. Referring to the release of the US\$ 5 million from the GEF6-PdP to the Transition Fund, it is important to continue strengthening the working relations with SERNANP, particularly at administrative level on the monitoring of how the funds from the Transition Fund have been implemented. This will allow greater optimization in the execution of the available

funds and more specifically the resources assigned to the PdP Initiative and to the 4 pilot NPAs., as well as contribute to further improving administrative processes between SERNANP and PROFONANPE.

2. Improve the transfers arrangements on the execution of the TF for the pilot NPAs in such a way that no unnecessary delays can occur at SERNANP headquarters, thereby frustrates both PMU and NPA field staff as planned activities.

#### 6.4 For SERNANP

1. Coordinate between SERNANP, GEF6-PdP and the wider PdP Initiative (and where relevant additional PdP partners) to agree on key strategies and approaches, including the participatory approach, gender approach, safeguards approach among others.
2. Prepare and adopt at Government level, a Sustainable Financing Policy, incl. Protected Areas System Sustainable Financing Strategy and roadmap to enable articulation of Financial Mechanisms across sectors and increase scalability of FMs. The development of the Sustainable Financing Policy as well as the Protected Areas System Sustainable Financing Strategy should be prioritised together with the revision and updating of the Protected Areas Master Plan.
3. Establish a solid knowledge management system, considering the extensive number of projects and programmes implemented in the past two decades, each of which having direct or indirect ties to the present PdP and the activities under implementation by the GEF6-PdP. The knowledge management system should be able to capture key products developed and implemented under each project, and provide periodic lessons learned briefs on ongoing projects (recording what worked and what did not work), to avoid duplication of efforts (by SERNANP, but also by all donors, and agencies that are funding or implementing activities in relation to environmental conservation and protected areas management), and increase the potential to replicate success stories. This will also be a vital element towards building national communication and awareness campaigns.
4. Urgently establish and strengthen coordination that transcends beyond the PA network actors, i.e. establishment of inter-institutional coordination and dialogue platforms that include institutional actors such as Ministry of Economy Finance, Ministry of Environment, Ministry of Foreign Trade and Tourism, Ministry of Mining and Energy, Ministry of Agriculture and its agencies the National Water Authority (ANA) and the Forest Service (SERFOR).
5. Promote the recognition of the importance of Peruvian Amazon Protected Areas, which transcends local and national interests. As a watershed area it contributes significantly to water flow and ecosystem maintenance in the wider Amazon, and therefore has an international cross-border significance and value, which has to be recognised nationally, but also by neighbouring countries (e.g. Brazil). It is recommended to initialise working relationships with Amazonian neighbour countries, specifically the Brazilian Ministry of Environment and the Department for Protected Areas, to exchange information and open dialogue on upstream and downstream management and conservation of Amazon ecosystems.
6. Ensure strong articulation between all PdP “projects” under the umbrella of a designated SERNANP coordination unit, direct the convergence of targets between them, as well as unify strategies, approaches and procedures, so that the projects become less “independent units”, but rather necessary parts of the bigger whole that are managed in a comparable and unified way and clearly contribute to the same targets more efficiently.
7. Install administrative mechanisms that ensure immediate release of funds transferred by the TF to the benefit of selected NPAs, avoiding unnecessary and undesirable delays in implementation due to bureaucratic procedures and/or handling.

#### 6.5 For WWF

1. Given the on-going pandemic and the restrictions it causes, and the favorable exchange rates that the project is confronted with, it is not unthinkable that by the end of the planned project date, the targets have not yet been fully met while part of the budget remains. If that is the case, it is suggested to provide the project with a budget neutral extension of 6 month or one year (length depending on the situation by that time), so that there is more chance for the project to finalize its products, to provide the necessary TA and training and to validate and share its experiences.
2. Especially in case of application of an open standards approach require projects to provide in each PPR an overview of the cumulative achievement percentages since project inception against the specified final targets to be achieved.
3. Check at an earlier stage (e.g. on a yearly basis) whether main elements and strategies as suggested in the Prodoc are developed and/or applied in practice.



4. On the (external) evaluation process, it is recommended that the following is ensured: a) the list of documents to be reviewed by the evaluation has been established, organised and critically assessed before sharing with the ET; b) the list of key stakeholders has been prepared in advance, critically assessed and foreseen of up-to date contact data before sharing with the ET; c) administrative procedures and US taxation issues are clarified before contract award, so that these can be simply informed to foreign consultants; d) the ToR is clear on the language to be used in an evaluation process with respect to formal reports and presentations; and e) ensure that feed-back is provided timely in a coordinated manner, and consolidated from all the different partners in one document to the evaluation team.

## Annex 1: Terms of Reference

### TERMS OF REFERENCE FOR WWF-GEF PERU PROJECT

#### INTRODUCTION AND PROJECT OVERVIEW

World Wildlife Fund, Inc. (WWF) policies and procedures for all GEF financed full-sized projects require a midterm evaluation (MTE). The following terms of reference (TOR) sets out the expectations for the MTE for the project: *Securing the Future of Peru's Natural Protected Areas*, hereafter referred to as the "Project." The technical consultant(s) selected to conduct this evaluation will hereafter be referred to as "evaluator."

The Project Objective is to promote long-term financial sustainability for the effective management of the National System of Protected Natural Areas of Peru for the protection of globally important biodiversity and ecosystem services in the Peruvian Amazon. This is a child project for the Amazon Sustainable Landscapes Program and contributes directly to the program by supporting an innovative financial model and developing key institutional and technical capacities that will ensure that Peru's Amazon protected areas have adequate and long-term sustainable financing to consolidate a standard level of management across the PA system and significantly improve their management effectiveness.

The Project was organized into the following components and outcomes:

#### **COMPONENT 1: Development of a multi-partner, public-private initiative for long-term financial sustainability of the NPAs in the Peruvian Amazon:**

- Government and donor commitment secured for a long-term financial sustainability initiative for effective management of Peru's Amazon NPAs.
- PdP Initiative for financial sustainability of NPAs in the Amazon operationalized.
- PdP integrated in SERNANP and across other sectors for the management and financing of the Amazon NPAs.

#### **COMPONENT 2: Diversification of sources to increase NPA financing:**

- 2.1 NPA values and benefits showcased to increase public and private support for PdP and new financing mechanisms.
- 2.2 Increased options for the sustainable financing of NPAs.

#### **COMPONENT 3: Implementation of PdP Action Plan Measures to consolidate and improve the effective management of Amazon NPAs:**

- 3.1 Improvements in effective management levels contribute to the conservation of biodiversity, sustainable forest and natural resources management, and maintenance of ecosystem services in 2 to 4 Amazon NPAs.

#### **COMPONENT 4: Project Coordination and M&E:**

- 4.1 Project M&E data and lessons learned are transparent, participatory and shared with relevant stakeholders to contribute to coordination, knowledge management and achieving program results.
- 4.2 Project monitoring and evaluation data and lessons learned are transparent, participatory and shared with relevant stakeholders to contribute to coordination, knowledge management and achieving program results.

#### SCOPE AND OBJECTIVE FOR THE EVALUATION

WWF is seeking an independent consultant to undertake a Midterm Evaluation (MTE) of the Project. The scope of the MTE will cover only the GEF financed components of the child project and review the project co-financing delivered.

The objective of this evaluation is to examine the extent, magnitude, sustainability and potential for project impacts to date; identify any project design problems; assess progress towards project outcomes and outputs; and draw lessons learned that can improve the project effectiveness, efficiency and sustainability of project benefits. Based on this assessment, it is expected that the evaluator will provide feasible recommendations that could be applied for the remaining duration of the project.

## EVALUATION APPROACH AND METHOD

The evaluation will adhere to the relevant guidance, rules and procedures established by WWF<sup>8</sup> and align with guidance from the GEF Terminal Evaluation<sup>9</sup> and Ethical Guidelines.<sup>10</sup> The evaluation must provide evidence-based information that is independent, participatory, transparent, and ethical. The evaluator must be unbiased and free of any conflicts of interest with the project and will state so in their proposal. The evaluator is expected to reflect all stakeholder views and follow a participatory and consultative approach. There should be close engagement with government counterparts, the GEF operational focal points in each country, the Executing Agency project management unit (PMU), partners and key stakeholders. Contact information will be provided.

The Evaluation process will include the following, with deliverables marked by “\*”:

- A. Desk review consisting of, but not limited to:
  - Project Document and CEO Endorsement Letter;
  - Relevant safeguards documents;
  - Annual Work Plans (AWP) and Budgets;
  - Project Progress Reports (PPR) including Results Framework and AWP Tracking;
  - GEF Agency reports, including Project Implementation Reports (PIRs), Back to the Office Reports (BTOR), Supervision Mission Reports (PrISM);
  - Relevant financial documents, including financial progress reports; co-financing monitoring tables and co-financing letters from government as necessary;
  - Meeting minutes (Project Steering Committee (PSC)) and relevant virtual meetings with the WWF- GEF Agency and support team; and
  - Other relevant documents provided by the Executing Agency and partners.
- A. Inception report that details evaluation methodology\*;
- B. Field visits, as necessary and feasible given COVID;
- C. Interviews, focus groups and consultations at local levels, national and international levels, including executing partners, GEF Operational Focal Points (OFP), Project Steering Committee (PSC) members and beneficiaries, primarily conducted virtually;
- D. Post-field visit debrief and presentation\* of initial findings to project management team and other partners;
- E. Draft report\* not to exceed 30 pages (excluding annexes) shared with GEF AMU and PMU for review and feedback. A sample outline will be provided; and
- F. Final MTE report\* that has incorporated feedback and comments.

The WWF GEF projects emphasize an adaptive management approach, which relies on testing the assumptions of the project theory of change and making necessary changes to improve the project. The evaluator is expected to question project assumptions and provide recommendations to improve the theory of change by framing their analysis on the seven core criteria of relevance, coherence, effectiveness, efficiency, results/impact (where feasible), sustainability and adaptive capacity. Definitions of each of these criteria are provided with ratings classifications, a sample summary table and report outline.

<sup>8</sup> For additional information on evaluation methods adopted by WWF, see the [WWF Evaluation Guidelines](#), published on our [WWF Program Standards](#) public website.

<sup>9</sup> For additional information on the GEF Terminal Evaluation Guidelines, see the [GEF Terminal Evaluation Guidelines](#), published on the [GEF Evaluation Office](#) website.

<sup>10</sup> Please see the GEF [Ethical Guidelines](#) as published on GEF website.

## EXPECTED CONTENT OF EVALUATION REPORT

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The Midterm Evaluation report will include:

1. Information on the evaluation process, including when the evaluation took place, sites visited, participants, key questions, summary of methodology and rating rubric, and feedback log showing how comments on draft were incorporated;
2. Assessment of risks to the sustainability of project outcomes;
3. Assessment of Monitoring and Evaluation systems;
4. Assessment of knowledge activities and products;
5. Assessment of replication and catalytic effects of the project;
6. Assessment of relevance and coherence of the project and with WWF and GEF priorities;
7. Assessment of stakeholder engagement and gender-responsive measures, including the application of the gender action plan;
8. Assessment of any environmental and social impacts, suggestion for risk category classification, if applicable, information on mitigation measures taken; and any related assessments relating to environmental and social safeguards.
9. Financial assessment of the project, including efficiency;
10. Assessment of implementation and execution by WWF GEF Agency, PMU and project partners;
11. Summary of key findings by core criteria; and ratings by GEF rating categories, including justification and/or indicators for their determination;
12. Lessons learned regarding: project design (theory of change), objectives, and technical approach; use of adaptive management; administration and governance arrangements; relevance; implementation of the work plan; achievement of impact; environmental and social safeguards, etc.;
13. Conclusions, and recommendations that include: practical and short-term corrective actions per evaluation criteria to address issues and findings; recommendations on best practices towards achieving project outcomes and knowledge sharing / replication for other projects of similar scope.

## EVALUATION TEAM QUALIFICATIONS

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A team of consultants is welcome to expand the expertise, and regional or language abilities.

### Required Qualifications and Experience

- Minimum 5 years of relevant professional experience;
- Excellent written and oral communication in English.

### Preferred Qualifications and Experience

- Recent experience conducting evaluations, particularly for GEF financed projects is an advantage;
- Technical knowledge in the targeted GEF Operational Focal Area(s), protected area management effectiveness and/or sustainable financing;
- Knowledge of GEF Monitoring and Evaluation Policy is an asset;
- Familiarity with WWF Project and Program Management Standards or Open Standards for the Practice of Conservation ([www.cmp-openstandards.org](http://www.cmp-openstandards.org)) is preferred;
- Experience with social assessments, participatory project design and management, and community-based resource management preferred;
- Knowledge and experience in implementing or reviewing application of social and environmental safeguards policies in GEF (or similar) projects preferred;
- Professional fluency in Spanish preferred;
- Regional experience an asset and residency to enable site visits preferred.

## PAYMENT MODALITIES AND SPECIFICATIONS

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Payment, expense reimbursement, and other contractual terms and conditions are outlined in the consultant agreement made between WWF and the evaluator(s). Payments are according to deliverables submitted. Twenty-five percent of payment will

be delivered with completion and approval of the Inception Report. Fifty percent of payment will be paid with submission and approval of the Draft Report and debrief presentation. The final twenty-five percent will be delivered with the submission and approval of the Final Report. The budget shall not exceed \$30,000 including fees and reimbursable expenses.

## APPLICATION PROCESS

Applicants are requested to apply by e-mailing their full application to [amelia.kissick@wwfus.org](mailto:amelia.kissick@wwfus.org) by June 25. Consultants are invited to submit a technical proposal and financial proposal with their *curriculum vitae*. The financial proposal should include both fee and expenses. The selection of candidates and contractual agreements will be in compliance with WWF procurement policies<sup>11</sup> and subject to GEF requirements. WWF applies a fair and transparent selection process that will take into account the competencies/skills of the applicants as well as their financial proposals. Women and members of social minorities are encouraged to apply.

## ANNEX: EVALUATION CRITERIA

### Criteria for Overall Evaluation of Project

The evaluation should assess the project against the following GEF and WWF criteria:

1. **Relevance** – the extent to which the project design, outcomes, indicators and targets remain valid and consistent with local and national development priorities and organizational policies, including the context of the changing circumstances of the country (e.g. political context);
2. **Coherence** - the compatibility of a project intervention with other interventions (particularly policies) in a country, sector or institution. This can include internal coherence and external coherence. Internal coherence addresses the synergies and interlinkages between the project interventions and those carried about by the same sector or institution in country. External coherence measures consistency and compatibility of the interventions among different sectors, but in the same context.
3. **Effectiveness** - the extent to which the outputs, outcomes and project objective have been or are likely to be achieved, taking into account their relative importance. Identify the major factors which have facilitated or impeded this achievement. Review the management structure of the project and determine whether the organizational structure of the project, the resources, the distribution of responsibilities and coordination mechanisms are appropriate for achieving progress towards project outcomes;
4. **Efficiency** - the extent to which results have been delivered with the least costly resources possible. This includes efficiency of: funding availability, project management and human resources, coordination and information flow among the project partners;
5. **Results/Impact** – the extent of intended or unforeseen effects that project interventions or strategies will have on the project objective, conservation targets and GEF global environmental benefits, whether positive or negative. Assess the project's logic or theory of change and the potential to scale up or replicate the project outcomes and impact.
6. **Sustainability** - the likely ability of an intervention to continue to deliver benefits, progress and impact after external support has ended. Determine the degree of support and buy-in given to the project at the national and local level;
7. **Adaptive capacity** –the extent to which the use of M&E, lessons learned and adaptive management are used to meet indicator targets and mitigate project issues (such as design flaws or any adverse impacts of the project).

<sup>11</sup> WWF [Procurement Policy](#)

## Annex 2: Documents Consulted

1. ASL (2015). Amazon SLP Framework Document.
2. ASL (2015). Amazon SLP Peru Concept Note.
3. ASL (2016). Minutes of the ASL Program Project Steering Committee, July 2016.
4. ASL (2017). Minutes of the ASL Program Project Steering Committee, February 2017.
5. ASL (2017). Minutes of the ASL Program Project Steering Committee, March 2017.
6. CSF (2021). Informe final del curso “Sostenibilidad Financiera de Áreas Protegidas”. Ofrecida por el Conservation Strategy Fund. Capacitación sobre Sostenibilidad Financiera – SERNANP, Perú 2021.
7. CGU SNM-RCM (2021). Acta No 3 de 2021 del Comité de Gestión Unificada del Santuario Nacional Megatoni y de la Reserva Comunal Machiguenga (Reunión virtual de 11-06-21)
8. CGU SNM-RCM (2021). Acta No 4 de 2021 del Comité de Gestión Unificada del Santuario Nacional Megatoni y de la Reserva Comunal Machiguenga (Reunión virtual de 05-07-21)
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20. Proyecto GEF6 – PDP. Screening de riesgos ambientales y sociales. Reserva Comunal Machiguenga (RCM)
21. Proyecto GEF6 – PDP. Screening de riesgos ambientales y sociales. Parque Nacional Tingo María (PNTM)
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## Annex 3: Findings from the Document Review

One of the first tasks of the ET was the review of a considerable set of documentation made available by the project through Google Drive. From the review of this documentation the ET got an idea of the background and context of the project (e.g. the wider PdP (*Patrimonio Natural de Perú*) Initiative as well as preliminary impressions on the level of progress achieved through project implementation.

The following preliminary observations follow from the examination of a selection of documentation made available by the PMU and WWF on “*Securing the Future of Peru’s Natural Protected Areas*”, encompassing project documentation, activity reports, financial information, and information on relevant thematic areas covered in the Peru Protected Areas Network, locally and within the wider Amazonian landscape.

1. Project implementation started rather fast and successfully considering; a) the systematic and well documented review of the Project Document, resulting in some adjustments of the Theory of Change, targets and indicators of the project and the selection of four (4) Natural Protected Areas (NPAs) to be supported through project module 3; b) the preparation of several key documents such as the PdP Implementations Strategy (EI) and the Operations Manual (MO) for the PROFONANPE Transitional Fund (TF); c) the achievement of the Memorandum of Understanding (MoU) for the establishment of the PdP Agreement for 38 Amazonian NPAs for 11 years, which was signed on 24<sup>th</sup> of May 2019 and meant the start of the wider 20 year PdP Initiative that covers all 76 NPAs of Peru that are under national management; d) the achievement of co-financing commitments to cover the US \$ 70 million required to cover the gap between necessary and available funds to enable the achievement of the PdP objectives for the 38 Amazonian NPAs.
2. Such key elements, prepared by the project in coordination with partners, but in which the project had a significant input by providing the space for their development, were approved in the course of 2019 and count with the necessary institutional and political support at the highest level, as demonstrated by the facts that Decreto Supremo No 003-2019-MINAM declares the PdP initiative of national interest and that the President of Peru realized the formal start of the PdP Initiative on May 28<sup>th</sup> of 2019. In addition, the MoU is for the medium term, which is rather uncommon in Peru.
3. The project is working in a complex environment considering its location within the institution SERNANP, its role as initiator of the PdP Initiative and the multiple relations with partners involved in the PdP Initiative, making it challenging to define the precise contribution of the project to the processes and achievements it is involved in.
4. Within the context of the project, the MoU and the PdP the necessary institutional arrangements have been established (e.g. Management Board, Board of Directors, Coordination Unit, Project Management Unit), staff has been appointed and/or contracted and instructed. In general, these arrangements seem to be functioning according to planning. The project team (PMU) has been completed according to planning, resulting in preparation of specific deliverables (e.g. M&E plan, gender and safeguards plan and related implementation strategies).
5. In general, the project has established good working relations with many stakeholders and organizations, including development partners (DPs) and ministries, departments and agencies (MPAs). It is not clear whether it has succeeded in the meanwhile to involve - or establish workable relations with - the Ministry of Economy and Finance (MoEF). It is also not clear to what extent relations have been established with Private Sector Organizations, Community Based Organizations and Local Authorities, whether at municipality level or indigenous community level.
6. The level of internal coordination and collaboration within SERNANP (e.g. with the Management of the 38 NPAs, the Directorate of NPA Management, Directorate of Strategic Development, the Planning and Budget Department, the Juridical Department and the Administration Department) is reported to have been generally good.
7. It is necessary to find solutions for the barriers (identified by training workshop participants) that limit the compliance with commitments by local and regional authorities with respect to the Management Plans. These barriers include political instability, high level of rotation of local and regional government staff, lack of compliance with agreed commitments by local and regional authorities, and absence of budget.
8. With respect to the safeguards of the project, that indicate that that this is essentially a conservation initiative that hopes to generate social, economic and environmental benefits that are positive and sustainable, mentioning that “the policy is activated, because ensuring effective management may limit or prohibit extraction of resources in some parts of or some types of NPAs”, it is essential to ensure the participation of community representatives in the negotiation of agreements in order to consider their needs for subsistence and also to ensure straight and clear communication on these with the rest of the community.
9. At the level of the Amazon Sustainable Landscape Program (ASLP) the project has been maintaining annual interaction with sister “child” projects in Colombia and Brazil, with a view to exchange experiences and lessons learnt for common learning. These included visits to Brazil (2018) and Peru (2019); during the latter a visit was made to an Indigenous Reserve to review the co-management by SERNANP and the Indigenous community.
10. The project has adopted a participatory approach towards the development and implementation of the NPA Management Plans (MPs) and Component 3 development, which is important for the buy-in of the local / indigenous population living in and/or near the NPAs. The vicious circle of the perpetual conservation concept that the project intends to assure in the long-term includes the element of

continued provision of ecosystem services and products to the local communities with a view to ensure their active involvement based on awareness, ownership and long-term benefit provision (see Figure 2).

**Figure 2: Perpetual Conservation Concept**



11. The project's M&E strategy includes an oversight of achievement of indicators at objective and result level and ratings per reporting period (year). It also specifies in which semester/year results were obtained. This may be helpful to understand the cumulative advances of the project.
12. The Project Progress Reports (PPRs) reflect the complexity of the project its context. There is some overlap between reporting periods (although it is often specified when specific achievements were made). Some cover mainly a semester, while others cover a calendar year. Although they follow the main structure of the format, there are differences in presentation (e.g. presentation of results per module or per strategy; co-financing amount achieved vs cumulative co-financing amount). They seem to have been presented mostly in time and are informative. They are accompanied by a list of annexes, providing a full overview. Part of these annexes is repeated in several PPRs.
13. With respect to adaptive management, the project has adopted a strategy to regularly and actively review its Theory of Change (ToC), targets and indicators. This has led to adapted versions of the ToC (2019), which defines more intermediate products than the original version, as well as adjusted indicators (2019) and targets (2019, 2020, 2021). In line with the adjusted targets some budget adjustments have been made, however within the overall budget that has remained unchanged.
14. Until the end of 2019 the project was running more or less according to planning, showing a steady increase with respect to achievement of planned results (see Table 4). From early 2020 however project implementation got affected by the COVID-19 epidemic, causing serious restrictions to staff movements, limiting access to NPAs and related communities, forcing staff to look for alternative ways to enable meetings (e.g. by phone, virtual), causing delays in implementation of certain activities, while others were postponed and/or targets were (temporarily) adjusted downwards. While budget execution did not seem to be affected too much (see Table 5), achievement of planned targets was affected to some extent, as can be seen for period 4 and period 6 in Table 4.

**Table 3: Project implementation rate (as percentage of planned targets, specified per component and per implementation period).**

	Period 1	Period 1+2 (year 1)	Period 2+3 (2019)	Period 4	Period 4+5 (2020)	Period 6
Component 1	46.47	73.08	83.33	10.56	63.19	25.00
Component 2	0.00	0.00	31.25	25.00	91.67	3.13
Component 3	21.43	60.00	44.44	65.00	100.00	50.00
Component 4	59.38	100.00	100.00	8.33	83.33	14.58
Project management	N.A	N.A.	100.00	44.44	83.33	14.29
Overall	<b>44</b>	<b>68</b>	<b>72</b>	<b>31</b>	<b>79</b>	<b>21</b>

Source: WWF- GEF6-PdP Project Progress Reports

**Table 4: Budget execution rate (as percentage of planned budget, specified per component and per implementation period).**

	Period 1	Period 1+2	Period 2+3	Period 4	Period 4+5	Period 6
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		(year 1)	(2019)		(2020)	
Component 1	16.08	19.16	54.71	17.24	73.53	31.31
Component 2	19.02	7.81	64.71	13.48	21.90	15.32
Component 3	30.16	8.47	62.37	98.05	99.46	23.51
Component 4	47.35	14.55	95.45	23.46	21.38	32.84
Project management	N.A.	7.28	100.00	60.44	115.15	35.92
Overall	<b>24</b>	<b>57</b>	<b>70</b>	<b>89</b>	<b>95</b>	<b>23</b>

Source: WWF- GEF6-PdP Project Progress Reports

15. Thus far, project implementation has to a large extent focused on project Components 1 and 4, to a lesser extent on Component 2, and to a much lesser extent on Component 3. This is partly logical and according to planning, but also an effect of the epidemic.
16. Overall, whereas the project shows progress in some of its components, especially on those elements related to the planning process, there are limitations with respect to progress achieved so far on Component 2 ("identify and analyse the viability of a set of innovative mechanisms for income generation, at national and local level, with a view to diversify the portfolio of SERNANP"), which is key for the sustainability of the project. Among the most relevant achievements on component 3 so far concern the procurement of equipment, to be used in the coming years.
17. Main achievements for Component 1: a) the MoU for the PdP-Amazonia signed and in operation; b) the recognition of the PdP as being of national relevance; c) the approved PdP Implementation Strategy; d) the approved Operations Manual; e) the counterpart commitment of GoP; f) amounts for PdP effectively received and implemented by PROFONANPE.
18. Main achievements for Component 2: a) a short-list of mechanisms to be developed by the project; b) a series of viability studies and proposals for legal adjustment, enabling e.g. SERNANP to share collected funds by the National Water Authority; c) a series of consultancy documents that will guide the project team on further steps to be taken.
19. Main achievements for Component 3: a) selection of the 4 NPA's; b) training of staff (NPA and HQ) on safeguards, MAQS, gender, financial mechanisms; c) approved work plans for the 4 NPAs; d) WWF funding to support this module transferred to PROFONANPE; e) equipment procured; f) initiating studies for adjustment processes of NPA MPs in the 4 selected NPAs and 9 others.
20. Main achievement for Component 4: a. M&E plan; b. regular and systematic monitoring of project progress, including progress towards achievement of objectives, which shall feed management decisions c; annual reviews of the ToC, targets and indicators in view of adaptive management.
21. Important challenges encountered so far include a) the lack of internal institutional experience with respect to financial mechanisms; b) the lack of experienced staff and/or consultants to cover some of the themes dealt with by the project, affecting their procurement; c) the COVID-19 epidemic, causing changes in planning and approaches; d) the economic crisis caused by COVID-19, resulting in cut-back of the GoP contribution to SERNANP and unfavorable exchange rates of Peruvian Soles to US\$, thereby affecting market availability and prices of procurement items.
22. For the coming period the following challenges may affect project implementation: a) change of government, possibly causing delays as an effect of changes in staff in high positions, which will require additional time and inputs in awareness creation and achieving political will and/or support; b) continued COVID-19 epidemic, affecting staff movements, participatory implementation strategy especially at field level and the counterpart contribution by GoP. Also, due to COVID-19 restrictions, the participatory approach to NPA management plan review and adjustment cannot be applied for the time being. The same applies for the implementation of field level activities under Component 3. This increases the risk of insufficient involvement of (indigenous) communities, which should be avoided in any cases in order to ensure their awareness, ownership and long-term buy-in.
23. Mechanisms need to be put in place to ensure that funding flows from PROFONANPE meant for NPAs are not unnecessarily delayed by SERNANP headquarters, avoiding the need for the PMU to interfere and or lose its time on talks to arrange for release of funds.

## Annex 4: Stakeholders Consulted

Key stakeholder groups identified that are relevant to the project review and evaluation process include: Government of Peru (GoP) Ministries, Departments and Agencies (MDAs), Development Partners (DPs), (indigenous) communities, and private sector representatives. Specific key stakeholders (organizations, people) have been defined in coordination with the GEF6 PMU and WWF. The stakeholders interviewed are presented below.

	Name	Organisation	Function	Contact	Type
1.	Luisa Elena Guinand	Ministry of Environment	Deputy Ministry of Natural Resources Strategic Development	lguinand@minam.gob.pe	MDA
2.	Rodolfo Valcárcel	SERNANP	Secretario general	rvalcarcel@sernanp.gob.pe	MDA
3.	Marcos Pastor	SERNANP	Director de Desarrollo Estratégico	mpastor@sernanp.gob.pe	MDA
4.	Armando Bazán (N/A)	SERNANP	Jefe de la Oficina de Planeamiento y Presupuesto	abazan@sernanp.gob.pe	MDA
5.	Carolina Guevara	SERNANP	Jefa Santuario Nacional Tabaconas Namballe	cguevara@sernanp.gob.pe	MDA
6.	César Aliaga Guerrero	SERNANP	Jefe de la Reserva Comunal Machiguenga	caliaga@sernanp.gob.pe	MDA
7.	Deyvis Huamán	SERNANP	Responsable UOF Monitoreo, Vigilancia y Control – DGANP	dhuamanm@sernanp.gob.pe	MDA
8.	Melina Tamara	SERNANP	Responsable UOF Gestión Ambiental – DGANP	mtamara@sernanp.gob.pe	MDA
9.	Yeselia Cano	SERNANP	UOF Gestión Ambiental – DGANP	ycano@sernanp.gob.pe	MDA
10.	Raiza Castillo	SERNANP	UOF Gestión Ambiental– DGANP	rcastillo@sernanp.gob.pe	MDA
11.	Carlos Sánchez	SERNANP	Responsable UOF Manejo de Recursos – DGANP	csanchezrojas@sernanp.gob.pe	MDA
12.	Marco Arenas	SERNANP	Responsable UOF Gestión Participativa	marenas@sernanp.gob.pe	MDA
13.	Juan Carlos Heaton	SERNANP	Responsable UOF Gestión de Turismo	jheaton@sernanp.gob.pe	MDA
14.	Mariela Huacchillo	SERNANP	Funcionaria UOF Imagen Institucional y Comunicación Social	mhuacchillo@sernanp.gob.pe	MDA
15.	Marco Otárola	SERNANP	Responsable UOF Sostenibilidad Financiera	motarola@sernanp.gob.pe	MDA
16.	Cindy Vergel	SERNANP - PdP	Coordinadora Iniciativa PDP	coordinacion-pdp@sernanp.gob.pe	MDA
17.	Henry Harrison	SERNANP - PdP	Especialista economico PdP	especialista-economico@sernanp.gob.pe	MDA
18.	Bessy Cobos	SERNANP	NPA staff Tingo María National Park	bcobos@sernanp.gob.pe	MDA
19.	Martha Cuba de Cronkleton (N/A)	Ministry of Environment	GEF Focal Point	mcuba@minam.gob.pe	MDA
20.	Lorenzo Beck	GEF6	PMU team leader	lbeckgef6-pdp@sernanp.gob.pe	PRO
21.	Alberto Cuba	GEF6	Sustainable finance specialist	acubagef6-pdp@sernanp.gob.pe	PRO
22.	Zara Sánchez	GEF6	NPA specialist	zsanchezgef6-pdp@sernanp.gob.pe	PRO
23.	Liz Clemente	GEF6	Gender specialist	sophiclemente@gmail.com	PRO
24.	Leyla Arévalo	GEF6	Administration specialist	larevalo@profonanpe.org.pe	PRO
25.	Milagros Silva	GEF6	M&E specialist	msilvagef6-pdp@sernanp.gob.pe	PRO
26.	Carolyn Planitzer (N/A)	WWF-US	WWF-US	Carolyn.Planitzer@wwfus.org	DP
27.	Isabel Filiberto	WWF-GEF	WWF-GEF programme manager	Isabel.Filiberto@wwf.org	DP
28.	Claudia Yep	WWF-Peru	Conservation Finance Specialist	claudia.yep@wwfperu.org	DP
29.	Meg Symington	WWF-US	GEF6-PdP Board	Meg.Symington@wwfus.org	DP
30.	Christian Bueno	PROFONANPE	Chief Administration and Finance	cbueno@profonanpe.org.pe	DP

31.	Pamela Reyes	PROFONANPE	M&E specialist	preyes@profonanpe.org.pe	DP
32.	Claudia Godfrey	PROFONANPE	Director Innovation and Strategic Management	cgodfrey@profonanpe.org.pe	DP
33.	Avecita Chicchon (N/A)	Fundación Moore	Director Andes-Amazon Initiative	Avecita.Chicchon@moore.org	DP
34.	Paulina Arroyo (N/A)	Fundación Moore	Andes-Amazon Initiative	paulina.arroyo@moore.org	DP
35.	Megan McDowell	Andes and Amazon Fund (AAF)	AAF Programme Manager	megan@andesamazonfund.org	DP
36.	Enrique Ortiz	Andes and Amazon Fund (AAF)	AAF Programme Manager	zitroge@gmail.com	DP
37.	Cecilia Yanez	KfW	KfW Programme Manager - Budget Support	Cecilia.Yanez@kfw.de	DP
38.	Lucía Ruiz Ostoic	Independent	Former Minister and Vice Minister of MINAM	lruizost@yahoo.com	MDA
39.	Hector Kaivi	ECA MAENI (Co-manager RC Machiguenga)	President of ECA-MAENI, representing 14 indigenous communities	ecamaeni@gmail.com	IO

*CBO: Community Based Organisation;*

*DP: Development Partner;*

*IO: Indigenous Organisation*

*LA: Local Authorities;*

*MDA: Government Ministry, Department, Agency;*

*N/A: Not Available / No Response;*

*NGO: Non-Governmental Organisation;*

*PRO: Project;*

*PSO: Private Sector Organisation;*



## Annex 5: Surveys

This Annex presents the results of the three surveys conducted by the Evaluation Team, to assess the general familiarity with the GEF6-PdP project, participation in project or training activities, identify key challenges, which were sent to three target groups:

1. Survey for NPA Managers, sent to the managers of the 38 Natural Protected Areas in the Amazon included in the PdP, including the four pilot NPAs targeted through the GEF6-PdP project. A total of 10 responses were received, which implies a response rate of  $10/38 = 26\%$ .
2. Survey for staff that participated in trainings conducted as part of the GEF6-PdP project, on various themes (e.g. financial mechanisms, gender and safeguards, etc.). The survey was sent to 51 staff that were trained in one or more themes by the project, of these a total of 23 responded to the survey, implying a response rate of  $23/51 = 45\%$ .
3. Survey for local stakeholders, communities, beneficiaries. The survey was sent to 23 local and regional stakeholder that participate in the Management Committees of the 4 pilot NPAs, including representatives of (indigenous) communities, local authorities, NGO's, Universities and Private sector organizations. Only 1 response was received, implying a response rate of only 4%.

Annex 5a-5c include the original questions as presented to the respective stakeholder group, including the responses received and where possible a quantification of the answers received. For open questions a summary of the received answers is presented and in case of similar answers these are grouped, so that an indication can be given on the number of times that such an answer was given (number between brackets).

The answers received by the Evaluation Team have been anonymised. A summary of the analysis is presented below per survey (in English) and is followed by each of the processed surveys (in Spanish).

## Annex 5a: Survey for NPA Managers (response rate 26%)

### Annex 5a.1 Summary of Survey Findings

The survey with 19 questions was sent to all (38) Amazonian NPA managers. Responses from the following 10 NPAs were received: Parque Nacional Tingo María, Reserva Nacional Matsés, Reserva Comunal Machiguenga, Bosque de Protección Alto Mayo, Parque Nacional del Río Abiseo, Reserva Comunal Amarakaeri, Reserva Comunal Yanetsha, Parque Nacional Cordillera Azul, Santuario Histórico de Machupicchu and Santuario Nacional Megantoni, that vary in size between 4,777 Ha (Parque Nacional Tingo María) and 1,353,190 Ha (Parque Nacional Cordillera Azul).

Of the responding group of NPAs 50% has a Management Plan (MP) for the period 2017-2021, while 60% indicate that they do not have the necessary financial resources to implement the MP. The most needed non-financial resources are equipment, staff, training and means of communication.

With respect to the knowledge about the objectives, targets and strategies of the project GEF6-PdP, only 30% is well informed (representing the responding pilot NPAs benefitting of the project), 50% indicates to be moderately informed, while the remaining 20% does not have information on the project or only has been informed about the wider PdP Initiative. The majority (80%) considers that there is effective linkage between the project and the NPA sector on themes like vigilance and control, tourism activities, participatory management, use of natural resources and staff training.

80% of the NPA managers have participated in an introductory meeting of the project, 60% in a meeting to discuss project progress and 50% have participated in training workshops, meetings to discuss the progress of the wider PdP initiative or to discuss lessons learnt.

Also, 60% of the NPA managers are involved in the development and operationalization of Monitoring and Evaluation mechanisms for the activities of GEF6-PdP, through activities like the diagnosis tool on gender equality and safeguards and on the “COMO VAMOS”-tool. They also have used the METT format. The majority have participated in training processes of the project, as follows: 70% in social themes related to Gender, Safeguards and Complaints Mechanisms, 60% in the application of the METT methodology and 50% in the identification of environmental services, among others. 70% of the respondents apply METT for their NPA, with different results.

The following main threats to the NPAs under their respective responsibility were mentioned: unlimited hunting, agricultural uses that do not support the conservation objectives of the NPA, use of chemical products in the NPA, loss of habitat, forest fires, deforestation, among others. In 50% of the responding NPAs other development projects are being implemented.

With respect to the impact of the COVID-19 pandemic, 40% of the NPA indicates to have had significant impact, while 60% has had moderate impact, which vary between budget effects due to decreasing tourism, limitations in vigilance and control activities, limited participation by and accompaniment of communities, increase of illegal activities, lack of infrastructure maintenance at the control posts, among others. In reaction, 80% of the respondents indicate to have developed strategies to cope with these situations, which include: installation of internet services, remote monitoring by use of GIS, training of staff, application of protocols that avoid COVID infection and the increase of the number of virtual meetings.

Among the conservation and management challenges to be addressed in the next 5 years by the PNA management, the following are mentioned: financial sustainability, environmental monitoring, remote vigilance through drones, early warning reports, land use planning, implementation of the Management Plan.

The responding NPA managers consider that the following income generating mechanisms are feasible: tourism, Payment for Ecosystem Services (PES), marketing of non-timber forest products, marketing of carbon credits and environmental compensation, among others.

There is an important and varied group of beneficiaries of natural resources of the NPAs, Benefits vary from use of renewable and non-renewable natural resources, to tourism related service provision, enabling sustainable income generation for the local population, communities, students, indigenous organizations, among others. Likely, there is an interesting organization and social participation process that is mainly supported by the NPA's Management Committees with stakeholders that include local and regional authorities, NGOs, indigenous communities, community based organizations, and enterprises, among others.

Finally, among the recommendations of the NPA managers with respect to improving the implementation of the project GEF6-PdP the following are highlighted: strengthening of the communication process and the visibility of the project; increasing funding for investment on a permanent basis; provision of technical equipment for vigilance and control.

## Annex 5a.2 Consolidated Survey Responses

On the following pages the responses received from the respondents are presented in a structured way, making use of the original survey format prepared by the ET.

### Evaluación de Medio Término del proyecto WWF GEF6-PdP Asegurando el Futuro de las Áreas Naturales Protegidas del Perú (2018-2024) implementado por SERNANP en el contexto de la Iniciativa Patrimonio Natural del Perú

#### Guía de encuesta para Jefes de ANP en la Amazonía, agosto 2021

#### 1. Datos sobre el Área Natural Protegida (ANP) bajo su responsabilidad de gestión:

Nombre del Área Natural Protegida	Tamaño en Hectáreas (Ha)	Categoría de Gestión UICN	Plan Maestro (PM)	El Presupuesto Anual disponible cubre xx % de las actividades del PM en el período operacional
1. Parque Nacional Tingo María	4,777	II	2017-2021	100% <sup>12</sup>
2. Reserva Nacional Matsés	420,635	VI	2017-2021	66%
3. Reserva Comunal Machiguenga	218,905	Directo	2017-2021	37.5%
4. Bosque de Protección Alto Mayo	182,000	VI	2013-2018 <sup>13</sup>	-
5. Parque Nacional del Río Abiseo	274,520	II	2014-2019	40%
6. Reserva Comunal Amarakaeri	402,335	VI	2016-2020 <sup>14</sup>	40% <sup>15</sup>
7. Reserva Comunal Yanesha	34,744	VI	2017-2021	40%
8. Parque Nacional Cordillera Azul	1,353,190	II	2017-2021	100% <sup>16</sup>
9. Santuario Histórico de Machupicchu	37,302	III	2015-2019	30%
10. Santuario Nacional Megantoni	215,868	III	2016-2020	100% <sup>17</sup>

#### 2. ¿El ANP tiene un Plan Maestro (PM) y una Estrategia de Implementación actualizada y en operación?

por favor **seleccione las respuestas relevantes**, marcando la casilla respectiva:

Periodo de operación:

a. Si, el ANP tiene un PM (por favor especifique el período operacional del mismo):	4 x	....
b. Si, el ANP tiene una Estrategia de Implementación derivada del Plan Maestro.	1 x	
c. No, el proceso de actualización del PM está en curso y el PM deberá estar aprobado a finales del 2021		
d. No, el proceso de actualización del PM está en curso y el PM deberá estar listo en borrador a finales del 2021	2 x	
e. No, el proceso de actualización del PM ha sido postergado hasta 2022	1 x	
f. No, el proceso de actualización aún no se ha planificado	2 x	

#### 3. ¿Dispone del presupuesto y de los recursos no financieros requeridos para la implementación del Plan Maestro?

Por favor marque la casilla respectiva con "X":

<sup>12</sup> Si se dispone de los recursos de la fuente financiera RDR-RO y GEF6-PdP, lo cual cubre el 100% de las actividades del PM.

<sup>13</sup> El proceso de actualización del PM está en curso y el PM deberá estar listo en borrador a finales del 2021.

<sup>14</sup> Iniciando el Proceso de Actualización del Plan Maestro en marco del POA 2021 del FTE. DE FTO. DyT - PDP, Meta 287

<sup>15</sup> El presupuesto POA anual disponible cubre sólo el 40% de las actividades del PM en el período operacional, existe la brecha presupuestaria aproximado de 60 % para la implementación óptimo del PM, las cuales se están gestionando con fondos de cooperación.

<sup>16</sup> Mediante el ejecutor de Contrato de Administración, aunque no al 100%, sin embargo, se viene diseñando una estrategia de sostenibilidad a perpetuidad que proviene de los servicios eco-sistémicos - REDD+

<sup>17</sup> Las actividades del PM, están sujetas a la asignación presupuestal de nuestra institución, por tanto se planifica con los recursos con que contamos

a. Si	3 x	
b. No	6 x	Si no, por favor especifique la brecha presupuestaria aproximada como porcentaje de los requerimientos (por ejemplo, el presupuesto anual disponible cubre sólo el 50% de las actividades del PM en el período operacional): ... %

ANP	Especifique las <u>tres</u> necesidades más sentidas referente a recursos no financieros:
Parque Nacional Tingo María	Debido al estado de emergencia sanitaria: 1. Poca comunicación con los miembros del Comité de Gestión 2. No se está realizando la actividad de educación ambiental con los estudiantes de las instituciones educativas asentadas en la zona de amortiguamiento. 3. No se está convocando el programa de guardaparques voluntarios, en apoyo a la gestión del ANP.
Reserva Nacional Matsés	1. Recurso Humano (El ANP necesita cubrir con personal guardaparque y especialista)
Reserva Comunal Machiguenga	1. Brecha Personal guardaparque 2. Brecha Sede administrativa, 01 PVC y 02 refugios cercanas al ANP 3. Brechas en equipamiento adecuado
Bosque de Protección Alto Mayo	1. Recurso Humano: Se necesita completar el staff de profesionales e incrementar al menos 2. 2. Se necesita desarrollar capacidades en temas administrativos, gerenciales y otros que contribuyen a la gestión 3. Mayor involucramiento en todos los niveles sectoriales para la conservación de las ANP.
Parque Nacional del Río Abiseo	1. Inexistencia de presupuesto para la implementación de protocolos de monitoreo y la elaboración de línea base en cumplimiento a los objetivos del Plan Maestro. 2. Inexistencia logísticos e equipamiento de incendios forestales; deficiente personal para el sistema de vigilancia y control efectivo (falta 5 Guardaparque-brechas) y escasa presupuesto para los servicios de internet en los PVC del ANP. 3. Mantenimiento de Vehículos motorizados y mantenimiento de infraestructura de los puestos de Vigilancia y Control del ANP.
Reserva Comunal Amarakaeri	1. Fortalecimiento de capacidades para el personal técnico de la Cogestión (Guardaparques, especialistas, ...) 2. Fortalecer los canales de comunicación entre la Cogestión de RC Amarakaeri y las CCNN socias, instituciones aliadas, y población en general del ámbito de la RCA. 3. Presupuesto adecuado para Mantenimiento de la infraestructura y reposición de equipos e infraestructura instalada en el ámbito de la RCA.
Reserva Comunal Yanesha	1. Capacitaciones 2. Mantenimiento de infraestructura y equipamiento 3. Personal
Parque Nacional Cordillera Azul	1. Para cubrir la brecha del Personal para el ANP
Santuario Nacional Megantoni	1. Recursos humanos, mayor personal 2. Capacitación 3. Implementación con equipos

4. ¿En qué medida está familiarizado con los objetivos, metas y estrategias de implementación del proyecto GEF6-PdP?

Por Favor marque la casilla respectiva con "X":

a. Estoy muy bien informado	3 x
b. Estoy moderadamente informado	5 x
c. No los conozco	
d. No tengo información del proyecto, solo estoy informado sobre la iniciativa PdP	1 x
e. No aplica	1 x

5. ¿En qué medida los objetivos, componentes y temas del proyecto GEF6-PdP se articulan con los desafíos de la experiencia en la gestión del ANP?

Por favor explique:	
<b>Parque Nacional Tingo María</b>	<ul style="list-style-type: none"> <li>- Se articula con las <b>actividades de vigilancia y control del ANP</b>: Con el apoyo en el cierre de brechas de equipamiento (Vehículos, infraestructura, equipos, entre otros).</li> <li>- Con la <b>actividad turística</b>: Apoyo en la elaboración y aprobación del Plan de Sitio del PNTM y su próxima implementación.</li> <li>- Con la <b>actividad de gestión participativa</b>: Apoyo en la elaboración de la herramienta “COMO VAMOS”, para medir el apoyo que realizan los actores a la gestión del ANP.</li> </ul>
<b>Reserva Nacional Matsés</b>	<ul style="list-style-type: none"> <li>- Los componentes que presenta el proyecto GEF 6 – PDP se articulan directamente con las acciones que realiza la jefatura del área como parte de la gestión de la misma, de modo que al interior del ANP se desarrollan actividades sostenibles de aprovechamiento de recursos naturales renovables (Componente 3 del Proyecto) y, para llegar a este nivel, la jefatura de la RN Matsés presentó un buen nivel de gestión preliminar (componente 1 del Proyecto) y un buen nivel de gestión básica y estructural (Componente 2 del Proyecto). Por otra parte, actualmente el principal desafío para la gestión del ANP es la coyuntura de la pandemia por el COVID – 19, lo cual trajo como consecuencia los recortes presupuestales significativos en el año 2020 y para este año.</li> </ul>
<b>Reserva Comunal Machiguenga</b>	<ul style="list-style-type: none"> <li>- Permitted sinceramiento de brechas para la gestión efectiva, identificación de acciones para el fortalecimiento del sistema de vigilancia, implementación de PVC con equipos, fortalecimiento de capacidades del personal, atención de alertas tempranas en los sectores de vigilancia y control que contribuyen a una mejor articulación intersectorial, el plan maestro cuenta con un mayor involucramiento de la cogestión y actores estratégicos, asimismo se cuenta con el acompañamiento técnico de un especialista para llegar con un lenguaje amigable y poco técnico, contar con documentos de planificación que permitan identificar indicadores (protocolos), contribuyen al reconocimiento de límites territoriales entre ANP y Comunidades.</li> <li>- Consolida el fortalecimiento de capacidades del personal guardaparque, especialistas, miembros del ECA Maeni y Jefe en temas relevantes y de trascendencia actual como equidad de género, salvaguardas, interculturalidad transversal, MAQS.</li> </ul>
<b>Bosque de Protección Alto Mayo</b>	<ul style="list-style-type: none"> <li>- La Iniciativa PdP Amazonía es un reto para todos, ya que mediante este proyecto podamos cerrar muchas brechas y también articularnos con otras instituciones del Estado. La idea es que con esta iniciativa no solo nos empoderemos nosotros sino también con los aliados estratégicos, sea gobiernos regionales, distritales y la misma población organizada y que juntos se pueda sacar adelante las áreas naturales protegidas y su conservación, y mediante los objetivos y componentes permite un trabajo más ordenado de las acciones a implementar en el ANP.</li> </ul>
<b>Parque Nacional del Río Abiseo</b>	<ul style="list-style-type: none"> <li>- Se articularon con los Planes Operativos Anuales y en la política institucional en: a). Gestión del Programa; b). Áreas Naturales Protegidas con Control y Vigilancia Permanente; c). Instrumentos de Planificación y Desarrollo en Áreas Naturales Protegidas Elaborados (Plan Maestro); d). Desarrollo de Espacios Participativos para Conservación de los Recursos Naturales; e). Áreas Naturales Protegidas con Saneamiento Físico Legal, para consolidar y mejorar la gestión efectiva del ANP.</li> </ul>
<b>Reserva Comunal Amarakaeri</b>	<ul style="list-style-type: none"> <li>- No se conoce de manera amplia el contenido del Proyecto GEF6-PDP</li> </ul>
<b>Reserva Comunal Yanesha</b>	<ul style="list-style-type: none"> <li>- En cerrar las brechas que se tienen en las ANP para una gestión efectiva del ANP.</li> </ul>
<b>Parque Nacional Cordillera Azul</b>	<ul style="list-style-type: none"> <li>- Con la estrategia de Vigilancia y control del ANP, para mantener su estado de conservación.</li> </ul>
<b>Santuario Histórico de Machupicchu</b>	<ul style="list-style-type: none"> <li>- Fortalecer las actividades de control y vigilancia en el ANP y consolidar los ámbitos de control y vigilancia.</li> <li>- Contribuir a las acciones de saneamiento físico del ANP.</li> <li>- Fortalecer las acciones de monitoreo de los objetos de conservación del ANP.</li> <li>- Lograr una sostenibilidad económica para el ANP, incrementando los recursos financieros de forma sostenible, gradual y planeada.</li> </ul>
<b>Santuario Nacional Megantoni</b>	<ul style="list-style-type: none"> <li>- No aplica, ya que no se ejecuta a mi ANP</li> </ul>

6. ¿Hubo participación del Jefe del ANP o cualquier de sus colegas directas en uno o más de las siguientes actividades del proyecto GEF6-PdP? Por favor marque todas las casillas relevantes con “X”:

a. Una reunión introductoria del proyecto y de la Iniciativa PdP	8 x
b. Un taller o una reunión de diagnóstico	5 x

c. Un taller o una reunión para planificar metas comunes	4 x	
d. Una capacitación organizada por el proyecto	4 x	
e. Una reunión para discutir el avance del proyecto	6 x	
f. Una reunión para discutir el avance de la iniciativa PdP	5 x	
g. Un taller para intercambiar lecciones aprendidas o mejores prácticas entre Jefes de ANP	5 x	
h. No, hasta la fecha mi organización no ha estado involucrada en ninguna actividad	1 x	
i. Otro (por favor especifique):	1 x	Reuniones de coordinación virtual para implementación PdP

**7. ¿Está involucrado en el desarrollo y la operacionalización de mecanismos de Monitoreo y Evaluación para las actividades del Proyecto GEF6-PdP, conjuntamente con otros Jefes de ANP para guiar la implementación del mismo?**

Por favor marque la casilla respectiva con "X":

a. Si	6 x	<i>por favor especifique:</i>	<ul style="list-style-type: none"> <li>- Se trabajó con otros jefes de ANP el diagnóstico de equidad de género, salvaguardas y con la herramienta "COMO VAMOS".</li> <li>- Se utiliza el formato METT para ver el avance de objetivos de la gestión efectiva.</li> <li>- Se ha trabajado la corrida de la herramienta METT, salvaguardas y equidad de género.</li> <li>- Es organizado por los responsables del Proyecto.</li> <li>- Las coordinaciones para la implementación de actividades y presupuesto asignado, conforme a lo establecido en el POA 2021 del PdP, se realizan con Lourdes Ruck del área de coordinación PdP-SERNANP</li> </ul>
b. No	4 x	<i>por favor especifique:</i>	<ul style="list-style-type: none"> <li>- Por el momento el ANP tiene un Contrato de Administración y esto hace que el ANP esté incluido en la última fase de implementación del PdP.</li> <li>- No se participó en Monitoreo y Evaluación de actividades del Proyecto GEF6-PdP, conjuntamente con otros jefes de ANP para guiar la implementación de las actividades del Proyecto.</li> </ul>

**8. ¿Hubo participación del Jefe del ANP o cualquier de sus colegas directas en uno o más de las siguientes actividades de capacitación relacionadas a la gestión del ANP por parte del proyecto GEF6-PdP?**

Por favor marque todas las casillas relevantes con "X":

a. Identificación de servicios ambientales y sus valores correspondientes	5 x	
b. Mecanismos de distribución de beneficios	2 x	
c. Actividades de generación de ingresos	2 x	
d. Financiamiento Sostenible del ANP	5 x	
e. Planificación estratégica y gestión efectiva para ANP	4 x	
f. Relaciones comunitarias y gestión participativa	3 x	
g. Monitoreo y Evaluación	3 x	
h. Gestión de proyectos	2 x	
i. Gestión adaptativa	4 x	
j. Enfoque de género, salvaguardas y MAQS	7 x	
k. Campañas de concientización, comunicación y visibilidad	2 x	
l. Aplicación de la metodología METT (Management Effectiveness Tracking Tool)	6 x	
m. Otro (por favor especifique):	1 x	La RN Matsés no ha participado de ninguna capacitación

**9. Favor indicar si aplica METT para el ANP en procesos de monitoreo y/o elaboración de informes:**

Por favor marque la casilla respectiva con "X":

a. Si, aplicamos METT y hay monitoreo frecuente respecto a la implementación de nuestro PM	7 x
b. Si, utilizamos los resultados de METT para ajustar el enfoque de nuestro trabajo dentro del PM	3 x
c. No aplicamos METT en la gestión del ANP	



10. ¿En el caso de aplicar METT, por favor relacione los dos últimos puntajes METT para su ANP (por elemento de gestión, en %):

	Parque Nacional Tingo María		Reserva Nacional Matsés		Reserva Comunal Machiguenga		Bosque de Protección Alto Mayo		Parque Nacional del Río Abiseo	
	Puntaje METT %		Puntaje METT %		Puntaje METT %		Puntaje METT %		Puntaje METT %	
Año:	2019	2020	2019	2020	2019	2020	2019	2020	2019	2020
Planificación:	24	24	-	-	35.6%	31%	-	-	18%	16%
Insumos:	30	30	-	-	25.4%	29.3%	-	-	11%	10%
Proceso:	9	9	-	-	11.86%	12.1%	-	-	25%	29%
Productos :	3	3	-	-	27.1%	27.6%	-	-	14%	17%
Resultados:	12	12	-	-	-	-	-	-	-	-
TOTAL:	78	78	93	75			74	76		

	Reserva Comunal Amarakaeri		Reserva Comunal Yanesha		Parque Nacional Cordillera Azul		Santuario Histórico de Machupicchu		Santuario Nacional Megantoni	
	Puntaje METT %		Puntaje METT %		Puntaje METT %		Puntaje METT %		Puntaje METT %	
Año:	2019	2020	2019	2020	2019	2020	2019	2020	2019	2020
Planificación:	-	-	-	-	-	-	-	-	-	-
Insumos:	-	-	-	-	-	-	-	-	-	-
Proceso:	-	-	-	-	-	-	-	-	-	-
Productos :	-	-	-	-	-	-	-	-	-	-
Resultados:	-	-	-	-	-	-	-	-	-	-
TOTAL:					83	83				

11. ¿Por favor relacione las 3 amenazas claves respecto al ANP bajo su gestión, y *explique brevemente*:

ANP	Amenaza	Explicación
Parque Nacional Tingo María	1. Cacería de animales de monte	Los pobladores locales instalan tramperos (arma construida de tubos de manera artesanal que percute un cartucho) hechizos en el ANP ocasionando la muerte de fauna silvestre.
	2. Extracción de mariposas	Los pobladores locales ingresan al ANP con redes construidas de manera artesanal y colocando cebos (atrayentes) en puntos estratégicos del ANP.
	3. Contaminación por malas prácticas agrícolas	Agricultores de la Zona de Uso Especial y Zona de Amortiguamiento utilizan productos químicos (insecticidas, pesticidas y herbicidas) en los cultivos agrícolas y fuentes de agua contaminando el entorno.
Reserva Nacional Matsés	1. Pandemia COVID19	El estado de emergencia como consecuencia de la Pandemia del COVID – 19 resultó la principal amenaza y desafío para la gestión del ANP.
	2. Construcción de la Carretera Jenaro Herrera - Angamos	Durante este 2021, se han generado conflictos con relación a este Proyecto, el mismo que no cuenta, hasta el momento con instrumento de gestión Ambiental para que este sea ejecutado
Reserva Comunal Machiguenga	1. Apertura de carretera	-
	2. Expansión de agricultura	Expansión de agricultura no compatible al obj. del ANP. Se tiene actividades de pobladores locales que realizan plantaciones promovidas por la municipalidad y otras instituciones como agro-rural.
	3. Caza no regulada de fauna silvestre.	Existe aprovechamiento de fauna para el consumo local y promovida por algunos proyectos de envergadura en la zona.
Bosque de Protección Alto Mayo	1. Pérdida de hábitat	Esto debido a que en el ANP existe poblaciones asentadas al interior que desarrollan actividades agrícolas y pecuarias.
	2. Contaminación	En un tramo del ANP pasa una vía nacional que hace que las personas que transitan por ahí arrojen basura y sumado a esto a que todavía existen algunos pobladores que utilizar insumos químicos en sus cultivos agrícolas.

	3. Sobre uso de recursos	En algunas partes del ANP existen especies representativas y que son comerciales como es el caso de la madera cedro rosado, que actualmente se viene controlando con las acciones que implementa la gestión del ANP. Asimismo, existe extracción de orquídeas importantes que están en categoría CITES
<b>Parque Nacional del Río Abiseo</b>	1. desordenada	Pérdida de hábitat por ocupación de ganado y quema de pajonales. A enero 2020, la probabilidad de pérdida de hábitat por ocupación ganadera es de 1.5% en los callejones La Verde, Alpamachay, La Viguela, Los Rojos por el lado de Puesto de Vigilancia y Control Ventanas (PVC) y por Callejón Viejo, Danzanapampa, Santa Rosa de Buldibuyo por el PVC QUINUAPAMPA, en Zona de Uso Especial del ANP.
	2. Quema de pajonales	Según la zonificación del ANP, cuenta con 14,074.076ha de uso especial y 22,336.441167 ha en zona de recuperación, áreas que son afectado parcialmente por la quema, que van desde la Zona de Amortiguamiento al interior del Parque Nacional, en los últimos tres años se vio afectado por los incendios forestales, principalmente en los meses de Julio - noviembre. En algunos casos logrando afectar aproximadamente 5 mil hectáreas en total, provocando la pérdida de biodiversidad y afectando la calidad del pasto natural y el paisaje natural.
	3. Minería informal en ZA	En la zona de Amortiguamiento del ANP, provincia de Pataz (Sector Occidente), la actividad minería es la principal fuente de ingreso, en los últimos tiempos la minería va formalizándose a ritmos acelerados, cada vez aproximándose a los límites del ANP, a pesar de los pocos recursos asignados hacemos los esfuerzos máximos para la vigilancia y mas no un monitoreo constante.
<b>Reserva Comunal Amarakaeri</b>	1. Minería ilegal	Actividades ilegales en ZA que pueden perjudicar la conservación del ANP (Objetivo del ANP)
	2. Cultivos Ilícitos	Actividades ilegales en ZA que pueden perjudicar la conservación del ANP (ámbito de control Salvación, Quincemil, Mashco).
	3. Apertura de Caminos	Actividades ilegales en ZA que pueden perjudicar la conservación del ANP (ámbito de control Mashco).
<b>Reserva Comunal Yanasha</b>	1. Tala ilegal	Es una amenaza latente en los límites del ANP cercanos a las comunidades y predios privados.
	2. Rozo y quema	Se dan en áreas que se regeneran naturalmente o en bosques primarios, realizado principalmente en la zona norte de invasiones y cercano a los linderos del ANP y en las áreas superpuestas al ANP y en la zona de uso especial; para agricultura, pastizales y para cultivos ilícitos.
<b>Parque Nacional Cordillera Azul</b>	1. Deforestación	Actualmente en la zona de amortiguamiento se viene deforestando espacios boscosos y que son una amenaza para para el ANP, esto debido a la migración, agricultura, ganadería y otros.
	2. Caza indiscriminada	Por el buen estado de conservación del ANP, hace que exista abundancia de especies y ello conlleva a que las persona realicen caza indiscriminada en la ZA y ANP.
	3. Cultivos ilícitos	Presencia FUERA del ANP. Se concentra en ZA, los sectores de Tocache, Santa Ana(Ucayali) y el Bajo Huallaga (San Martín)
<b>Santuario Histórico de Machupicchu</b>	1. Incendios forestales	Incendios forestales que principalmente se generan en la ZA y afectan al ANP
	2. Cambio de uso de suelo	El crecimiento de la población local, principalmente en zona rural hace que haya presión para apertura de nuevas áreas para cultivo y ganadería
	3. Construcciones no autorizadas	Construcciones de viviendas y locales comerciales en zonas no autorizadas
<b>Santuario Nacional Megantoni</b>	Caza	Existe caza ilegal esporádica en el ANP
	Pesca	Existe pesca ilegal esporádica en el ANP
	Cambio de uso de suelos	Apertura de áreas productivos, construcción de vías de comunicación sin contra con permiso menos con herramienta sde gestión ambiental

**12. Respecto al ANP bajo su gestión, está actualmente implementando otro proyecto o programa financiado por otra Agencia de Desarrollo? Por favor marque la casilla respectiva con "X":**

<b>a. No</b>	5 x
<b>b. Si</b>	5 x

Por favor especifique el título del proyecto, los objetivos claves y la agencia financiadora del proyecto en implementación:

ANP	Título del Proyecto	Objetivos	Agencia Financiadora
<b>Reserva Nacional Matsés</b>	Construyendo áreas de conservación duraderas y fortaleciendo la gobernanza en el mosaico Yavari Samiria	<ul style="list-style-type: none"> <li>- Fortalecer el comité de gestión de la Reserva Nacional Matsés</li> <li>- Generar espacios de diálogo e identificar actores para la defensa de la reserva indígena Yavari Tapiche</li> </ul>	Gordon and Betty Moore Foundation
<b>Bosque de Protección Alto Mayo</b>	Contrato de Administración del Bosque de Protección Alto Mayo (BPAM)	<ul style="list-style-type: none"> <li>- Objetivo 1: Fortalecer la gestión institucional de la Jefatura del BPAM</li> <li>- Objetivo 2: Consolidar la plataforma social aliada a la gestión del BPAM</li> <li>- Objetivo 3: Fortalecimiento de la gobernanza del BPAM</li> <li>- Objetivo 4: Contribuir a la Sostenibilidad Financiera del BPAM</li> <li>- Objetivo 5: Gestión y Monitoreo.</li> </ul>	Conservación Internacional
<b>Reserva Comunal Amarakaeri</b>	Fortalecimiento de la cogestión en la Reservas Comunales Amarakaeri y Yanesha	<ul style="list-style-type: none"> <li>- Objetivo 1: Fortalecimiento del ECA-RCA y ANECAP para la cogestión de la RCA y un manejo inclusivo y participativo de los recursos naturales en beneficio del desarrollo sostenible de las comunidades nativas colindantes de la RC Amarakaeri.</li> <li>- Objetivo 2: Implementación de actividades económicas sostenibles bajo los acuerdos de implementación de los planes de vida articulados al PNCBMCC, que disminuyen la deforestación y conservan la RC Amarakaeri.</li> </ul>	Cooperación Belga para el Desarrollo y BOS+
<b>Reserva Comunal Yanesha</b>	Fortalecimiento de la cogestión en la Reservas Comunales Amarakaeri y Yanesha	<ul style="list-style-type: none"> <li>- Objetivo 1: Fortalecimiento de Amarcy y ANECAP para la cogestión de la RCY y un manejo inclusivo y participativo de los recursos naturales en beneficio del desarrollo sostenible de las comunidades nativas y anexos colonos colindantes de la RCY.</li> <li>- Objetivo 2: Implementación de actividades económicas sostenibles bajo los acuerdos tripartitos de conservación de bosques, que disminuyen la deforestación y conservan la RCY.</li> </ul>	Cooperación Belga para el Desarrollo- DGD y BOS+
	Diseño de un esquema de compensación de carbono a través de restauración de ecosistemas en el marco del REDD+ Indígena Amazónico – RIA en las Reservas Comunales de Amarakaeri y Yanesha y sus zonas de amortiguamiento.	Diseñar e implementar un modelo de intervención (un piloto) aplicado para la captura de carbono a través de la recuperación de tierras degradadas mediante reforestación en las zonas de amortiguamiento de las RCY, en el marco de REDD+ Indígena Amazónico – RIA	ONG belga de protección de los Bosques - BOS+
	Nuestros Futuros Bosques – Amazonía Verde en Reservas Comunales del Perú	Empoderar a los Ejecutores de los contratos de administración para implementar el modelo de cogestión en las RCs Amarakaeri, Yanesha y Machiguenga y buscar el desarrollo sostenible y de vida plena de las comunidades socias de las reservas	Conservación internacional - CI
<b>Santuario Nacional Megantoni</b>	Amazonia Resiliente	<p>Mayor resiliencia al cambio climático en áreas de conservación. Incluye estrategias para aumentar la superficie de ecosistemas conservados bajo distintas modalidades, mejorar la conectividad entre las áreas con derechos otorgados para la conservación, mejorar la planificación de 9 ANP, establecer acuerdos de conservación entre las comunidades y las áreas de conservación, y fortalecer la capacidad de gestión del SERNANP y otras instancias fuera del Sistema Nacional de Áreas Naturales Protegidas (SINANPE).</p> <p>Paisajes productivos resilientes al cambio climático amortiguan a las ANP. Incluye estrategias para mejorar la gobernanza, fomentar prácticas adecuadas de café y cacao, fortalecer la cadena de valor de productos no maderables, y promover mecanismos de capacitación en áreas rurales.</p>	GEF

13. ¿En qué medida **COVID-19 ha impactado** sobre la gestión y las actividades de conservación implementados por el ANP? Por favor marque la casilla respectiva con "X":

a. Impacto significativo	4 x
b. Impacto mediano	6 x
c. No hay impacto	

ANP	Por favor explique cómo COVID-19 ha impactado sus actividades:
<b>Parque Nacional Tingo María</b>	<ul style="list-style-type: none"> <li>- <b>Vigilancia y control del ANP:</b> Durante la cuarentena se disminuyó el número de patrullajes rutinarios al interior y en ZA.</li> <li>- <b>Actividad turística:</b> se han tenido restricciones del ingreso de visitantes a los sectores turísticos del ANP, el cual ha ocasionado que no se tenga recaudación.</li> <li>- <b>Actividad de gestión participativa:</b> se ha restringido las reuniones presenciales, realizando esporádicamente reuniones virtuales.</li> </ul>
<b>Reserva Nacional Matsés</b>	<ul style="list-style-type: none"> <li>- La ANP sufrió de recortes significativos de presupuesto en el plan operativo anual, lo cual obligó a la jefatura del área a priorizar actividades e implementar al personal guardaparque con materiales de limpieza y bioseguridad.</li> </ul>
<b>Reserva Comunal Machiguenga</b>	<ul style="list-style-type: none"> <li>- Participación y acompañamiento limitado de las comunidades beneficiarias (miembros del Eca Maeni)</li> <li>- Acceso restringido hacia el ANP y comunidades para la vigilancia y control</li> <li>- Limitada participación del personal en las actividades por el recorte presupuestal para el ANP</li> <li>- Dificultad en el cumplimiento de compromisos a nivel de plan maestro y convenios.</li> </ul>
<b>Bosque de Protección Alto Mayo</b>	<ul style="list-style-type: none"> <li>- Las actividades planificadas se tuvieron que postergar y nuevamente planificar para el año 2021, asimismo varias de las actividades que involucraban trabajo con las poblaciones se vieron suspendidas y recortas por el nivel de aforo para no generar aglomeraciones.</li> </ul>
<b>Parque Nacional del Río Abiseo</b>	<ul style="list-style-type: none"> <li>- Se restringió en muchas ocasiones el desplazamiento del personal de ámbito que radica a sus puestos de trabajo o viceversa. En el caso de Abiseo, la ronda campesina de los pueblos (Oriente y Occidente) no permitió el ingreso y salida de ningún morador, ello imposibilitaba que el personal bajara para su descanso en las fechas establecidas. Pese a la múltiple circunstancia fueron abastecidos en forma oportuna.</li> <li>- Se paralizaron todas las actividades que tenían que ver con socialización y aglomeración de población, como: proceso de actualización del plan maestro del ANP, vigilancia comunal y reuniones con el comité de gestión.</li> <li>- El ecosistema del ANP, durante la pandemia no se vio afectado por ninguna actividad antrópica, gracias a la vigilancia y control permanente de los puestos.</li> </ul>
<b>Reserva Comunal Amarakaeri</b>	<ul style="list-style-type: none"> <li>- Recorte del presupuesto, mayor presencia de actividades ilícitas en la ZA de RCA, disminución del aprovechamiento de RRNN y otras actividades económicas aprovechadas en la RCA y CCNN socias. Asimismo, la disminución de reportes de Vigilancia.</li> </ul>
<b>Reserva Comunal Yanesha</b>	<ul style="list-style-type: none"> <li>- Actividades incluidas en el POA no se realizaron, sobre todo las que incluían visitas de campo, reuniones, talleres.</li> <li>- No se desarrollaron patrullajes especiales cercano al ANP debido a la no transitabilidad.</li> </ul>
<b>Parque Nacional Cordillera Azul</b>	<ul style="list-style-type: none"> <li>- Disminución de intervención en campo sobre todo para el desarrollo de reuniones presenciales, educación ambiental no formal, relacionamiento comunitario y otras que conllevaba aglomeración de personas.</li> </ul>
<b>Santuario Histórico de Machupicchu</b>	<ul style="list-style-type: none"> <li>- Reducción de actividades de control y vigilancia hacia sitios vulnerables del ANP.</li> <li>- Reducción de las actividades de monitoreo biológico por temas presupuestales para salidas de campo.</li> <li>- Reducción de las actividades de coordinación e intervención con las poblaciones locales.</li> <li>- Disminución de casi el 95% de recaudaciones por concepto de ingreso de visitantes al ANP.</li> <li>- Reducción considerable en las actividades de mantenimiento de infraestructura (Puestos de control, casetas, refugios e infraestructura turística) del ANP.</li> </ul>
<b>Santuario Nacional Megantoni</b>	<ul style="list-style-type: none"> <li>- Todas las actividades que se desarrollan en campo fueron suspendidas como educación ambiental formal y no formal</li> </ul>

14. ¿En caso de haber impacto de COVID-19 dispone de una **respuesta estratégica** para su ANP?

Por Favor marque la casilla respectiva con "X":

a. No	2 x
b. Si	8 x

ANP	En caso positivo, por favor relacione los elementos claves de la estrategia:
<b>Reserva Comunal Machiguenga</b>	<ul style="list-style-type: none"> <li>- Implementación de servicio de internet en PVC clave.</li> <li>- Fortalecimiento de capacidades para el manejo de equipos y plataformas digitales.</li> <li>- Las tendencias fueron al desarrollo de acciones de manera virtual.</li> <li>- Se elaboró protocolos para las reuniones puntuales con beneficiarios.</li> </ul>
<b>Bosque de Protección Alto Mayo</b>	<ul style="list-style-type: none"> <li>- Se han implementado en un primer momento los monitoreos telefónicos y coordinaciones con las poblaciones bajo esta modalidad, en el caso de vigilancia y control se ha intensificado el monitoreo remoto a través de imágenes satélite. En los emprendimientos turísticos y posteriores reuniones con pobladores se han ido implementando acciones de protocolo que ayuden a minimizar al máximo el riesgo de contagio.</li> </ul>
<b>Parque Nacional del Río Abiseo</b>	<ul style="list-style-type: none"> <li>- Para salvaguardar el buen estado del ecosistema del ANP, se trabaja en forma articulada con las modalidades de conservación, como las concesiones para conservación (Los Otrongo, Maquizapa, Gran Ochanache, Monte Cristo y Alto Huayabamba) y concesiones de ecoturismos (Nikolov Pioneros) que rodean la colindancia del ANP.</li> <li>- En caso de sintomatología de Covid_19, se traslada al personal al establecimiento de salud más cercano, con todas las medidas de bioseguridad para su diagnóstico por los especialistas, posterior tratamiento si son necesarios y monitoreo constante. En el ANP se tuvieron 7 personal afectados no llegaron a extremos.</li> <li>- No sin antes precisando que el Parque Nacional del Río Abiseo, no hubo invasión alguna hasta la fecha y mucho más caza de animales silvestres.</li> </ul>
<b>Reserva Comunal Amarakaeri</b>	<ul style="list-style-type: none"> <li>- Se elaboró un documento específico, aprobado bajo la Resolución Jefatural el “Protocolo de Lineamientos y Medidas Frente al Covid-19 de la Cogestión de la Reserva Comunal Amarakaeri”.</li> <li>- Instalación de internet satelital en los PVC de RCA.</li> </ul>
<b>Reserva Comunal Yanasha</b>	<ul style="list-style-type: none"> <li>- Se programaron reuniones virtuales para el caso de la Comisión Ejecutiva del Comité de Gestión, se amplió la vigencia por 1 año más de la Comisión Ejecutiva.</li> <li>- Se tuvo como información de monitoreo lo reportado por el PNCBCC a través de las alertas tempranas.</li> </ul>
<b>Parque Nacional Cordillera Azul</b>	<ul style="list-style-type: none"> <li>- Se fortaleció la estrategia de monitoreo y vigilancia remota a través de un área SIG, tenemos reportes más frecuentes de cambio de cobertura vegetal y permite tomar acciones inmediatas.</li> <li>- Ha permitido formular la estrategia y plan de vigilancia y control del PNCAZ</li> <li>- Hemos desarrollado las capacidades del personal en el uso de herramientas digitales para el trabajo remoto.</li> <li>- Estamos diseñando la estrategia de comunicaciones y en paralelo hacemos difusión por radio sobre temas del ANP PNCAZ.</li> </ul>
<b>Santuario Histórico de Machupicchu</b>	<ul style="list-style-type: none"> <li>- Acciones de coordinación con la DGANP, OPP, GG para lograr el financiamiento de actividades prioritarias y de operatividad del ANP.</li> <li>- Acciones de coordinación y seguimiento presupuestal, asignado al ANP, a través de la Iniciativa Patrimonio Natural Perú – PdP.</li> </ul>
<b>Santuario Nacional Megantoni</b>	<ul style="list-style-type: none"> <li>- A través de las alianzas estratégicas se logró capacitar a docentes vía plataformas virtuales</li> </ul>

15. ¿Cuáles desafíos de conservación y gestión considera como las prioridades claves para ser atendidos en los próximos 5 años en relación al manejo de su ANP? Por favor explique:

ANP	Desafíos	Explicación
<b>Parque Nacional Tingo María</b>	Reporte de Alerta temprana	Verificar el reporte de alertas tempranas emitidas por el Programa Bosques y la DDE.
	Vigilancia remota a través del uso de drones	Adquisición y capacitación del personal del ANP para el uso de drones, con la finalidad de determinar posibles actividades ilícitas dentro del ANP.
	Realizar las gestiones necesarias que conducen a la auto sostenibilidad financiera del ANP.	A través de la actividad turística lograr los recursos necesarios que conduzcan a la auto sostenibilidad financiera del ANP.
<b>Reserva Nacional Matsés</b>	Sostenibilidad Financiera	Cubrir las brechas en personal y necesidades presupuestales resulta fundamental para el correcto cumplimiento de las actividades planificadas por la jefatura del ANP.
	Mantener el estado de conservación al 99.64% sin afectación	Poder mantener esta cifra (99.64%) del estado de conservación del ANP es el principal desafío para los próximos cinco años en cuanto a la gestión de la RN Matsés

ANP	Desafíos	Explicación
<b>Reserva Comunal Machiguenga</b>	Consolidar el sistema de Vigilancia y Control.	A través de la aplicación de la estrategia de VyC (acuerdos de conservación, Vigilancia comunal, acciones interinstitucionales)
	Ordenamiento Territorial en CCNN de la ZA	A través de sus documentos de planificación (planes de vida, estatutos)
	Funcionamiento de la Reserva de Biosfera	Como una oportunidad de gestión territorial que une a 2 regiones y visibilidad internacional.
<b>Bosque de Protección Alto Mayo</b>	Mantener el estado de conservación del ANP con respecto a ampliación de frontera agrícola.	Esto debido a que los pobladores al no salir a trabajar fuera del ANP y no tener ingresos económicos lo que han querido realizar es volver a apertura zonas que se estaban recuperando o ampliar frontera agrícola. Por eso es importante hacer prevalecer los lugares que son más frágiles y que son en muchos casos la razón de ser del ANP.
	Generar un control con respecto al ingreso de personas hacia el ANP.	En algunas zonas del país, principalmente costa el efecto de la pandemia ha sido fuerte y ya que por algunas zonas y en especial de la selva el efecto no ha sido mucho por lo tanto al haber un vínculo de familias hacen que se inviten a venir por la zona o regresar nuevamente como se da en algunos casos.
	Apoyar a los suscriptores y socios de la cooperativa a generar ingresos económicos que sean sostenibles con el ANP a través de los mecanismos que se viene trabajando	La dinámica económica es clave para que la población no tenga la necesidad de seguir ampliando fronteras agrícolas, esto mediante el aprovechamiento de productos que provengan del bosque y en el caso de cultivos no nativos de la zona como el café que mantengan el trabajo armonioso con su entorno como es el caso con los suscriptores de acuerdos de conservación.
<b>Parque Nacional del Rio Abiseo</b>	Implementación de Plan Maestro	La implementación del Plan Maestro de forma eficiente, efectiva y participativa entre el sector Público, privado y sociedad civil.
	Minería informal en ZA	La minería informal es muy visible, constante y frecuente que viene asentándose a lo largo de la zona de Amortiguamiento del ANP en especial en sector occidente, Provincia de Pataz. Durante los últimos tres años los mineros artesanales están optando la formalización mediante el Instrumento de Gestión Ambiental y Fiscalización para la Formalización de Actividades de Pequeña Minería y Minería Artesanal (IGAFOM) llegando a un total de 412 formalizados hasta la actualidad; si continúa ese ritmo, el ANP va verse vulnerable; desde el parque no se realizan monitoreo por el bajo presupuesto; sumado a ello que el sector competente no realizara un seguimiento y monitoreo de actividades mineras en el territorio y mucho más un control estricto del mineral.
	Incendios forestales (Pajonal)	Los incendios forestales en los últimos tres años, son mucho más notorios en el sector occidente, principalmente en las épocas secas del año, entre los meses de julio a noviembre; ellos parten de la zona de amortiguamiento del ANP, provocada por los pobladores locales, en algunos casos estos incendios ingresan al área natural protegida causando pérdidas de biodiversidad incuantificables propias de los ecosistemas de pastizales y matorrales montanos. Los incendios son socorridos por el personal del área, en algunos casos sin contar con los equipos necesarios para combatir el fuego, a pesar de todo, se hacen los esfuerzos al máximo como gestión para su control.
<b>Reserva Comunal Amarakaeri</b>	Elaborar un estudio de caso de Corredores Biológicos y conectividad de especies en sectores Camanti – Quincemil y Qosñipata.	Permitirá tomar mejores decisiones en la gestión del ANP, para el otorgamiento de derechos en ZA y la RCA.
	Mantener y/o incrementar el estado de conservación del ANP	Mediante la implementación adecuada y oportuna de los documentos de gestión y del Sistema de vigilancia y control de ANP
	Incrementar el nivel de participación de los actores del ámbito de la RCA en la gestión del ANP, bajo los mecanismos de acuerdos de conservación y otros.	Permitir realizar la gestión efectiva con la participación de diferentes actores y asumen compromisos tangibles.



ANP	Desafíos	Explicación
<b>Reserva Comunal Yanesha</b>	La delimitación total del ANP (Monumentación de hitos)	-
	Acciones para el abandono de las áreas ocupadas por invasores en la zona Norte del ANP	-
	Promoción de actividades productivas hacia los beneficiarios del ANP cercanos al ANP	-
	Mejorar con la Implementación de la estrategia de comunicaciones	-
<b>Parque Nacional Cordillera Azul</b>	Lucha contra la tala ilegal y deforestación	El SERNANP lidera este tema en las ANP sin embargo, se requiere un mayor compromiso de otras entidades ambientales y un rol más activo de las fiscalías y los juzgados para resolver los casos de delitos ambientales.
	Implementación de Actividades Económicas Sostenibles-AES	Es una prioridad de la gestión PNCAZ promover las AES que permita mejorar la calidad de vida de las familias vecinas al ANP y a la vez permitirá fortalecer la red de aliados del ANP para la conservación y Aprovechamiento sostenible.
	Articulación Territorial y Sostenibilidad Financiera	Consideramos clave el rol de las entidades locales, regionales y nacionales en el territorio para mejorar los indicadores internacionales de Lista Verde UICN y para fomentar las oportunidades en las familias ubicadas en la ZA. Asimismo, es indispensable para el ANP diseñar e implementar un mecanismo de sostenibilidad a perpetuidad a partir de los fondos REDD+
<b>Santuario Histórico de Machupicchu</b>	Lograr la sostenibilidad financiera del ANP	-
	Lograr el saneamiento físico – legal integral del ANP	-
	Lograr el ordenamiento integral de la actividad turística al interior del ANP	-
<b>Santuario Nacional Megantoni</b>	Investigación	Desarrollar investigación en el ANP, se ha generado poca información
	Monitoreo Ambiental	Es necesario desarrollar monitoreo de especies para orientar mejor la gestión

**16. ¿Cuáles actividades de generación de ingresos considera como opción factible de financiamiento sostenible para implementar actividades de gestión y conservación en su ANP? Por favor explique:**

ANP	Actividad de Generación de Ingresos	Explicación
<b>Parque Nacional Tingo María</b>	Actividad turística	El PNTM es un ANP de uso Indirecto, donde se protege con carácter de intangible la biodiversidad, sin embargo se desarrolla actividad turística en zonificación establecida para el desarrollo de esta actividad.
<b>Reserva Nacional Matsés</b>	Comercialización de hojas de Irapay para techado de viviendas.	Las comunidades asentadas en la zona de amortiguamiento de la RN Matsés, realizan aprovechamiento sostenible del recurso Irapay ( <i>Lepidocaryum tenue</i> ) este recurso es utilizado para el techado de las viviendas.
	Peces ornamentales	En la zona de amortiguamiento (sector río Blanco) se puede apreciar que las comunidades de Frontera y España realizan pesca ornamental, esta actividad podría ser considerada como factible para el financiamiento sostenible a ser implementado en la gestión y conservación del ANP
	Artesanías Matsés	Identificado como actividad potencial para generar ingresos económicos a las familias Matsés. Cabe señalar que antes de la Pandemia del COVID-19, las artesanas Matsés realizaron su participación en distintas ferias, obteniendo así un ingreso por sus artesanías, esto se dio gracias a la gestión de la jefatura del ANP.
	Turismo	En el plan maestro del ANP se encuentra identificado, de acuerdo a la zonificación del área, la zona de uso turístico. Asimismo, en el año 2019, con

ANP	Actividad de Generación de Ingresos	Explicación
		el apoyo técnico de la jefatura del ANP, la comunidad nativa Matsés logró obtener un premio en marco al programa Turismo Emprende del Ministerio de comercio exterior y Turismo.
<b>Reserva Comunal Machiguenga</b>	Aprovechamiento de recursos	A través de la implementación de planes de manejo
	Sinergias para apalancamiento de fondos con instituciones	Articulación territorial
	Mecanismos de retribución por servicios eco-sistémicos -MERESE	Considerando que el ANP cuenta con fuentes importantes de recursos hídricos.
	Incorporación del ANP a la REDD Indígena Amazónica (RIA)	Ha permitido alcanzar la sostenibilidad financiera y garantizar la contribución a la mitigación del cambio climático a largo plazo.
	Compensación por costos incrementales de afectación a la cobertura vegetal.	Compensación por el proyecto desarrollo lotes de hidrocarburos, como compromisos en sus EIA detallado (retribución por afectación).
<b>Bosque de Protección Alto Mayo</b>	Mecanismo por Retribución de Servicios Eco-sistémicos (MERESE)	Como el ANP es de categoría Bosque de Protección es fuente principal de recursos hídrico para las poblaciones que se beneficia de ello y al generar un pago se estaría generando un colchón económico que ayude a dar sostenibilidad al ANP para los fines de conservación o para proyectos alternativos que ayuden a mejorar su estado de conservación.
	Bonos por carbono	Las ANP por el estado de conservación de los bosques almacenan carbono por lo que se podría seguir implementando el Mecanismo REDD+ para poder generar esos bonos y vender para generar recursos económicos.
<b>Parque Nacional del Rio Abiseo</b>	En la actualidad PN del Rio Abiseo, no cuenta con ingresos	Tampoco existe alguna actividad que genera ingresos económicos y su misma categoría no la permite. El turismo no rentable en ANP, por la poca afluencia al año.
<b>Reserva Comunal Amarakaeri</b>	Recursos paisaje-Turismo, a través del otorgamiento de derechos en la modalidad de contratos de servicios turísticos y otros.	Estas actividades constituyen una oportunidad de sostenibilidad financiera para la RCA
	El ECA Amarakaeri se constituya una empresa social	-
	Pago por servicios ambientales a través del RIA Amarakaeri.	-
	Suscripción de contrato de aprovechamiento de Recursos Naturales.	-
<b>Reserva Comunal Yanasha</b>	Articulación con el PNYCH para incluir a la Estación Biológica de Paujil como recurso turístico.	-
	Articulación con el Gobierno Regional de Pasco. Municipalidad Provincial de Oxapampa y Municipalidad Distrital de Palcazú para formulación y desarrollo de proyectos relacionados a la gestión de las ANP	-
	Formulación de proyectos bajo el enfoque de Invierte pe.	-
	Articulación del PP 057 con el GR, MPO y MDP.	-
<b>Parque Nacional Cordillera Azul</b>	Cacao en Sistemas Agroforestales - SAF	Es una de las actividades más arraigadas en la ZA PNCAZ, al intervenir en esta actividad se puede fortalecer la cadena productiva con responsabilidad ambiental y mediante el mecanismo de acuerdos de conservación que firmen el SERNANP y las familias/organizaciones de la ZA PNCAZ.
	Cultivo de Hortalizas en poblados de ZA	Esta actividad es de fácil adaptación a los poblados vecinos de la ZA, que serían impulsados directamente por los Guardaparques como una forma de

ANP	Actividad de Generación de Ingresos	Explicación
		extensión y relacionamiento comunitario, ello permitirá el involucramiento de género (mujeres), promover la alimentación saludable y la venta de hortalizas a mercados locales. La JPNCAZ ya lo viene impulsando en los Puestos de Vigilancia y Control.
<b>Santuario Histórico de Machupicchu</b>	Regulación e implementación del Acceso Amazónico.	
	Implementación de otorgamiento de derechos – Aprovechamiento de recursos de flora.	
<b>Santuario Nacional Megantoni</b>	Turismo	El ANP tiene un gran potencial para el turismo, se registran visitantes de forma creciente y sostenida en los últimos años

17. ¿Cuáles grupos y/o organizaciones ha identificado como los principales actores y beneficiarios en la gestión de su ANP? Por favor explique:

ANP	Actor / Beneficiario	Rol
<b>Parque Nacional Tingo María</b>	Población local con Acuerdos de Actividad Menor para el aprovechamiento del recurso natural paisaje	El PNTM cuenta con 25 acuerdos de Actividad Menor para el aprovechamiento del recurso natural paisaje que beneficia a igual número de familias (orientadores locales, venta de alimentos, snacks, bebidas, tomas fotográficas, servicios higiénicos, artesanías, alquiler de vestuarios).
	Población local con Acuerdos de Conservación	El PNTM cuenta con 01 Acuerdo de Conservación con la Cooperativa Agro Industrial y de Servicios Bella Monzón y con la Empresa Innova Agroalimentaria. Estos benefician a los socios de la Cooperativa y a los pobladores locales de la Zona de Uso Especial y Zona de Amortiguamiento con la compra de insumos para la elaboración de helados artesanales.
	Población local con Acuerdos de Actividad Menor para el aprovechamiento de abejas meliponas (abejas nativas)	El PNTM cuenta con 10 Acuerdos de Actividad Menor para el aprovechamiento de abejas meliponas en la Zona de Uso Especial del sector Río Oro, beneficiando a 10 grupos de familias.
	Asociación de mariposeros sector Huayruro, que cuentan con Contrato de Aprovechamiento.	El PNTM cuenta con 01 Contrato de Aprovechamiento de Mariposas en el sector Huayruro, lo cual beneficia directamente a 04 familias.
<b>Reserva Nacional Matsés</b>	Comunidades nativas y campesinas	Principales beneficiarios de los recursos renovables al interior del ANP.
	Centro para el Desarrollo del indígena Amazónico	Principal aliado estratégico en la gestión de la RN Matsés, actualmente apoya con financiamiento para el cumplimiento de acciones planificadas por la jefatura del ANP
	Wildlife Conservation Society	Aliado estratégico en la gestión del ANP, actualmente apoya activamente en el proceso de obtención para la certificación del estándar Lista Verde de la UICN.
<b>Reserva Comunal Machiguenga</b>	ECA Maeni	Cogestionar la RCM
	Comunidades nativas	Apoyar en la conservación del ANP a través de la vigilancia participativa, acuerdos de conservación. Incluir a la RCM dentro de sus planes de vida
	Asociaciones	Apoyar en la vigilancia de las ANP y en actividades de conservación del ANP
	Municipios	Articular a los documentos de planificación interinstitucional (Firmar adendas de convenios que se implementan a través de planes de trabajo). Cumplir la normas y procedimientos requeridos para la implementación de proyectos en la ZA.
	Instituciones Públicas	Asumir compromisos en la gestión del ANP.
<b>Bosque de Protección Alto Mayo</b>	Cooperativa de Servicios Múltiples Bosques del Alto Mayo (COOPBAM)	Asocia a los suscriptores de acuerdos de conservación que firmaron con SERNANP jefatura del Bosque de Protección Alto Mayo. Busca la articulación a mercados especiales de café amigable con el ambiente, permitiendo que los socios suscriptores de acuerdos de conservación tengan mejores ingresos económicos,

ANP	Actor / Beneficiario	Rol
		Actualmente la COOPBAM se ha expandido hacia la región Amazonas, Comunidad nativa Alto Mayo y Moyobamba.
	Comité de turismo y vigilancia Urkuchaki	Formado por pobladores del sector Nueva Zelandia ubicado al interior del ANP. Son suscriptores de acuerdos de conservación que realizan actividades de ecoturismo orientado a turismo rural y, además cuidan el espacio que comprende su sector para mantenerlo conservado.
	Comités de mujeres del BPAM	Son 15 comités conformado por mujeres que se dedican a las manualidades a través del bordado y artesanía con paja bombonaje. Ellas generan sus ingresos y apoyan a difundir la riqueza del BPAM, además de ser voceras en el núcleo familiar sobre la importancia del ANP.
	Frente de Defensa de los Intereses de Rioja	Es una plataforma de lucha en Rioja, que defiende los intereses de la provincia de Rioja en diferentes temas, incluyendo la conservación de los bosques.
	Suscriptores de acuerdos de conservación	Aliados de la gestión que firman un compromiso a través de los acuerdos, siendo los principales de no deforestar, no utilizar agroquímicos, entre otros.
<b>Parque Nacional del Río Abiseo</b>	Comité de Vigilancia Comunal de San Juan del Abiseo	Cuya finalidad es coadyuvar el manejo y conservación de los recursos naturales a través de la participación Voluntaria, integrado por 14 personas, entre mujeres y hombre, por el sector oriente del ANP.
	Comité de gestión del ANP integrado por 35 organizaciones.	El Comité de Gestión del Parque Nacional del Río Abiseo es el espacio de concertación donde intervienen voluntariamente diversos actores, públicos y privados en el que se genera una participación colectiva orientada a velar por el buen funcionamiento del ANP, así como el cumplimiento de sus fines y objetivos, de conformidad con lo establecido en la normatividad vigente aplicable. Tiene como ámbito de acción el área comprendida en el Parque Nacional del Río Abiseo y su Zona de Amortiguamiento, ubicado en el distrito de Huicungo, provincia de Mariscal Cáceres, departamento de San Martín y las Provincias de Pataz y Bolívar en el Departamento de la Libertad.
	Comité de Vigilancia Comunal Los Andes-Los Alisos	Cuya finalidad es coadyuvar el manejo y conservación de los recursos naturales a través de la participación Voluntaria, integrado por 17 personas, entre mujeres y hombre en el sector occidente del ANP.
	Concesiones de conservación; conformado por 10 titulares.	El 100% de los titulares de las concesiones de conservación integran al comité de gestión del ANP.
	Beneficiarios de Hoja de Palma y pasto natural del ANP (APEGAB)	
<b>Reserva Comunal Amarakaeri</b>	COHARYIMA	Actualmente lidera como presidente del Comité de Gestión de la RCA, un miembro integrante del ECA Amarakaeri.
	ECA MARAKAERI	En marco de la Cogestión de la RCA, es Coadministrador de la RCA, está constituido por 10 Comunidades Nativas Socias de RCA, de los pueblos Indígenas Harakbut, Yine y Matsigenka.
	FENAMAD	Organización Indígena Regional de Madre de Dios, y representante de las CCNN, miembro integrante del ECA Amarakaeri.
	COICA	La Coordinadora de las Organizaciones Indígenas de la Cuenca Amazónica es una organización transnacional que reúne a diferentes organizaciones indígenas de la cuenca del Amazonas.
	ANECAP	Ente representante de las 10 Ejecutores del Contrato de Administración de la Reservas Comunales del Perú.
<b>Reserva Comunal Yanasha</b>	Jefes de comunidades y líderes de comunidades y anexos	Apoyan en la gestión del ANP
	Productores, agricultores, Asociaciones productivas, artesanales, etc. Ubicados en la ZA del ANP.	Desarrollan actividades productivas en sus comunidades

ANP	Actor / Beneficiario	Rol
	Posesionarios de derecho adquirido ubicados en la ZUE del ANP	Fortalecer las normas de uso por su condición.
	Estudiantes del nivel primario y secundario ubicados en la ZA del ANP	Promover la educación ambiental a los estudiantes
	Vigilantes comunales	Apoyo al ANP en diferentes acciones de vigilancia
<b>Parque Nacional Cordillera Azul</b>	Comité de Gestión	Apoyo a la gestión del ANP
	Comunidades Nativas	Conservación y Aprovechamiento de recursos del ANP y ZA
	Rondas Campesinas	Vigilancia de zonas boscosas que colindan con el ANP
	Federación de Comunidades Nativas Kaktaibo	Apoyo en la protección del territorio de la población indígena en aislamiento voluntario, que colinda con el ANP (Padre Abad, Ucayali)
	Organización de productores de cacao y café	Producción sostenible de café y cacao en ZA con enfoque cero deforestación
<b>Santuario Histórico de Machupicchu</b>	Población rural y urbana del SHM (cultural, económico)	Conservación del área natural garantizando la continuidad de servicios eco-sistémicos y ambientales a las poblaciones mediante el desarrollo de proyectos eco-sostenibles
	Sector Turismo (todos los actores involucrados que desarrollan y/o prestan servicios en el SHM)	Conservación del Patrimonio Natural y Cultural
<b>Santuario Nacional Megantoni</b>	Agricultores de la Za	Vigilantes comunales a través de acuerdos de conservación

18. ¿Cuáles organizaciones participan de manera funcional y activa en el Comité de Gestión de su ANP y de qué tipo de organización se trata (autoridad local, autoridad regional, organización comunitaria, organización indígena, organización del sector privado, ONG)? Por favor explique:

ANP	Organización	Tipo
Parque Nacional Tingo María	Municipalidad Provincial de Leoncio Prado	Gobierno local
	Empresa Innova Agroalimentaria	Sector privado
	Universidad Nacional Agraria de la Selva y la Agencia Agraria de Leoncio Prado	Institución pública
	Asociación de Turismo Los Guardianes de la Cabecera de la Bella Durmiente	Organización privada/comunitaria
Reserva Nacional Matsés	CEDIA	Organización No gubernamental
	Dirección Regional de la Producción (DIREPRO), GERFOR (Sub gerencia Provincia Requena) y GERFOR (Sub gerencia Provincia Yaquerana)	Autoridad Local
Reserva Comunal Machiguenga	COGA-TGP: participa de manera activa en las actividades que desarrolla el CG, contribuye al fortalecimiento de capacidades y acciones para la toma de decisiones	
	PRONATURALEZA: Convoca a las reuniones ordinarias y extraordinarias del CGU, acompaña en reuniones clave a la cogestión.	
	AVISA SZF Perú: viene financiando actividades en beneficio de la gestión y se implementan a través de planes de trabajo del ANP.	ONG
	DDC – Cusco: participa en la reuniones ordinarias y extraordinarias. Fortalecimiento de capacidades en el marco del compromiso del plan de trabajo del CG.	Autoridad Regional
	Comunidades socias del ECA Maeni	A través de la vigilancia participativa del ANP
	Cooperativa de Servicios Múltiples Bosques del Alto Mayo-COOPBAM	Usuarios de los Recursos Naturales

ANP	Organización	Tipo
Bosque de Protección Alto Mayo	Frente de Defensa de los Intereses de Rioja (FEDIR), Comité de turismo y vigilancia Urkuchaki, Comité de Gestión Destino Alto Mayo, Asociación de Desarrollo Económico Sostenible "Unidos por Palestina" – ADESUP, Comité de vigilancia Gallito de las rocas, Comunidad Campesina de San Miguel de La Reina	(Poblaciones, Comunidades, Organizaciones Civiles)
	Dirección Regional de Comercio Exterior y Turismo DIRCETUR, Municipalidad Provincial Rioja, UGEL – Rioja, Moyobamba y Bongará, Municipalidad Distrital de Chisquilla, Subprefectura Rioja, DIRMEAMB-PNP, EPS - Rioja S.A, Prefectura Regional de San Martín, Municipalidad Distrital de Pardo Miguel	Entidades del sector Público
	Universidad César Vallejo – Moyobamba, Asociación de Empresas de Servicios Turísticos de Rioja (AESTUR), Ecochuya, AGROVAZA,	Entidades del Sector Privado
	Asociación Ecosistemas Andinos ECOAN, Conservación Internacional – CI, Yunkawasi, ONG AMPA, AECSAM	Organizaciones sin fines de lucro y otras Instituciones de cooperación
Parque Nacional del Rio Abiseo	Municipalidad Provincial Mariscal Cáceres	Autoridad local
	Fundación Amazonia Viva, Amazónicos por la Amazonia (AMPA)	ONG
	Municipalidad Provincial Pataz, Municipalidad Distrital de Huicungo, Sub Prefectura Distrital de Patáz, Sub Prefectura Distrital de Huicungo,	Autoridad local
	DIRCETUR – Huallaga Central, Autoridad Regional Ambiental -San Martín, Gerencia de Desarrollo Social – GORE San Martín, Proyecto Especial Huallaga Central, Gerencia Territorial Huallaga Central – Juanjui, Gerencia de Ambiente – GORE La Libertad	Autoridad Regional
	AHORA Mariscal Cáceres, Asociación Nikolov Pioneros, Asociación de Protección de Bosques Comunes Dos de Mayo Alto Huayabamba (APROBOC), Cooperativa Agraria APAHUI Ltda. Huicungo, Amazonía Justa, Asociación Valorando Sosteniblemente La Cultura y el Ambiente "AVASCA", Comité de Vigilancia San Juan del Abiseo, Empresa HCJB Kayros SAC, Asociación de Conservación Las Hurmanas de San Juan del Abiseo – ASHUSJA, Ronda Campesina Gran Pajatén – CC Gran Ochanache, Central Única de Rondas Campesinas del Distrito de Pataz,	Organización
Reserva Comunal Amarakaeri	COHARYIMA, FENAMAD y Asociación Nacional de Ejecutores de Contrato de Administración (ANCA)	Organización Indígena
	DRIS, ACCA y SZF	ONG
Reserva Comunal Yanasha	Desarrollo Rural Sustentable (DRIS)	ONG
	Programa Nacional de Conservación de Bosques con Mitigación al Cambio Climático (PNCBMCC)	Apoyo a las comunidades que tienen convenio con el PNCBMCC
	Alianza Cacao	Institución que apoya actividades técnicas para mejorar la producción de cacao en la zona.
	FECONAYA	Promoción de acciones en favor de las comunidades nativas.
Parque Nacional Cordillera Azul	Agencia Agraria Padre Abad	Agricultura
	CIMA	Ejecutor de Contrato de Administración PNCAZ
	Comunidad Nativa Yamino	Comunidades nativas
	FENACOKA	Federación de comunidades nativas
	Comité de Vigilancia Ambiental Comunal Progreso	Organización de 2do. Grado
Santuario Histórico de Machupicchu	Sector Turismo (AATC, Patronato de Machupicchu, Consettur)	Sector Privado
	GORE- Cusco, Gerencia de Medio Ambiente y Recursos Naturales, Gerencia Regional de Turismo	Autoridad Regional
	Municipalidad Distrital de Machupicchu	Autoridad Local
	Asociación para la Cuenca Amazonica,	ONG



ANP	Organización	Tipo
	Sectores: Mandor, San Miguel, Intiwatana, wayllabamba	Grupos campesinos
Santuario Nacional Megantoni	Autoridades locales	Municipalidad
	Empresas	Sobre todo las que transportan gas
		ONG
		Productores agrícolas
		Instituciones académicas

#### 19. ¿Cuáles recomendaciones tiene para mejorar la implementación del proyecto GEF6-PdP?

##### Por favor especifique:

##### En temas de comunicación y visibilización del proyecto:

- Considerando que trabajamos en una reserva comunal la comunicación de avances debe ser amigable y entendible para mejor involucramiento de actores socios del ECA Maeni.
- Mejorar el Canal de comunicación fluido entre el equipo técnico encargado de implementación y los beneficiarios (Jefatura de RC Amarakaeri)
- Realizar la difusión de los logros del Proyecto GEF6-PdP
- Compartir las lecciones aprendidas del Proyecto GEF6-PdP para la gestión efectiva de las ANP
- Continuar con el desarrollo de reuniones permanentes.

##### En términos de operatividad del proyecto:

- Que el Proyecto GEF6-PdP, continúe apoyando con el cierre de brecha más allá de las fechas programadas.
- Agilizar los requerimientos solicitados.
- Implementar nuevas inversiones y al mismo tiempo que se incrementen los fondos de las inversiones para el cumplimiento de las distintas líneas de acción consignadas en el plan maestro del ANP. En este sentido, este Proyecto debe focalizarse en aquellas debilidades que presenta esta ANP. Asimismo, las amenazas latentes y potenciales que afectan directamente al ANP puedan ser abordadas a través del incremento presupuestal para los gastos operativos de la RN Matsés.
- Que se continúe implementando este proyecto de forma paralela a lo establecido de manera que se garantice la conservación del ANP.
- Tener un protocolo de monitoreo sobre la implementación, que sea entendible y que ayude a enviar las alertas para mejorar o actualizar alguna intervención.

##### En términos logísticos:

- Los requerimientos logísticos como laptop de necesidad básica del personal puedan agilizarse.
- Todas las actividades se realizan de acuerdo a la necesidad, pero se deberían operatividad las adquisiciones de equipos y bienes, para facilitar las acciones de vigilancia y control del ANP, para mayor efectividad del cumplimiento de metas en la gestión efectiva del área.

## Annex 5b: Survey for Trained Staff (response rate 45%)

### Annex 5b.1 Summary of Survey Findings

The survey was sent to 51 staff that were trained in one or more themes by the project; of these 23 (45 %) responded (of which 65% were women). The respondents include staff from SERNANP headquarters, field staff, two project staff and one consultant.

91 % of the respondents consider that the project is well articulated with respect to other projects in the NPA sector in Peru, especially as it is inserted in the institution and follows the strategic objectives of it, and contributes to the development of financial mechanisms that can be used by all the NPAs. For some the difference between the project and the wider PdP initiative is not clear.

Regarding the topics in which they have been trained 57% of the respondents mentioned financial mechanisms, which was followed by gender (43%), safeguards (39%), financial sustainability(17%), adaptive management (17%), complaints mechanisms and interculturality (13%) and some technical issues that were only mentioned once.

Among the main messages that were reproduced regarding the learning contents most references were made to elements related to the training on financial mechanisms: 22% of the respondent referred to the importance of economic valuation for the development of potential products, 17% mentioned the need of sustainable business plans, 17% referred to the application of basic economic concepts to the financial sustainability of NPAs. Others pointed at the need for identification of financial opportunities for NPAs, financial and strategic planning and communication strategies for marketing of products from NPAs. The social themes appeared especially to have opened the eyes of the respondents with respect to the way they can approach people and clients in a positive and open way.

The question whether the training considered the specific requirements of the target group was responded positively by 91% of the respondents. This applied both to the design as the level, among others. Only one respondent considered that the level had been too low and the course too general.

Of the respondents 83% indicated to have applied the obtained knowledge in practice, while others (9%) indicated not to have had the opportunity yet.

Also, 65% of the respondents indicated to have shared the obtained knowledge with colleagues, which had happened in an array of possibilities, including the repetition of the course to colleagues, sharing of PPT files, sharing it during technical discussions, or simply by talking about it.

Several recommendations from course participants on the training process were reproduced, the main one being that it had been suggested to include more time for practical learning and examples (22%)

A question on the extent to which the respondents were informed on the objectives of the GEF6-PdP project was answered by 30% with “very well informed” and by 57% as “moderately informed”. Another 9% responded to know about the PdP Initiative, but not about the project.

A question on - considering the objectives of the project - which topics should be further strengthened through training clearly indicated the interest for further training with respect to sustainable fundraising alternatives for NPAs (26%), development of business plans and other related economic issues (17%); piloting of financial mechanisms, including carbon credits (17%), methodologies for economic valuation and development of Financial Mechanisms with the private sector, among others.

Other themes suggested ranged from technical management issues, such as bio-monitoring, Vigilance and Control, zoning and NPA management to trainings on strategic planning, gender and safeguards or environmental education. At least there seems to be a strong interest in further capacity building.

A question on the main achievements of the project so far was not responded to by 9%, while 22% answered that they did not know them. From those that answered it became clear that the project's role at the start of the PdP Initiative, achieving the signing of the MoU and supporting its operationalization has been well appreciated (17%). Further, support to NPAs in the development of Vigilance and Control plans or the NPA management plans was mentioned by 26% of the respondents, while another 39% made reference to support to NPAs with equipment, vehicles, goods, internet services and infrastructure, which they had been in need for during many years. Another 17% mentioned consultancies, support on development of tourism plans and support on monitoring protocols for NPAs. So, there is strong appreciation from the field level, but also SERNANP HQ staff indicated to appreciate the permanent support received.

On the question whether the respondent knows the participation mechanisms that the project applies for its development 61% indicate that they do not know them; 26% consider the gender, social safeguards approach and complaints mechanisms as an important participation strategy, while others refer to communication mechanisms as monthly meetings or improved internet services provided.

On the question whether the project can improve its efficiency and/or effectiveness 61% answered affirmative. Suggestions on "how" this could be done ranged from "by communicating better on its objectives, making clear that it is not the same as PdP", to "providing more technical support", "speeding up procedures for delivery of support to NPAs", and "involving more with important public sector players at APN level".

A question on what the respondent considers the most important conservation challenges, delivered a very wide set of concerns to be tackled, including many in the field of sustainable finance and financial mechanisms, as well as with respect to applying PdP in the other regions of the country, active involvement of the (native) population in NPA management, involvement with other sectors that are developing their projects in the same regions, increasing population pressure, vigilance and control issues (including introduction of new technologies) and strategic planning.

## Annex 5b.2 Consolidated Survey Responses

On the following pages the responses received from the respondents are presented in a structured way, making use of the original survey format prepared by the ET.

**Evaluación de Medio Término del proyecto WWF GEF6-PdP  
Asegurando el Futuro de las Áreas Naturales Protegidas del Perú (2018-2024)  
implementado por SERNANP en el contexto de la Iniciativa Patrimonio Natural del Perú**

**Guía de encuesta para personal capacitado por el proyecto, agosto 2021**

<b>Numeros</b>	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23
<b>Total</b>	23
<b>Cargo</b>	Field staff/specialist (12) ; consultant (1); SERNANP HQ specialist of DGANP/DDE (8); project staff (2)
<b>Gender</b>	female (15) ; male ( 8 )

**1. ¿Considera que el proyecto en mención se encuentra articulado a otros proyectos implementados en las áreas protegidas del Perú? Por favor marque la casilla respectiva con "X":**

<b>a. Si</b>	<b>21</b>	<b>En qué forma:</b>	<ul style="list-style-type: none"> <li>- Está asociado a los objetivos prioritarios de conservación y la planificación estratégica de las ANPs y SINANPE (3)</li> <li>- Coordina con las demás Unidades del SERNANP referente los MFs, el POA y además facilita el traspaso de conocimientos (3)</li> <li>- En la implementación y búsqueda de mecanismos financieros que no sólo van a impulsar el desarrollo de un proyecto, sino de todos los que se vienen desarrollando dentro de las ANP (3)</li> <li>- Al trabajar conjuntamente con la Unidad de Coordinación de PdP, la iniciativa Patrimonio Natural del Perú (2)</li> <li>- ¿Hace lo mismo que la iniciativa PdP o es lo mismo?, se pregunta un entrevistado.</li> <li>- Ha sido desarrollado con y por Sernanp, lo cual asegura que las necesidades reales de la gestión están cubiertas y alineadas a otras intervenciones en ANPs. (1)</li> <li>- Complementa resultados a lograr como es el caso del Proyecto Fortalecimiento de la gestión del PN Sierra del Divisor y el PN Yaguas.(1)</li> <li>- La implantación del Proyecto, se articula al ANP, a nivel de a).-gestión del programa, b).-anp con control y vigilancia permanente, c).-instrumentos de planificación y desarrollo en anp elaborados (Plan Maestro), d).-desarrollo de espacios participativos para la conservación de los recursos naturales y e).- ANP con saneamiento físico legal, para consolidar y mejorar la gestión efectiva del ANP.(1)</li> <li>- Buscan el mismo fin como es mejorar la gestión y conservar la biodiversidad, en las actividades y tareas, conforman 04 ANP al Proyecto GEF6-PdP, contribuye a la conservación de las ANP, a las actividades que realizan el ANP y ECA Maeni, implementando la estrategia de salvaguardas, apalancando fuentes de financiamiento como un solo mecanismo y articulado al POA.(1)</li> </ul>
<b>b. No</b>	<b>2</b>	<b>¿Por qué no?</b>	<p>No conoce a profundidad otros proyectos implementados (1)</p> <p>En el ANP del SN Tabaconas Namballe, actualmente solo se está desarrollando el proyecto WWF GEF6-PdP</p>

**2. ¿En cuáles de los siguientes temas ha recibido capacitación por parte del proyecto en mención:**

Por favor marque la casilla respectiva con "X":

<b>a. Género:</b>	10	
<b>b. Salvaguardas</b>	9	
<b>c. Mecanismos financieros</b>	13	
<b>d. Consentimiento previo, libre e informado</b>	3	
<b>e. Otros (por favor especifique):</b>	8	-Sostenibilidad Financiera (4);

- Interculturalidad, Mecanismo de Atención de Quejas Consultas y Sugerencias. (MAQS) (3)
- manejo adaptativo y estándares abiertos para la conservación (4)
- implementación de medidas de bioseguridad (1),
- Manejo adecuado y usos de combustibles (1)
- Cadenas de resultados, teoría de cambio (1)

### 3. ¿Cuáles han sido los principales aprendizajes en este proceso de formación?

#### Por favor explique:

##### Sostenibilidad financiera:

- Conocer las principales metodologías existentes para generar sostenibilidad (1)
- Que no todas las metodologías funcionan por igual, depende del caso en concreto (1)
- Conocer los canales de comunicación existentes para llegar al público objetivo (1)
- Si bien gran parte de los temas fueron del campo económico, también se consideraron tópicos de estrategias de comunicación, los cuales fueron de gran ayuda (al menos para los especialistas en ciencias duras), para hacer posible la transmisión de los mensajes muchas veces netamente técnicos. (1)
- Bases económicas, Planificación financiera, Oportunidades de financiamiento, Valoración económica, Planes de negocios sostenibles (1)

##### -Mecanismos financieros:

- Desarrollar la **valoración económica** de productos potenciales para su aprovechamiento. (5)
- Desarrollo de **planes de negocios** sostenibles para productos generados en las ANPs. (4)
- **Conceptos económicos** (Demanda, oferta, costos y beneficios) aplicados a la sostenibilidad financiera en ANP (4)
- Identificación de **oportunidades de financiamiento** que ayuden a la sostenibilidad económica del ANP. (3)
- Identificar y desarrollar **estrategias de comunicación** para la difusión y marketing de los productos generados en las ANPs. (3)
- Identificar y desarrollar los **pasos de la planificación estratégica y financiera** en ANPs. (2)
- Valoración contingente (1)
- Sistematización de experiencias y lecciones aprendidas (1)
- Reuniones recurrentes sobre las coordinaciones, guiado de los requerimientos (1)
- Saber cuánto esfuerzo demanda una estrategia y planificar financiera y técnicamente su viabilidad, así como priorizar con los actores que se sumen a la gestión (1)
- Tener claridad de qué información se necesita reportar y así generar indicadores que permitan luego de la aplicabilidad de la estrategia medir resultados e impactos para evaluar la efectividad de la gestión (1)
- Las diferentes formas de financiamiento que podemos tener en las ANP y cómo articular estas fuentes de financiamiento con actividades de inversión privadas para que a través de diferentes mecanismos como el caso de compensación ambiental se cierren brechas en las ANP. (1)
- Las diferentes metodologías para la valoración económica de servicios eco sistémicos los cuales pueden ser utilizados para cuantificar el impacto sobre diferentes denuncias ambientales en las ANP. (1)
- Trabajo en equipo necesario entre las diferentes unidades del SERNANP y las jefaturas (1)
- Las actividades realizadas en las áreas sin objetivos económicos claros no llegan a buen puerto (1)

##### Salvaguardas y Género:

- Las salvaguardas son políticas, principios, criterios, protocolos, procedimientos o mecanismos para minimizar los riesgos en personal del ANP en base a las acciones diversas que se desarrollan, que van desde la parte social, ambiental, económico el cual es fundamental para el cumplimiento y la gestión efectiva del ANP. (1)
- Las salvaguardas y políticas nacionales para la transversalización del enfoque intercultural, igualdad de género y juventud (1)
- Prevención de accidentes con el uso adecuado de insumos y equipos antes, durante y después del desarrollo de las actividades.
- Género y salvaguardas, si bien son requisitos de los donantes, proyectan el alcance de muchos derechos de los ciudadanos, por lo que es importante promover medidas para su uso y asunción por parte de los actores. (1)
- La capacitación de género permitió el fortalecimiento de capacidades en las ANPs, para el involucramiento de equidad de géneros, lo cual fue de suma importancia; tal es así que en el PN Rio Abiseo, cuenta con la participación activa de mujer, desde personal guardaparque, administrativos, comité de gestión del ANP, Vigilancia Comunal y Voluntariados. Parte del proceso de capacitación de género se establecieron entrevistas al comité de gestión, personal del ANP, actores involucrados, para enriquecer el plan de género del SERNANP como parte del proceso de implantación del proyecto. (1)
- Equidad de género y uso de lenguaje inclusivo.

**Por favor explique:****Consentimiento previo, libre e informado:**

- Los Insumos y acciones claves que se deben de tener en consideración al inicio de un proyecto desde su diseño, planificación, implementación, desarrollo, monitores y finalmente la retroalimentación.(1)

**Manejo adaptativo:**

- Se llegó a conocer y manejar los principios de la gestión adaptativa, particularmente en el uso del monitoreo y evaluación para la adaptación y en planificación, a través del trabajo de grupos que ayudaron al análisis y uso de la herramienta. (1)

**En general:**

- Estar atento a las necesidades del medio, de los actores. Si las necesidades cambian es importante tener una estructura organizativa para sostener el cambio, ya sea adaptándose o moldeándolo.(1)
- Estar atento a la utilidad de la gestión, toda gestión/ coordinación tiene un impacto, un público objetivo; la finalidad que tiene nuestro accionar debe ser claro.(1)
- Organizaciones, grupos humanos tiene sus propios esquemas de funcionamiento (finalidad, formas, orden, etc) es importante conocerlos para encontrar una buena forma de interactuar y lograr el objetivo común (1)
- Seguridad en el trabajo.(1)
- Transparencia en la información brindada.(1)
- Atención oportuna a la población.(1)
- La pausa y reflexión, la teoría de cambio en la gestión adaptativa del ANP, La inclusión de estos temas en las actividades que se realizan rutinariamente en el ANP
- Visibilizar diferentes perspectivas en relación a la conservación y sostenibilidad de ANP.
- Comunicación estratégica
- Fortalecimientos de capacidades con los temas recibidos, algunos nuevos y otros han fortalecido lo existente
- Desarrollo de Cadena de Resultados. Los procesos actuales de Plan Maestro consideran la cadena de resultados obtenidos a partir de la implementación de la estrategia, esto es clave para monitorear el avance hacia el logro del objetivo (s). En ese sentido, el aprendizaje obtenido me está permitiendo identificar de mejor manera los resultados intermedios en una cadena de resultados
- Estrategias de comunicación y Sistematización de experiencias aprendidas

**4. El contenido de la capacitación toma en cuenta los intereses y requerimientos específicos del grupo de actores que representa? Por favor marque la casilla respectiva con "X":**

a. Si	21	En qué sentido?	<p>-El diseño toma en cuenta el trabajo del SERNANP en los ANP (3)</p> <p>-Se busca como sistema ANP que las mismas sean autosostenibles y disminuir las brechas.(1)</p> <p>-En el grupo de actores del PN Tingo María se considera los aspectos de interculturalidad y enfoque de género en la toma de decisiones.(1)</p> <p>-Nos organizaron en base a la formación de cada participante (1)</p> <p>-Se tuvieron en cuenta la planificación, ítems, horarios, matrices, tomando los actores en la gestión, comité de gestión, participación de género y vigilancia comunal. (1)</p> <p>-Permite identificar y trabajar en alternativas de sostenibilidad financiera para el SINANPE y la ANPs (1)</p> <p>-En la unidad de manejo de recursos siempre se ha esperado contar con mayor información y medios para poder concretar proyectos de negocios sostenibles, información que nos han brindado en el curso (1)</p> <p>-La mayoría de nosotros del ANP estamos entre las carreras profesionales de ingeniería y biología, teniendo casi nulo conocimiento en mecanismos financieros. A veces se hace la contratación de consultorías para desarrollar este tipo de actividades y con la base aprendida en el curso se puede mejorar la percepción de los documentos generados (1)</p> <p>-Los temas tratados fueron lo suficientemente comprensibles para todos los participantes de la capacitación, en donde la mayoría fueron profesionales en el campo de la biología, ambiente, abogacía, etc.(1)</p> <p>-En mi caso consolidó la idea que tenía de oportunidad de financiamiento a través de la compensación ambiental, proceso que vemos en la UOFGA al momento de evaluar los estudios ambientales de proyectos de inversión públicos o privados (1)</p> <p>- Los contenidos de la capacitación contribuyen en la planificación y en la gestión del ANP, Taller de Sostenibilidad Financiera, estas herramientas servirán para beneficiar al PNTM, durante el desarrollo de las capacitaciones se permiten hacer consultas y estos son respondidas en su debido momento, asimismo se cumple con los objetivos planteados, planificación de las ANP liberado por cada JANP y sobre todo el rol de la DDE como articulador de estos procesos de planificación con la DGANP, OPP, el curso de Sostenibilidad Financiera, nos ha brindado herramientas para generar o apalancar proyectos en beneficio del ANP</p>
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			<ul style="list-style-type: none"> <li>- Fortalece las capacidades de los participantes siendo de mucha importancia en las labores que se desarrolla diariamente</li> <li>- El manejo adaptativo, como parte del ciclo de gestión de las ANP es clave para los procesos de planificación, y en el cual participan las direcciones de línea, las jefaturas de ANP, y actores estratégicos.</li> <li>- El curso es de sostenibilidad y mi unidad se llama Unidad de Sostenibilidad Financiera, encaja perfecto</li> </ul>
b. No	1	¿Por qué no?	Era un curso general y básico en conceptos económicos, planeamiento estratégico entre otros.
No sabe	1		

**5. ¿Ha logrado aplicar lo aprendido en el desarrollo de su trabajo? Por favor marque la casilla respectiva con "X":**

a. Si	19	En qué forma:	<ul style="list-style-type: none"> <li>- Atendiendo de mejor manera y de manera oportuna a los usuarios/personas. (3)</li> <li>- En las actividades planificadas en el ANP o los que se realizan diariamente (3),</li> <li>- En el diagnóstico y formulación del Plan de Sitio (3)</li> <li>- Aplicado como parte de los procesos de actualización de Plan Maestro (2)</li> <li>- Para la elaboración de informes (1)</li> <li>- En la revisión de documentos para su aprobación (1)</li> <li>- En el planteamiento de las actividades económicas que se vayan a ejecutar a través del Ejecutor del contrato de administración.(1)</li> <li>-Se aprendió que las salvaguardas son transversales a las actividades del proyecto y que responde a las prácticas que SERNANP implementa que ahora se hacen más evidente (1)</li> <li>- Identificar nuevas alternativas de financiamiento para el ANP (1).</li> <li>- En el proceso de planificación y análisis de los problemas y búsqueda de soluciones (1)</li> <li>-A través de las coordinaciones con otras instituciones públicas y privadas, sobretodo privadas que nos apoyan financieramente y que nos brindan soporte para la ejecución de los proyectos (1)</li> <li>- En la compensación ambiental que se revisa en los Estudios Ambientales (1)</li> <li>- Representa otra perspectiva en la evaluación de proyectos (1)</li> <li>- Implementando el lenguaje inclusivo (1)</li> <li>- A aplicar conceptos de valoración económica a casos de valoración solicitados (1)</li> </ul>
b. No	4	¿Por qué no?	<ul style="list-style-type: none"> <li>- Todavía no se hace consultorías o trabajos relacionados en el ANP (1)</li> <li>- Aún no he tenido la oportunidad.(1)</li> <li>- Mis labores no están relacionadas a la temática del curso desarrollado (1)</li> <li>- Falta replicabilidad por parte de quienes lideran este proceso en otras ANP, sobre todo con la articulación de otras oficinas (1)</li> </ul>

**6. ¿Después de la capacitación, ha logrado compartido el contenido con colegas o compañeros que no pudieron participar?**

Por favor marque la casilla respectiva con "X":

a. Si	15	De qué manera:	<ul style="list-style-type: none"> <li>- Con el personal de apoyo de la consultoría (1)</li> <li>- Se desarrollaron capacitación posterior al personal del ANP, a fin de empoderar en a).-Mecanismos de quejas, Consultas y reclamos (MAQS), b).- Implementación del proceso de actualización del plan maestro, c).- Certificación e implementación de hitos en ANPs, d).- Protocolos de bioseguridad, e).- Participación activa en elaboración del protocolo de Palma y f).- Los buenos principios, criterios, procedimientos o mecanismos para minimizar los riesgos en personal del APN.(1)</li> <li>- Durante las coordinaciones y discusiones técnicas.(1)</li> <li>- A través de una carpeta en drive (1)</li> <li>- Compartiendo las ppt y explicando un poco para no olvidarlo (1)</li> <li>- Compartiendo algunas presentaciones de interés para mi equipo de trabajo. (1)</li> <li>- Comentando que la compensación ambiental es un mecanismo para cierre de brechas en ANP. (1)</li> <li>- En el soporte a la elaboración de los planes maestros (1)</li> <li>-Se compartió en distintas reuniones virtuales con el equipo del APN (1)</li> <li>- Con la réplica de lo aprendido, en el Plan de Sitio, se compartió algunos temas a los compañeros, en reuniones mensuales o bimensuales de la unidad de gestión de información, en reuniones de coordinación</li> </ul>
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			con el Equipo de la Jefatura del ANP, se ha compartido información del curso con compañeros que no pudieron participar. - Construimos cadena de resultados con participación de equipos de las jefaturas de ANP para sus procesos de Plan Maestro
b. No	8	¿Por qué no?	-No se ha dado oportunidad; actividades diarias demandan demasiado tiempo (2). - No se dio la oportunidad, pero sin duda lo haría cuando se presente la necesidad (1) -Restricción de reuniones presenciales, limitación de medios virtuales para coordinar.(1) - La mayoría de mis compañeros participan en las capacitaciones, y se presentan informes sobre el tema, los mismos que están al alcance de todos. (1) - No se dio la oportunidad, pero sin duda lo haría cuando se presente la necesidad (1) - Descargada los archivos, pero aún no los compartí (1)

## 7. ¿Cuáles han sido las principales recomendaciones por parte de los participantes en el proceso de formación?

### Por favor explique:

- Ninguna: (4):
- No hubo espacio para ello (1)
- Desconozco si hubo recomendaciones (1)

### Recomendaciones:

- Que los docentes puedan ampliar los temas teóricos con mayores casos prácticos.(5)
- Considerar el análisis de género e interculturalidad en el diagnóstico situacional (1)
- Implementación constante en Mecanismos de Quejas, Consultas y Reclamos, (1)
- Equipamiento al APN con control y vigilancia permanente (gps, cámara, laptop), (1).
- Delimitación del APN con saneamiento físico legal (1).
- Los elementos priorizados deben contar con protocolos de monitoreo (1).
- Que se amplíen los tiempos de enseñanza en cada módulo para su desarrollo a mayor detalle.(1)
- Que se tenga en cuenta que el horario del curso no se complique con las obligaciones del trabajo diario (1)
- Que los distintos horarios o palabras que en Perú no son frecuentes o tienen otra terminología o la normativa peruana que era distinta a la que los docentes hacían referencia en su país de origen. (1)
- Capacitación especial en temas económicos con los especialistas que trabajan en este campo, debido a que, si bien la capacitación de ahora fue de gran ayuda, los temas tratados no fueron profundizados empíricamente. (1)
- En el caso de la formación en estándares abiertos los participantes recomendaron mayor tiempo para mirar sus procesos de planificación.(1)
- En el caso de género e interculturalidad los participantes solicitaron otros espacios para comentar el tema, dado que existen múltiples perspectivas que aportan (1)
- Que la impresión de los afiches de MAQS también se realicen en lengua local indígena. (1)
- Que la gestión del ANP debe ser adaptativo, abierto a los cambios para la mejora, aplicar lo aprendido en la actualización del Plan Maestro del ANP (1)
- Mejorar los servicios de Internet para las capacitaciones virtuales (1)
- Realizar cursos más especializados o específicos, que incluyan participación de las unidades operativas funcionales por cada estrategia (1)
- Es importante que las jefaturas de las ANP entiendan la lógica del manejo adaptativo.!(1)
- La gestión efectiva no se va a lograr solo como Sernanp, para ello es necesario la participación de diversos actores.(1)
- Hay mucho por avanzar en cuanto al rol de las ANP para el desarrollo regional.(1)
- Poner en práctica el conocimiento adquirido (1)

## 8. ¿En qué medida está familiarizado con los objetivos, metas y estrategias de implementación del proyecto GEF6-PdP?

Por Favor marque la casilla respectiva con "X":

a. Estoy muy bien informado	7
b. Estoy moderadamente informado	13
c. No los conozco	
d. No tengo información del proyecto, solo estoy informado sobre la iniciativa PdP	2
e. No aplica	1

## 9. ¿Teniendo en cuenta los objetivos del proyecto, qué temas considera deben ser fortalecidos en el proceso de capacitación?

### Por favor explique:

-No lo sé: ( 2)

- Desconozco los objetivos del proyecto; me causa confusión cual es la diferencia entre el proyecto y la iniciativa PdP (1)

- Es tal vez mi desconocimiento el que hace pensar que son lo mismo (1)

### Temas a fortalecer:

- Captación de fondos y alternativas de financiación sostenible de las ANP (6).

- Análisis de costo beneficio de las intervenciones en las ANP (1)

- La elaboración de planes de negocios. Conocer los modelos formación de cooperativas. Los procesos de certificación para acceder al mercado europeo.(1)

-Cadenas de valor y planes de negocios para garantizar la sostenibilidad de las ANP con participación activa de los actores locales. (1)

- Acceder a fondos públicos y privados, a partir del manejo de recursos.(1)

- Implementación de pilotos de mecanismos financieros/ economicos nuevos o mejorados a nivel nacional (3).

- La comercialización de créditos de carbono en mercado voluntario, son la principal fuente de financiamiento para la gestión de las ANP que cuentan con iniciativas tempranas REDD+, para ello se requiere capacitación en el mercado voluntario y poder tener mejores precios.(1)

- Mecanismos financieros bajo iniciativas con el sector privado (1)

- Metodologías de valoración económica de los recursos naturales, principalmente aquellas relacionados a los objetivos de creación del ANP (1)

-El aprovechamiento del recurso maderable en el Perú no tiene el rigor en el análisis y evaluación de impactos ambientales que debiera tener. (1)

- Educación ambiental para asegurar el futuro de las ANPs (1)

- Gestión de ANP (1)

- Gestión participativa (1)

-Mecanismos de implementación a los protocolos de monitoreo y línea base de elementos priorizados (1)

- Vigilancia y Control, dado que el personal cambia, por lo que capacitaciones deberían ser más continuas (1).

-El uso de nuevas tecnologías como el uso de dron, imágenes satelitales (servicios que están descritos en la estrategia de vigilancia y control), y con la acreditación respectiva.(1)

- Ecosistemas frágiles y en peligro de extinción como son los bosques secos en Perú.(1)

- Buscar normas que permitan contar con opiniones vinculantes para espacios conocidos como corredores de conservación que permitan unir las ANP y garantizar conectividad nacional e internacional.(1)

-El ordenamiento territorial y la zonificación ecológica económica.(1)

- Enfoque de género (1)

- Salvaguardas, Guía sobre lenguaje inclusivo

- Equidad de género, para su implementación en las acciones que realice el ANP.

- Otras formas/ herramientas de planificación en ANP, formulación de estrategias.

- Planeamiento estratégico (1)

- Elaboración e implementación de la Estrategia de implementación PdP-Amazonia (1)

- Asegurar el futuro de las ANP no es solo un tema económico. Tiene mucho que ver con el fortalecimiento de las capacidades de sus miembros, más aún cuando hay cierta permanencia del personal en la institución (comparado con otras). En ese sentido, un tema abordado fue la capacitación enmarcada en el ciclo de gestión. **Un tema importante que debe continuar siendo fortalecido es el monitoreo y evaluación en el marco de las cadenas de valor de la gestión pública.** Tenemos que conocer y dar a conocer cuáles han sido nuestros resultados, eso es una verdadera rendición de cuentas.

## 10. ¿Cuáles considera han sido los principales resultados del proyecto a la fecha?

### Por favor explique:

- No responde: 2

- No los conozco: 5

- Solo he oído que la intervención del proyecto ha sido en el financiamiento de consultorías, desconoce los resultados (1)

### Resultados:

**Por favor explique:**

- Se ha integrado bien a la dinámica del Sernanp, y mantiene una coordinación fluida con los donantes; lo cual permitió que en su primer año se consolidará la firma del acuerdo que permitió el arranque de la iniciativa PdP.(1)
- Desarrollo de estrategias multi-socios, público-privada para alcanzar sostenibilidad financiera a largo plazo de ANPs (1)
- Elaboración e implementación de la Estrategia de implementación PdP-Amazonia (2)
- Contribuir a la implementación de los Planes de Control y Vigilancia de varias ANPs (3)
- Estar en elaboración de varios Planes Maestros de diversas ANP que son el documento de gestión máximo.(3)
- Dotar de bienes y servicios básicos para la operatividad de las ANPs, como internet.(3)
- Adquisición de algunos equipos como Laptops, equipos para paramo, ropa térmica para el personal y otros que nada llegan al ANP (2)
- Apoyo en la implementación del Plan de vigilancia y control del PNTM (Equipamiento, infraestructura y vehículos) (2)
- Elaboración del expediente técnico para la remodelación de la sede administrativa (2)
- Priorización de elementos que requieren de protocolos de monitoreo (2).
- Elaboración del Plan de Sitio y aportes de mejora en el proceso (2)
- Desarrollo de consultorías (2)
- Elaboración de la matriz de metas físicas y financieras por 5 años. (1)
- Lograr avances en los procesos de saneamiento físico de las ANPs (1)
- Fortalecimiento de capacidades en el tema concreto de manejo adaptativo como parte del ciclo de gestión (1)
- La asistencia técnica en la mejora de algunos mecanismos económicos tradicionales, en la implementación de los nuevos, y el apoyo financiero para la ejecución de éstos. (1)
- Apoyo permanente con la Unidad de Gestión Ambiental en el manejo e implementación de la compensación ambiental que hace posible que los impactos ambientales residuales sean atendidos.(1)
- El proyecto ha logrado dar fluidez/alternativas a las coordinaciones que requiere la implementación de PdP en Sernanp y Profonampe.(1)

**11. ¿Conoce los mecanismos de participación, que ha implementado el proyecto para fortalecer su proceso de estructuración y puesta en marcha? Por favor marque la casilla respectiva con "X":**

a. Si	8	¿Cuáles?	<ul style="list-style-type: none"> <li>- Documentos y Guías, Equidad de Género, Salvaguardas, MAQS (6)</li> <li>- Implementación de bioseguridad y elaboración de protocolos (2)</li> <li>- Implementación de Internet en la sede de APN y los PVC, el cual permite la comunicación constante y fortalecimiento de capacidades del personal del ANP, participación activa de los miembros e integrantes del comité de gestión del ANP (1)</li> <li>- Equipamiento para el control y vigilancia permanente del ANP en la sede y PCV (1)</li> <li>- Reuniones mensuales de seguimiento de los Planes Operativos</li> <li>- Mantenimiento de canales de comunicación entre los equipos de Sernanp y el equipo del proyecto.(1)</li> <li>- Análisis y apoyo a las ANP en la actualización del Plan Maestro, análisis de sus brechas (2) - Apoyo a la sede central y fortalecimiento de capacidades a todo el equipo.(1)</li> </ul>
b. No	14		
No responde	1		

**12. ¿Considera que el proyecto GEF6-PdP requiere de mejoras para aumentar su eficiencia y/o efectividad?**

Por favor marque la casilla respectiva con "X":

a. Si	14	¿Cuáles?	<ul style="list-style-type: none"> <li>- Mayor comunicación y difusión de objetivos y metas, para entender que no es lo mismo que la iniciativa PdP (2)</li> <li>- Agilizar los requerimientos de compras y servicios solicitados por las ANP (2)</li> <li>- Mejorar la articulación con OPP, temas administrativos (1)</li> <li>- Mejorar la articulación y coordinación con las ANPs (1)</li> <li>- Prestar un mayor y mejor soporte técnico</li> <li>- actualizar al contexto actual (1)</li> <li>- fortalecer en los nuevos temas y desafíos que tiene el proyecto con nuevas necesidades (1).</li> <li>- Enfocarse además de las inversiones y resultados a corto plazo, en intervenciones donde sus impactos se verán reflejados en el mediano o largo plazo, pero son cruciales para concretizar los mecanismos económicos actuales.(1)</li> <li>- Muchos de los objetivos planteados para el proyecto requieren optar por alternativas de mayor riesgo, sin esa conciencia y soporte a estas decisiones, de parte de los ejecutores, el cumplimiento de los objetivos puede verse limitado.(1)</li> </ul>
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			- Articular a mayores actores dentro del sector público, en particular en los territorios de ANP - Considerar otros ecosistemas aparte del amazónico (1)
b. No	8		
N/A	1	no los conozco	

**13. ¿Cuáles desafíos de conservación y gestión considera como prioridades claves para ser abordados en los próximos 5 años respecto a la gestión efectiva de la red de APN en el Perú? Por favor explique:**

#	Desafíos	Explicación
1.	Tener identificados los espacios para el desarrollo de actividades (1)	Es necesario que se genere el levantamiento de información en el que se identifique por cada ANP las zonas en las que se pueden desarrollar ciertas actividades.
	Ordenamiento Territorial en CCNN de la ZA	A través de sus documentos de planificación comunales (planes de vida, estatutos) contemplar el ordenamiento, cuotas de caza y pesca
	Lograr la interconexión de las ANP por corredores biológicos (1)	Realizar un plan para garantizar la conectividad a través de corredores biológicos de las ANP del Sur, Centro y Norte del país, con opiniones vinculantes ante proyectos de inversión.
	Incluir la iniciativa Patrimonio Natural del Perú en otras ANP más allá de bioma amazónico (2)	Se cuenta con amplios recursos de diversidad biológica dentro de muchas ANPs, tanto en costa, sierra como en litoral marítimo. Será importante replicar el trabajo que se viene haciendo en la Amazonía al resto de regiones y ANP en nuestro país.
	Lograr el saneamiento físico-legal de las ANPs (1)	-
	Inclusión de ecosistemas costeros, marinos y altoandinos (1)	No hay proyectos que les parezca atractivo invertir en estos ecosistemas y vemos que los ecosistemas altoandinos y costeros cuentan con poco apoyo.
2.	Contamos con el detalle de derechos preexistentes (1)	Es importante el orden, muchas veces no sabemos que tenemos en nuestras ANPs lo que genera muchos conflictos, solicitudes de prescripciones, etc. Es necesario que todas las jefaturas tengan identificadas los derechos que existen en su interior.
3	Lecciones aprendidas en los diferentes proyectos ejecutados (1)	Difundir las buenas experiencias de los proyectos ejecutados, así como lo que no funciona, que mayormente no se socializa. Ello permitiría mayor enfoque.
	Sistema de gestión del conocimiento implementado (1)	-
4	Los pobladores (comunidades, poblador local) ubicado en el ANP o en la ZA sean los principales aliados en la conservación del ANP.(1)	Contar con profesionales con el expertis en manejo de recursos (cacao, café, meliponicultura, mariposas, entre otros) en toda la cadena de producción, manejo, comercialización, exportación. Contar con un brazo ejecutor que permita visibilizar los beneficios.
	Plan Maestro (1)	La implementación de los PM de forma eficiente, efectiva y participativa.
	GOBERNANZA PARTICIPATIVA (1)	El ANP, busca la consolidación de un modelo de gobernanza participativa, en base a los reconocimientos nacionales e internacionales, con participación activa de los actores públicos y privados locales.
5	Capacidad organizativa y agilidad en la planificación estratégica y financiera. Capacidades para tomar las oportunidades que se presentan y a su vez mantengan los objetivos de creación de las ANP (1)	El contexto del país es bastante cambiante, las oportunidades surgen en ciertos momentos, se necesita una estructura organizacional, que pueda capturar esas alternativas, dar soporte a tomar alternativas de mayor riesgo y a la vez velar por mantener la finalidad de conservación de las ANP.
	Fortalecer la gestión efectiva de las ANP (1)	Construir y ajustar las cadenas de resultados de forma retrospectiva, en base a una estrategia u modelo de implementación.
	Construcción y seguimiento de implementación de las herramientas de gestión a nivel de las ANPs (1)	Fortalecer a las Jefaturas de las ANPs en el uso de los instrumentos de planificación como resultado de la implementación y manejo adaptativo.
	Implementación de protocolos de monitoreo (1)	La implementación Protocolos de Hoja de palma ( <i>Ceroxylon cf. parvifrons</i> ), permite y responde al uso tradicional de las comunidades campesinas andinas por semana, evento que congregan a pobladores en las festividades.

6	Autosostenibilidad financiera de ANPs y de SERNANP (2)	Aún no contamos con un sistema de recursos recaudados de forma directa que sea significativo y sirva para atender las ANP en su complejidad
	Gestión financiera (1)	Dentro de cada área / jefatura (y en las unidades también) enmarcadas en las actividades que pueden generar recursos
	Identificar las actividades económicas que se podrían impulsar en las ANPs con el proyecto (1)	P.e en el contrato de administración en el BPAM, el Ejecutor implemento los acuerdos de conservación a partir del diagnóstico de la actividad económica; los sectores, han constituido una cooperativa con cerca de 230 socios que son los firmantes de los acuerdos de conservación; desde el 2016 a la fecha la cooperativa viene exportando con certificación orgánica más de 900 TN de café, que año a año ha ido en aumento.
	Manejo de recursos naturales en las ANP de manera sostenida	-
	Mecanismos financieros sostenibles	Las ANP tienen brechas identificadas, sin embargo los recursos asignados no puede cubrir la totalidad de las brechas, por cual es necesario generar nuevos mecanismos financieros para las ANP que contribuyan en la sostenibilidad.
	M&E de la sostenibilidad financiera de las ANP (1)	En las jefaturas de las ANP hay poca información respecto a los costos y beneficios económicos generados por la actividad turística.
	Sostenibilidad financiera	Buscar mecanismos que brinden la sostenibilidad financiera del ANP y proyectos agropecuarios sostenibles para a las comunidades a través de contribuciones económicas por conservación de bosques (REED indígena -RIA)
	Realizar las gestiones necesarias que conducen a la auto sostenibilidad financiera del ANP.	A través de la actividad turística lograr los recursos necesarios que conduzcan a la auto sostenibilidad financiera del ANP.
	Reactivación económica (1)	Considerando una posible tercera ola que podría durar según expertos, alrededor de 9 meses, esto seguiría paralizando la reactivación económica y las actividades sobretodo turísticas, que son las que recaudan mayor dinero en la mayoría de las ANP
	Fomentar la conservación a través de actividades económicas como el turismo (1)	Es necesario que el SERNANP empiece a gestionar el turismo desde casa, es decir, no esperar que venga el administrado sino ofrecer al administrado, no perdiendo de vista que nuestra competencia es la gestión de las ANP y la conservación de la biodiversidad.
	Casi siempre somos la única entidad del estado en estar en las profundidades de la amazonía y tenemos que ser todistas (saber de ganadería, de cultivos agrícolas, de medicina, de saneamiento físico legal, entre otros)	La poca presencia del estado en estos espacios, y siendo nosotros la única institución , con medicamentos, antiofídicos, teléfono satelital, GPS, drones, entre otros, hace que la población siempre nos este consultando sobre “actividades” que no sabemos y tenemos que estar informándonos o siendo el nexo con estas otras instituciones.
	Percepción del cambio tarifario.	Uno de los MF más importantes en el sistema, son las <b>tarifas de entrada</b> en las ANP, en el proceso de su <b>actualización</b> será de gran ayuda la socialización de su propósito, ante la negativa inminente de un porcentaje de población local o nacional principalmente.
	Mejora en la calidad del servicio turístico en ANP.	Considerando al turismo sostenible como una estrategia de conservación, velar por la mejora en el servicio de las actividades turísticas en el interior de las ANP, incluyendo la implementación de nuevas infraestructuras y mejoramiento de las actuales.
	Implementación del Plan Sitio para buscar la sostenibilidad financiera	Con la ejecución de nuevas infraestructuras y señaléticas en los senderos turísticos se pretende obtener más recaudación, de modo que el ANP sea sostenible financieramente
	Gestiones necesarias que conducen a la auto sostenibilidad financiera del ANP.	A través del turismo lograr los recursos necesarios que conduzcan a la auto sostenibilidad financiera del ANP.
7	Articular con otros sectores del estado que impulsan proyectos de inversión.	Adelantarnos y articular con el MEF sobre las carteras de proyectos y lograr ser parte de sus mesas de trabajo para lograr tener una opinión ambiental en sus decisiones



	Desarrollar mecanismos financieros basados en incentivos con el sector privado	Se han dado algunos pasos y hay señales de que este tipo de mecanismos pueden funcionar, pero no se está dando el empuje suficiente para que cobren mayor importancia
8	Mayores presiones en el ANP producto de los cambios del clima y sociales que se generen	La pandemia del COVID ha provocado migración en el país, un movimiento de las ciudades al campo, ello en el futuro provocara mayores presiones al ANP. De la misma forma, lo vemos con el clima, con el incremento de sequías, incendios e inundaciones
	Cada vez hay mayor población que necesita saciar sus necesidades básicas por lo que en algún momento las ANP de uso indirecto deberán permitir la extracción de sus recursos bajo acuerdos y/o modalidades de conservación	Esto es muy real en las comunidades nativas que se encuentran al entorno del ANP, que aumenta en población teniendo la necesidad de cazar y pescar para sostener a su familia. Además, hay cazadores y pescadores que surcan los ríos a realizan sus actividades muy cerca al ANP (supongo ingresarán cuando estamos patrullando en otros espacios) con quienes se podría tener alguna modalidad de acuerdo y serían apoyo en vez que nos saquen “la vuelta”
	Implementación de equipos y materiales para las actividades en especial en control y vigilancia	Adquiriendo los equipos necesarios y suficientes para el desarrollo de las actividades, y sus mantenimientos respectivos.
	Mejoramiento de las Infraestructuras de los PVC	Permite fortalecer las acciones de vigilancia y control
	Articulación de las comunidades	De la mano con el ECA Maeni, desarrollar acciones de conservación como vigilancia y manejo de recursos con las comunidades y participen activamente en la gestión del ANP
	Corresponsabilidad de actores en la implementación del ciclo de gestión de las ANP	Hay una multicausalidad que origina las diferentes amenazas a las ANP; tenemos que involucrar a los actores estratégicos, pero no solo en la planificación y su implementación, sino también en el monitoreo y evaluación y en la retroalimentación
	Vigilancia remota a través del uso de drones (3)	Adquisición y capacitación del personal del ANP para el uso de drones, con la finalidad de determinar posibles actividades ilícitas dentro del ANP y de realizar la vigilancia en zonas inaccesibles..
	Reporte de Alerta temprana	Verificar el reporte de alertas tempranas emitidas por el Programa Bosques y la DDE.
	Lucha contra la deforestación.	-
9	Monitoreo biológico de los elementos ambientales y de manejo de recursos naturales.	Con el monitoreo biológico de los elementos priorizados para la gestión se contribuye a la conservación.
	Implementación de protocolos de monitoreo biológico	Permite cumplir con los objetivos y metas propuestas en el PM
10	Construcción de Sede administrativa del ANP	Permite respaldar las acciones de Gestión de la Jefatura
	Fortalecimiento de capacidades	En temas donde se tenga menos eficiencia del personal del ANP
11	Planificación estratégica vinculada a los objetivos que apoya GEF-PDP	GEF debería estar en la planificación estratégica de cada ANP en la cadena de resultados, cuando realice su cartera de proyectos.
	Integrar las acciones de conservación de las ANP	La integración de las ANP cercanas o ubicadas en complejos requiere darse. Una forma es a través de la planificación conjunta cuando elaboren su Plan Maestro y sus POA, eso ya obligaría a una mirada integral de las otras fases del ciclo de gestión de las ANP.
	Macrorregiones como espacios para la toma de decisiones	Se cuenta con una plataforma de coordinación con los GORE y actores regionales; sin embargo, no se le está dando la verdadera dimensión que debieran tener, en el sentido de ser un espacio que sea la voz de las regiones en el tema de conservación, que a mi modo de ver está bastante centralizado.

## **Annex 5c: Survey for Local and Regional Stakeholders (response rate 5%)**

### ***Annex 5c.1 Summary of Survey Findings***

The survey with 15 questions was sent out to a total of 23 local stakeholders, of which only one response was received (implying a 4% response rate). The survey was filled in by a private sector representative, participating in a NPA Management Committee for Tingo Maria National Park. Overall the respondent was familiar with the GEF6-PdP project as well as with the PdP in general.

The respondent indicated to be partly familiar with the objectives and results of the project, but found that the content of the project was highly relevant to the stakeholder in question (particularly at the level of surveillance, control, tourism and other activities in the NPA). Among the main results appreciated by the stakeholder is the contribution of the project to develop a site plan for tourist activities in the NPA.

A key outcome of the project activities will include a conservation agreement between the NPA headquarters and his company, which allows the commercialization and marketing the products of the enterprise, at the tourist access points of the National Park. These products have the Green Seal Certificate - Allies for conservation.

The stakeholder indicated it could further contribute to increasing conservation and management effectiveness for the Tingo Maria National Park, through supporting surveillance and monitoring, purchase and selling products from the NPA, providing employment for local community members, provide training to local community on food hygiene and marketing of products, and management of solid waste resulting from tourist activities.

## Annex 5c.2 Consolidated Survey Responses

On the following pages the responses received from the respondents are presented in a structured way, making use of the original survey format prepared by the ET.

**Evaluación de Medio Término del proyecto WWF GEF6-PdP  
Asegurando el Futuro de las Áreas Naturales Protegidas del Perú (2018-2024)  
implementado por SERNANP en el contexto de la Iniciativa Patrimonio Natural del Perú**

**Guía de encuesta para actores locales y regionales, agosto 2021**

**1. Por favor indique cuál categoría de actor local/regional usted representa.**

(por favor **seleccione una** de las siguientes respuestas marcando la casilla respectiva, con "X"):

a. Representante de una organización comunitaria indígena	
b. Representante de una autoridad regional	
c. Representante de una organización comunitaria local no indígena	
d. Representante de un grupo local de mujeres	
e. Representante (local/regional) de una organización del sector privado	
f. Representante (local/regional) de una ONG	
g. Otro	1 x
<b>¿Cuál?</b> Sector Privado	

**2. ¿Su organización participa en el comité de gestión de un Área Natural Protegida?**

Por favor marque la casilla respectiva con "X":

a. Si	1 x	<b>por favor especifique:</b>	Cargo de vicepresidente del comité de gestión
b. No		<b>por favor especifique:</b>	

**3. ¿Conoce usted la iniciativa "Patrimonio Natural del Perú - PdP" ?**

Por favor marque la casilla respectiva con "X":

a. Si	1 x
b. No	

**4. ¿Conoce el proyecto Asegurando el Futuro de las Áreas Protegidas Naturales del Perú (GEF6-PdP)?**

Por favor marque la casilla respectiva con "X":

a. Si	1 x
b. No	

**5. ¿En qué medida está usted familiarizado con los objetivos, metas y estrategias de implementación del proyecto GEF6-PdP? Por favor marque la casilla respectiva con "X":**

a. Estoy muy bien informado	
b. Estoy moderadamente informado	1 x
c. No los conozco	
d. No tengo información del proyecto, solo estoy informado sobre la iniciativa PdP	
e. No aplica	

**6. ¿En qué medida conoce los resultados del proyecto GEF6-PdP a la fecha?**

Por favor marque la casilla respectiva con "X":

a. Estoy muy bien informado	
b. Estoy moderadamente informado	1 x
c. No los conozco	

d. No tengo información del proyecto, solo estoy informado sobre la iniciativa PdP	
e. No aplica	

7. ¿Usted u otros representantes de su organización han participado en una o más de las siguientes actividades facilitado por GEF6-PdP? (por favor marque todas las casillas relevantes con "X"):

a. Una reunión introductora del proyecto y de la Iniciativa PdP	
b. Un taller o una reunión de diagnóstico	
c. Un taller o una reunión para planificar metas comunes	
d. Una capacitación organizada por el proyecto	
e. Una reunión para discutir el avance del proyecto	
f. Una reunión para discutir el avance de la iniciativa PdP	
g. Otro (por favor especifique):	1 x Herramienta CIFOR – COMO VAMOS
h. No, hasta la fecha mi organización no ha estado involucrada en ninguna actividad	

8. ¿En qué medida el proyecto prioriza asuntos que son relevantes para el grupo de actores que representa?

(por favor **seleccione una** de las siguientes respuestas marcando la casilla respectiva con "X"):

a. En alta medida (por favor especifique):	1 x	Actores locales participan en actividades de vigilancia, control, turismo y otros
b. Hasta cierto punto (por favor especifique):		
c. De ninguna forma (por favor especifique):		
d. No aplica		
e. No lo sé		

9. ¿En qué medida las intervenciones del proyecto complementan o duplican otras intervenciones por el Gobierno de Perú, Socios de Desarrollo, ONG u organizaciones del sector privado en su área?

(por favor **seleccione una** de las siguientes respuestas por marcando la casilla respectiva con "X" y explique):

a. Son complementarias a otras iniciativas:	
b. Son en parte complementarias, pero se duplican en los siguientes aspectos:	
c. Existe duplicación significativa con las siguientes iniciativas:	
d. No lo sé	1 x

10. ¿Cuáles considera son los tres resultados más importantes del proyecto hasta la fecha? (por favor especifique):

#	Resultados	Explicación
1.	Implementación con bienes y equipos para el personal de campo	Adquisición de equipos necesarios para realizar actividades de vigilancia y control, entre otros.
2.	Apoyo en la propuesta del Plan de Sitio	El Plan de Sitio permitirá ordenar de manera oportuna y adecuada la actividad turística en el ANP.

11. Respecto a los efectos sociales, económicos y ambientales, las intervenciones del proyecto hasta la fecha han tenido algún efecto no-previsto (positivo o negativo)?

(por favor marque todas casillas relevantes con "X" y explique):

a. Sí, los siguientes efectos no-previstos positivos:	
b. Sí, los siguientes efectos no-previstos negativos:	
c. No, no han habido efectos no-previstos	1 x
d. No lo sé	

12. En qué medida considera que los resultados positivos logrados hasta la fecha serán sostenibles por los actores locales después de la finalización del proyecto?

a. Es muy probable que sean sostenibles, porque:	Permitirá tener mejores oportunidades en los diferentes ámbitos de intervención que viene trabajando el proyecto.
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b. Es posible, pero aún no existe claridad en qué medida éstos serán sostenibles, porque:	
c. No es probable que sean sostenibles, porque:	
d. No aplica	

**13. Respecto a la siguiente fase del proyecto, ¿cuáles cambios sugiere para que los objetivos del proyecto sean sostenibles?**

a. Ningún cambio, continuar según la planificación y con las estrategias actuales	x
b. Sugiero los siguientes cambios:	
c. No lo sé	

**14. ¿Qué tipo de beneficios o valores ha recibido o reconoce del APN en su área?**

**Por favor especifique:**

El acuerdo de conservación entre la jefatura del PNTM e Innova Agroalimentaria, el cual permite comercializar los productos que elabora la empresa con materias primas de la ZA y ZUE en los accesos turísticos del ANP. Estos productos cuentan con el Sello Verde – Aliados pro la conservación.

**15. ¿Cuál rol considera que su organización podría jugar para apoyar la gestión efectiva del APN de manera sostenible?**

**Por favor especifique:**

Socio estratégico en las siguientes actividades:

- Vigilancia y control del ANP
- Compra de productos agrícolas provenientes del ANP
- Generación de empleo para pobladores locales
- Capacitación en temas de Higiene alimentaria, marketing, comercialización a beneficiarios locales que cuenta con vínculo con el ANP
- Iniciativa propia de la empresa (Apoyo en el manejo de la compostera de residuos sólidos provenientes de los sectores turísticos)

## Annex 6: Key Evaluation Questions

Criteria	Key Evaluation Question	Rating	Assessment & Justification
<b>1. Relevance</b>	<b>1. To what extent was the <u>design of the project</u> relevant:</b>		
	a. Do the project's intervention logic and Theory of Change correctly identify and prioritize the problems in the national context (political, economic, and social), particularly in relation to forest and biodiversity conservation?	<b>6: Highly Satisfactory</b>	- Problems are correctly identified and prioritized
	b. Were the links between the overall objective, specific objectives, expected results and activities logical and what was the quality of the defined objectively verifiable indicators (OVI) including baseline information?	<b>4: Marginally Satisfactory</b>	- The links between the objective and expected results were logical and clear, but several OVIs had to be reformulated and part of the baseline information was not comparable due to differences in interpretation and had to be adjusted
	c. Were the assumptions made during the design phase valid, and were eventual risks adequately anticipated?	<b>4: Marginally Satisfactory</b>	- Several assumptions were not correctly anticipated
	d. During the first phase of implementation, did the expected outcomes of the project remain relevant to local and national development priorities and organizational policies, including the context of the changing circumstances of the country (e.g. political context)?	<b>6: Highly Satisfactory</b>	- The expected results remained relevant to local and national development priorities
	e. Did the design of the project appropriately incorporate social safeguards, FPIC principles and collaboration mechanisms with local communities in the Peruvian Amazon Protected Areas Network?	<b>4: Marginally Satisfactory</b>	- Although the design did foresee collaboration mechanisms with local and regional stakeholders, the project followed SERNANP's approach to participation, without formulating explicitly its participatory approach
<b>2. Coherence</b>	<b>2. To what extent was the <u>design of the project</u> coherent:</b>		
	a. Is the project complementary to (or overlapping with) other policy-related interventions (financial & technical cooperation) within Protected Areas Management implemented by the Government of Peru, other Development Partners, Agencies, or NGOs?	<b>5: Satisfactory</b>	- Globally, the project is contributing to the achievement of the Aichi Biodiversity Targets (3, 5, 11, 14, and 15). - At national level, the project is adhering to the Constitution (Art. 68 and 69), the Master Plan for Natural Protected Areas 2009-2019 (needs urgent updating), the National Biodiversity Strategy to 2021 and its corresponding Action Plans. - A large number of projects have been funded and implemented previously that covering a wide range of relevant topics that are also inherent to the PdP and the GEF6-PdP project. A greater effort should be exerted to draw lessons learned from these implemented projects, as some of the interventions and resulting products overlap with the outputs produced (or planned) as part of the GEF6-PdP project



Criteria	Key Evaluation Question	Rating	Assessment & Justification
	b. Is the project coherent with other interventions (financial & technical cooperation) across other relevant sectors with cross-cutting interlinkages with Protected Areas Management in Peru?	<b>3: Marginally Unsatisfactory</b>	<ul style="list-style-type: none"> <li>- GEF6-PdP project has not been fully articulated with other economic and productive sectors and their respective line Ministries (e.g. Forestry, Agriculture, Tourism, Water Management, private sector, etc.), or sectoral strategies.</li> <li>- Although as part of the proposed FMs, tourism-related activities are envisaged for example in the Tingo Maria National Park, the project does not explicitly link to policy frameworks in other sectors.</li> </ul>
<b>3. Effectiveness</b>	<b>3. What are the <u>main achievements realised</u> by the project during the first phase of implementation and how do they benefit overall sectoral progress and outcomes?</b>		
	a. What are the main outputs and outcomes achieved under the project thus far?	<b>5: Satisfactory</b>	<ul style="list-style-type: none"> <li>- Component 1: MoU signed; PdP initiated; staff trained</li> <li>- Component 2: 7 FMs selected and being developed</li> <li>- Component 3: US\$ 5 million grant for TF being executed in support of 4 pilot NPAs; TA provided to 4 pilot NPAs (bio-monitoring, vigilance and control, management plan review on-going, planning for gender, MAQS and safeguards approach)</li> <li>- Component 4: M&amp;E system up-dated and implemented</li> </ul>
	b. What factors contributed to the success of the achieved results, and which factors negatively affected the overall progress of implementation?	<b>Not rated</b>	<ul style="list-style-type: none"> <li>- See text main report</li> </ul>
	c. To what extent is the project management structure (organisation, resources, distribution of responsibilities, and coordination mechanisms) appropriate for achieving progress towards project outcomes?	<b>6: Highly Satisfactory (except for inter-institutional coordination)</b>	<ul style="list-style-type: none"> <li>- The project is part of SERNANP and of the wider PdP Initiative and coordinates in principle on everything with SERNANP management. This facilitates progress and institutionalization of results. However this also causes that for some issues the project follows the lines of conduct of SERNANP (e.g. participatory approach; inter-agency and inter-sector contacts), which is not necessarily in line with what the project was expected to develop according to the ProDoc.</li> </ul>
	d. Did the project, in view of decision making, develop and apply a consultative approach towards indigenous communities to increase the effectiveness of planned project activities?	<b>3: Marginally Unsatisfactory</b>	<ul style="list-style-type: none"> <li>- Contrary to what was expected based on the ProDoc, the project decided to follow the participatory approach of SERNANP. In practice the pandemic has seriously affected this approach.</li> </ul>

Criteria	Key Evaluation Question	Rating	Assessment & Justification
4. Efficiency	4. To what extent are the <u>achieved outputs and outcomes</u> under the project realised in a <u>cost-efficient</u> way (i.e. with the least costly resources: funding availability, human resources, procurement of technical assistance, project coordination)?	5: Satisfactory	<ul style="list-style-type: none"> <li>- Overall, the project has been found to be cost-efficient, particularly in the activities that are funded directly through the GEF6-PdP project and under control by the PMU.</li> <li>- COVID-19 also implied that less face-to-face meetings and workshops could be organised, resulting in lower travel cost.</li> <li>- Investments in technology have been made that are enabling a new working modus; this may result in cheaper operational costs in the long-term.</li> <li>- Procured equipment turned out to be more expensive than budgeted for (partly due to COVID-19), but exchange rates have been relatively favorable.</li> <li>- The investments made in the training of staff are strengthening the institution and are resulting in improved management.</li> <li>- A significant portion of the project budget was transferred to the Transition Fund (a total of US\$ 5 million has been released to the TF). Feedback received from interviewed staff however indicate that the execution rate of the Transitional Fund is limited, estimated at approximately 30% (August 2021).</li> </ul>
5. Results / Impact	5. To what extent are the <u>realised outputs and outcomes</u> under the project contributing to the achievement of project objectives?	5: Satisfactory	<ul style="list-style-type: none"> <li>- Progress is observed in the implementation of training processes, gender strategies and safeguards, the latter with an additional result due to the joint approach developed for the entire SINANPE.</li> <li>- Overall, it is not (yet) feasible to measure the impact generated to date due to these being long-term social processes.</li> </ul>
	a. What is the foreseen impact that the achieved outputs and outcomes under the first phase of implementation of the project are likely to generate, particularly with respect to social, economic, and environmental benefits (i.e. the triple bottom line)?		
	b. Do the project interventions have any unforeseen effects (positive or negative)?	Not rated	
	c. To what extent are positive results replicable or scalable?	4: Marginally Satisfactory	<ul style="list-style-type: none"> <li>- In general, the ET considers that the selected FM's are relevant and that there is a reasonable chance that they will significantly contribute to close the financing gap, although the moment that they will effectively generate funds as well as the application / replication in other NPAs depends on factors that are out of reach of the project (such as COVID-19, political will, institutional choices).</li> </ul>
6. Sustainability	6. To what extent are the <u>results achieved</u> under the first phase of implementation of the project <u>sustainable</u> ?	5: Satisfactory	<ul style="list-style-type: none"> <li>- If the GEF6-PdP project continues with the integration of its activities in the wider PdP Initiative, it is highly likely that positive results will be further replicated after termination of GEF6-PdP.</li> <li>- The direct involvement of SERNANP in all project activities, both under the GEF6-PdP project as well as the wider PdP Initiative, facilitates up-take and institutionalization of results.</li> </ul>

Criteria	Key Evaluation Question	Rating	Assessment & Justification
	b. Did the project generate further support and buy-in from a wider group of stakeholders and beneficiaries (incl. indigenous communities) at national and local level to continue key activities and ensure ownership?	3: Marginally Unsatisfactory	- The lack of a clear participation strategy and the implementation thereof may result in suboptimal dissemination of information and project outputs to relevant stakeholders, both at institutional level, as well as at local level (wider group of beneficiaries and local communities in vicinity of NPAs), which may result in limited ownership and threatening sustainability.
	c. What is the potential to scale up or replicate any of the positive results achieved under the project thus far?	3: Marginally Unsatisfactory	- The limited or absent coordination with other Ministries, Departments and Government Agencies (such as Ministry of Agriculture, National Water Authority ANA) may result in a lack of buy-in at policy level, which will affect the implementation of designed Financial Mechanisms, including the scalability or replication of FMs to the wider NPA network
7. Adaptive Capacity	<b>7. To what extent are <u>adaptive management principles</u> applied to meet indicator targets included in the intervention logic, and to mitigate adverse effects on project implementation?</b>	5: Satisfactory	- At the very start of GEF6-PdP a systematic review of the ToC, strategies, targets and indicators led to several changes. Later, GEF6-PdP did not adjust its goals, but did change activities and outputs to reach these, under changing external conditions.
	a. Was the design of the project (e.g. intervention logic, Theory of Change) altered to address any design flaws encountered during the implementation of activities?		- The intervention logic has been adjusted according to the identified needs.
	b. Did the implementation context of the project change, including policy priorities, making it necessary to adjust the design of the project?	Not rated	- Implementation context was negatively affected by the enduring global COVID-19 pandemic, which has led to significant decreases in revenue streams (e.g. from tourism), as well as deteriorating socio-economic conditions.
	c. Do the M&E mechanisms applied (including the annual adaptive management meetings) facilitate appropriate review and monitoring of the project's ToC and intervention logic?	4: Marginally Satisfactory	- Annual adaptive management meetings have progressively contributed to clarifying the Theory of Change and defining the scope of work for the GEF6-PdP PMU. - The open project approach, combined with the lack of a clear Performance Assessment Framework has not been facilitative to apply sound monitoring of project progress.

## Annex 7: Itinerary of the assignment

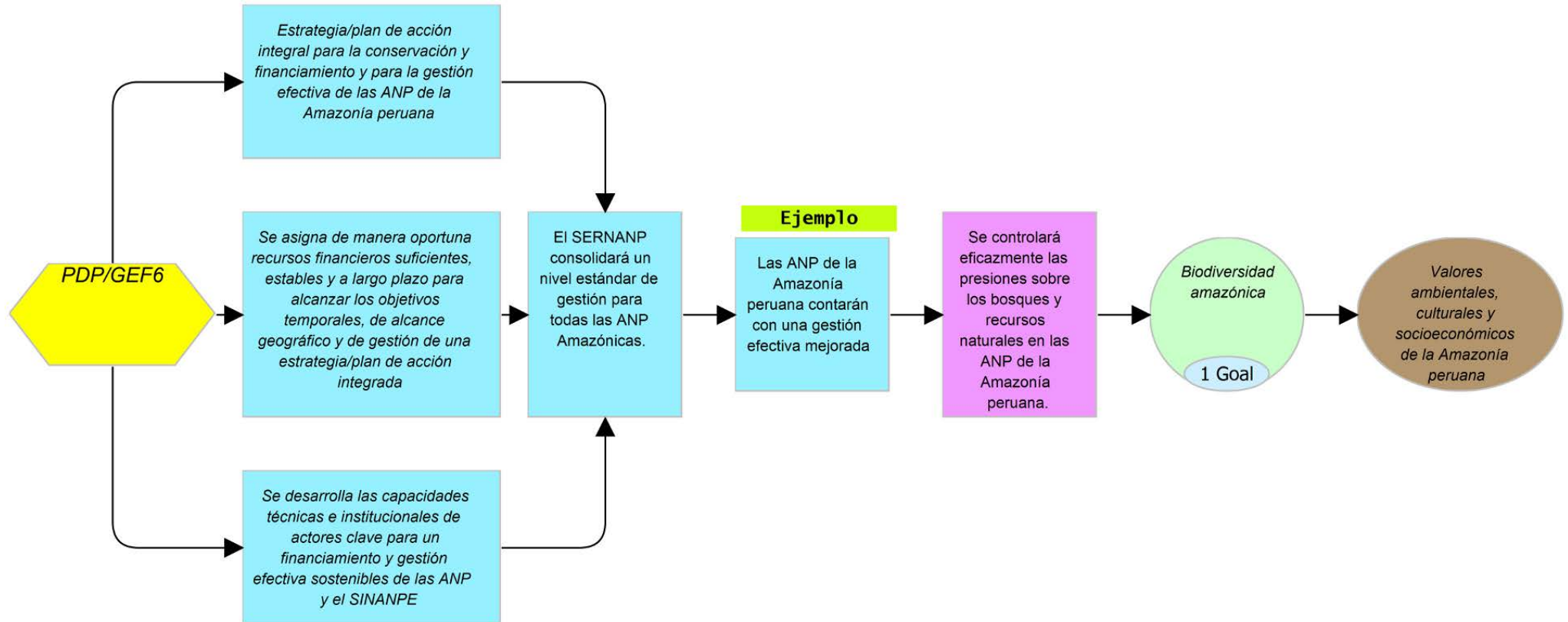
The itinerary below details the distribution of activities developed by the evaluation team.

Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Sunday
19 July	20 July	21 July	22 July	23 July	24 July	25 July
	<b>Desk Phase</b> (Document Review, internal team meetings) meeting WWF-US	<b>Desk Phase</b> (Document Review, internal team meetings)	<b>Desk Phase</b> Prepare Introductory PPT <b>Introductory meeting with PMU</b>	<b>Desk Phase</b> (contacts PMU/WWF; internal discussions)		
26 July	27 July	28 July	29 July	30 July	31 July	01 August
<b>Desk Phase</b> (Admin: review draft contract; negotiate planning; check on tax issues)	<b>Desk Phase</b> (Check document archives, internal team meetings; draft planning)	<b>Desk Phase</b> (Document Review, internal team meetings)	<b>Desk Phase</b> (Document Review, internal team meetings)	<b>Desk Phase</b> (Document Review, internal team meetings); review and sign contract		
02 August	03 August	04 August	05 August	06 August	07 August	08 August
<b>Desk Phase</b> (identification stakeholders; planning; document review)	<b>Desk Phase</b> (preparation evaluation questions) <b>PMU presentation (project in context)</b>	<b>Desk Phase</b> (preparation evaluation questions, approach; format inception report)	<b>Desk Phase</b> (drafting inception report)	<b>Desk Phase</b> (drafting inception report) <b>Delivery Inception Report</b>		
09 August	10 August	11 August	12 August	13 August	14 August	15 August
<b>Group meeting with GEF6-PdP PMU / WWF additional reading</b>	Adjust IR if applicable; additional reading develop interview questions / survey question	develop interview questions / survey questions additional reading	develop interview questions / survey questions Plan Stakeholder Interviews	Planning Interviews process comments IR/ deliver final IR issue surveys NPA managers/ trained staff		
16 August	17 August	18 August	19 August	20 August	21 August	22 August
<b>Group meeting with GEF6-PdP PMU</b> Planning Stakeholder Interviews	Planning Interviews Meeting C. Guerrero Meeting C. Yep	Planning Interviews Meeting C. Godfrey Meeting Z. Sánchez Meeting A. Cuba Meeting C. Bueno Meeting C. Reyes Meeting P. Nieto	Planning Interviews Meeting M. Otárola Meeting M. Tamara+2 Meeting H. Harrison Meeting C. Vergel Meeting D. Huamán reminder surveys NPAMs/ trained staff	Planning Interviews Meeting C. Sánchez Meeting M. Silva Meeting M. Arenas Meeting M. Huancillas Meeting B. Lobos Meeting L. Beck		

Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Sunday
<b>23 August</b>	<b>24 August</b>	<b>25 August</b>	<b>26 August</b>	<b>27 August</b>	<b>28 August</b>	<b>29 August</b>
Data Analysis Planning Interviews Meeting JC Heaton	Data Analysis Planning Interviews Meeting Filiberto Meeting L. Guinand	Data Analysis / Report Drafting Planning Interviews	Data Analysis / Report Drafting <b>Prepare Debriefing PPT</b> Planning Interviews Meeting L. Clemente	<b>Prepare Debriefing PPT</b> <b>Debriefing Meeting</b> (WWF/PMU/key SHs) Meeting L. Ruiz Meeting L. Arévalo		
<b>30 August</b>	<b>31 August</b>	<b>01 September</b>	<b>02 September</b>	<b>03 September</b>	<b>04 September</b>	<b>05 September</b>
Meeting S. Sánchez format inception report Report Drafting <b>Delivery preliminary Draft Report (WWF)</b>	Data Analysis / Report Drafting Meeting C. Aliaga Meeting H. Kaivi	Data Analysis Report Drafting; review comments WWF on preliminary Draft	Meeting C. Yanez; Data Analysis Report Drafting; review comments presentation preliminary findings	Data Analysis Report Drafting Meeting R, Valcárcel	Data Analysis Report Drafting	Data Analysis Report Drafting
<b>06 September</b>	<b>07 September</b>	<b>08 September</b>	<b>09 September</b>	<b>10 September</b>	<b>11 September</b>	<b>12 September</b>
Data Analysis / Report Drafting <b>Delivery Draft MTE Report (WWF/PMU)</b>						
<b>13 September</b>	<b>14 September</b>	<b>15 September</b>	<b>16 September</b>	<b>17 September</b>	<b>18 September</b>	<b>19 September</b>
Annexes	Annexes Contacts on outstanding information Comments received PMU	Comments / Report Consolidation Additional meeting with PMU on M&E Comments received WWF- GEF	Comments / Report Consolidation Add. Comments received WWF-GEF Comments received PROFONANPE	Comments / Report Consolidation Comments received PdP	Comments / Report Consolidation	Comments / Report Consolidation
<b>20 September</b>	<b>21 September</b>	<b>22 September</b>	<b>23 September</b>	<b>24 September</b>	<b>25 September</b>	<b>26 September</b>
Comments / Report Consolidation Delivery <b>Consolidated Final MTE Report</b>						
<b>27 September</b>	<b>28 September</b>	<b>29 September</b>	<b>30 September</b>	<b>01 October</b>	<b>02 October</b>	<b>03 October</b>

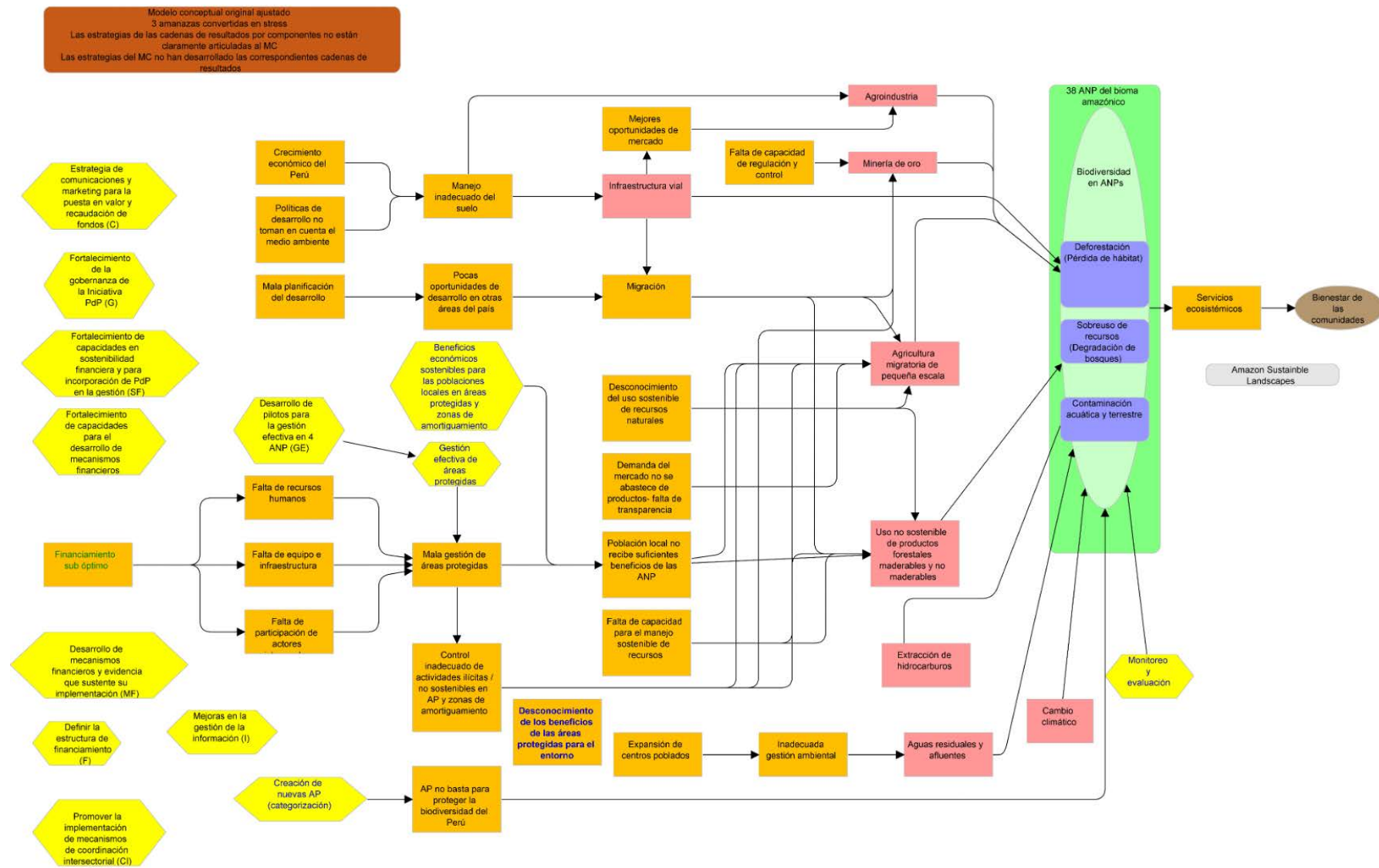
## Annex 8: Overview of development of the Theory of Change

### Annex 8a. Original Theory of Change from ProDoc

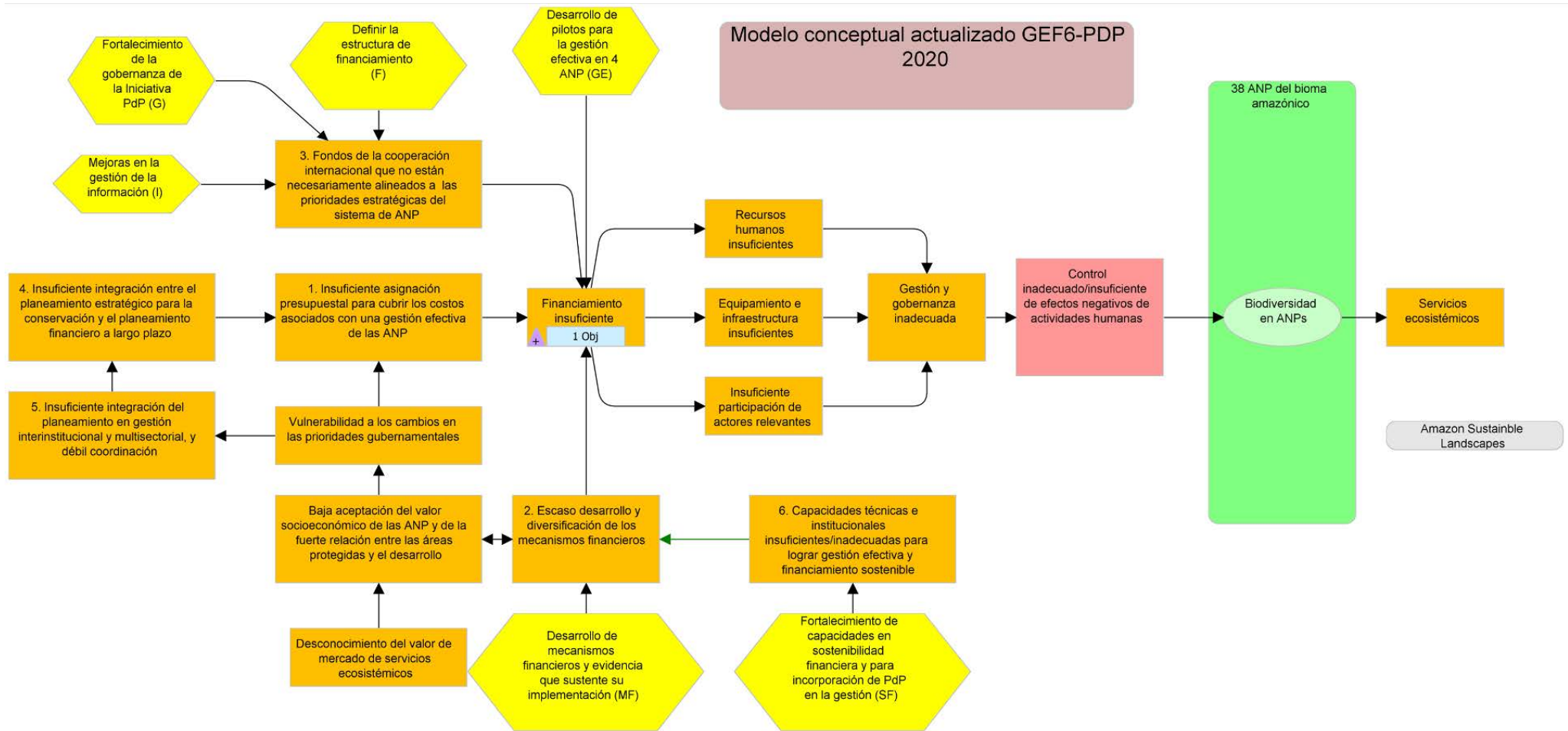




## Annex 8b. Adjusted original Theory of Changes (approved 2019)



## Annex 8c. Adjusted Theory of Change (approved 2020)



## Annex 9: Overview of project implementation (cumulative period July 2018-June 2021)

As per July 2021, the estimated level of implementation of the project stands at approximately **60% (estimated by the project)**.

Component	Result	Product	Activity	Estimated % Completed		
				Activity	Result	Compo
<b>Component 1:</b> Development of a multi-partner, public-private initiative for long-term financial sustainability of the NPAs in the Peruvian Amazon.	<b>1.1:</b> Government and donor commitment secured for a long-term financial sustainability initiative for effective management of Peru’s Amazon NPAs.	<b>1.1.1:</b> Un plan de acción integrado de conservación y finanzas de 10 años para consolidar y mejorar la efectividad de la gestión de las ANP nacionales de Amazonía según lo acordado entre los socios de la Iniciativa PdP	- Asistencia técnica a la Oficina de Planificación y Presupuesto y a la Unidad de Coordinación PdP para la actualización del modelo de costos y financiero de la Iniciativa PdP-Amazonía, a fin de transferir las capacidades para dicha actualización anualmente	50%	95%	<b>80%</b>
			- En el marco de la actualización del plan maestro de las 4 ANP beneficiarias del proyecto, se elaborará el modelo financiero (estrategia financiera) de las mismas, a fin de identificar potenciales mecanismos económicos a nivel de sitio	100%		
			- Impresión del Brochure de la El-Amazonía	100%		
		<b>1.1.2:</b> Acuerdo único firmado	-	100%		
		<b>1.1.3:</b> Estrategias de comunicación de donantes y recaudación de fondos para la Iniciativa PdP	- Estrategia de posicionamiento y el plan de comunicaciones de la Iniciativa PdP-Amazonía elaborada	100%		
	<b>1.2:</b> PdP Initiative for financial sustainability of NPAs in the Amazon operationalized.	<b>1.2.1:</b> Manual Operativo para la Iniciativa PdP	- Impresión del documento de trabajo y Brochure del MOP-Amazonía	100%	99%	
		<b>1.2.2:</b> Estructura de gobierno y sistemas de gestión para PdP establecidos	-	100%		
		<b>1.2.3:</b> Un sistema integral de gestión de la información financiera para todas las fuentes de financiación	- Contratación de la empresa consultora que elaborara el SISPOFFI (modulo financiero)	100%		
			- Pago final de la consultoría para la actualización del EMMA (anteriormente SIGA) de PROFONANPE	95%		
	<b>1.3:</b> PdP integrated in SERNANP and across other sectors for the management and financing of the Amazon NPAs.	<b>1.3.1:</b> Mecanismos de coordinación intersectorial	- Brindar asistencia técnica a la DDE para las reuniones del Consejo de Coordinación del SINANPE (CCS), en el marco del proceso de actualización del Plan Director, como parte del fomento de la coordinación inter-institucional, promover el diálogo multi-sectorial y estimular el apoyo a los mecanismos financieros a nivel nacional y/o de las ANP del bioma amazónico	0%	40%	
			<b>1.3.2:</b> Capacitación del personal en PdP	- Asistencia técnica y fortalecimiento de capacidades a las jefaturas de las ANP del bioma Amazónico (grupos 1, 2 y 3) sobre la Inciativa PdP-Amazonía, a fin que las metas de la El-Amazonía se incorporen en los planes maestros, según corresponda a cada ANP		
		- Asistencia técnica en el desarrollo de metodologías para la planificación estratégica de los planes maestros en las ANP del SINANPE		100%		
		- Priorización y capacitación focalizada a mejorar los conocimientos y habilidades del personal del SERNANP (sede central y jefaturas de ANP) en relación a la planificación financiera (mecanismos económicos) sostenible a largo plazo		100%		

Component	Result	Product	Activity	Estimated % Completed		
				Activity	Result	Compo
			- Entrenar modularmente al personal del SERNANP (sede central y ANP) en el uso, adaptación y facilitación de la metodología de estándares abiertos para la gestión efectiva de las ANP del bioma amazónico	100%		
		<b>1.3.3:</b> Soporte técnico para integrar PdP en el Plan Director de SINANPE	- Asistencia técnica para la actualización del plan director	100%		
<b>Component 2:</b> Diversification of sources to increase NPA financing.	<b>2.1:</b> NPA values and benefits showcased to increase public and private support for PdP and new financing mechanisms.	<b>2.1.1:</b> Estudios de impacto y valorización económica de las ANP	- Identificación y definición de los mecanismos financieros nacionales a ser desarrollados con el Proyecto GEF6-PdP	100%	75%	<b>65%</b>
		<b>2.1.2:</b> Campaña de comunicación para actores clave del Estado diseñada e implementada	- Desarrollar una propuesta técnica-normativa que permita se transfiera al SERNANP recursos financieros (cobro por uso de agua) de la Autoridad Nacional del Agua para la conservación y restauración de las cuencas al interior de las ANP a nivel nacional	50%		
	<b>2.2:</b> Increased options for the sustainable financing of NPAs.	<b>2.2.1:</b> Lista breve de mecanismos para generar ingresos para la financiación sostenible de las ANP de Amazonía	- Los mecanismos priorizados son MERESE, otorgamiento de facultades coactivas al SERNANP, contratos de administración y compensación ambiental	100%	60%	
		<b>2.2.2:</b> Estudios de factibilidad de mecanismos financieros seleccionados	- Brindar asistencia técnica a la DGANP para identificar potencialidades turísticas y evaluación del costo/beneficio ambiental, social y económico de implementar dichas potencialidades y plan de sitio para el PN Tingo María, el cual incluye el análisis de género	100%		
		<b>2.2.3:</b> Plan de acción y lineamientos desarrollados para la implementación de los mecanismos viables	- Identificación y definición de los mecanismos financieros nacionales a ser desarrollados con el Proyecto GEF6-PdP	20%		
		<b>2.2.4:</b> Implementación piloto de hasta tres mecanismos financieros a nivel de sitio específico, nuevos o mejorados, que obtengan el mejor puntaje	- Desarrollar una propuesta técnica-normativa que permita se transfiera al SERNANP recursos financieros (cobro por uso de agua) de la Autoridad Nacional del Agua para la conservación y restauración de las cuencas al interior de las ANP a nivel nacional	70%		
		<b>2.2.5:</b> Propuestas de mecanismos nuevos o mejorados a nivel nacional / de sitio	- Lineamientos de compensación ambiental y metodología de calculo financiero (medidas de conservación)	10%		
			- Brindar asistencia técnica a la Unidad Operativa Funcional de Turismo del SERNANP para el otorgamiento de derechos (PDA y PDV) y cobro de las tarifas de ingreso a las ANP de administración nacional (incluye las 38 ANP del bioma amazónico)	0%		
<b>Component 3:</b> Implementation of PdP Action Plan Measures to consolidate and improve the effective management of Amazon NPAs	<b>3.1:</b> Improvements in effective management levels contribute to the conservation of biodiversity, sustainable forest and natural resources management, and maintenance of ecosystem services in 2 to 4 Amazon NPAs.	<b>3.1.1:</b> Se han seleccionado 4 ANP de la lista corta para ser financiadas con el proyecto	-	100%	60%	<b>60%</b>
		<b>3.1.2:</b> Plan de trabajo y presupuesto para cada NPA seleccionado	- Plan de trabajo de las 4 ANP beneficiarias del proyecto aprobado	50%		
			- Contratación del especialista en salvaguardas para la UGP del proyecto	100%		
			- Elaboración de un estudio social para la demarcación (colocación de hitos) y construcción de un cerco vivo en la zona de uso especial en el SNTN	0%		
			- Plan de género del proyecto elaborado	100%		
			- Mecanismo de quejas/reclamos del proyecto elaborado	100%		

Component	Result	Product	Activity	Estimated % Completed		
				Activity	Result	Compo
			- Fortalecimiento de capacidades a la UC-PdP, SERNANP (Sede Central y 4 ANP del proyecto) y UGP en salvaguardas, género y mecanismo de quejas	100%		
		<b>3.1.3:</b> Implementación de actividades elegibles para consolidar y mejorar la gestión efectiva en las ANP beneficiarias.	- Transferencia de recursos al Fondo de Transición	100%		
			- Monitoreo y asistencia técnica para la planificación e implementación de las metas de la Iniciativa PdP-Amazonía en las 4 ANP piloto del Proyecto.	40%		
<b>Component 4:</b> Project Coordination and M&E.	<b>4.1:</b> M&E del proyecto se informa a la gerencia.	<b>4.1.1:</b> Project M&E informa a la gerencia del Proyecto.	- Revisar la teoría de cambio e indicadores del proyecto, y proponer los ajustes correspondientes.	50%	50%	<u>50%</u>
			- Realizar reuniones para la elaboración y presentación de informes con el Comité Técnico Especializado de la Junta Directiva de la Iniciativa PdP-Amazonía.	50%		
			- Realizar reuniones con las jefaturas de las 4 ANP beneficiarias para la evaluación del cumplimiento de las metas del POA y evaluación de los indicadores del Proyecto.	50%		
	<b>4.2:</b> Coordinación con el programa regional.	<b>4.2.1:</b> Coordinación con el programa regional.	- Reunión anual y coordinaciones con la ASL.	50%	50%	
			- Misión de WWF y reunión de intercambio de experiencias del Proyecto.	50%		
Project Management.	Actividades de oficina y campo.	Unidad de gestión de proyecto.	- Auditora al Proyecto.	50%	50%	--
			- Aprobación del POA e informes semestrales y anuales del Proyecto por parte de la JD-Iniciativa PdP.	50%		
			- Reuniones (presencial y/o virtual) de coordinación para la implementación del POA con SERNANP, WWF y Profonanpe.	50%		
			- Incurrir en costos indirectos de PROFONANPE (comunicaciones -tef, fax-, costo de funcionamiento del equipo, franqueo y envío, mantenimiento de la oficina, alquiler de la oficina, seguros, servicio de seguridad, soporte informático, energía y agua, supplies).	50%		
		Contratar personal para la UGP (Gerente del Proyecto, Especialista en ANP, Especialista en Sostenibilidad Financiera, Especialista en monitoreo y evaluación y asistente administrativo).	-	100%		

Note: Results 4.1 and 4.2 have been altered compared to the original description of the project component's result areas.

## Annex 10: Consultancies implemented

	Date	Consultancy	Output	Consultant
1.	23/03/2021-06/07/2021	Elaboración de plan de sitio del Parque Nacional de Tingo María	Análisis costo-beneficio de las potenciales actividades y servicios turísticos. Plan de inversiones del PNTM, donde se detalle el listado de las potenciales actividades y servicios turísticos a realizar en el corto, mediano y largo plazo	Medalih Elvira Soto Galarza
2.	15/04/2021-13/10/2021	Formular un diagnostico sobre las potencialidades de las Áreas Naturales Protegidas asociado a servicios eco-sistémicos o mecanismos de retribución para implementar Contratos de Administración	<b>Cancelled</b>	Raul Alberto Tolmos Saponara
3.	05/05/2021-04/10/2021	Formular una guía para la implementación de mecanismos de retribución por servicios eco-sistémicos hídricos en ANP y ejecutar los primeros pasos de su implementación en una ANP del bioma Amazónico	Guía Definitiva para implementación de Mecanismos de Retribución por Servicios Eco-sistémicos Hídricos en ANP	Asociación instituto Andino de Montaña
4.	06/09/2021-06/12/2021	Servicio de asistencia técnica para la elaboración del estudio de análisis social y ambiental de la demarcación física de un perímetro ubicado en el Sector Nor-Oeste del Santuario Nacional Tabaconas Namballe, colindante a la Comunidad Campesina de Segunda y Cajas, Distrito Carmen de la Frontera, Provincia de Huancabamba, Departamento Piura	Diseño y/o Revisión de la Estrategia Social de la Demarcación Física en el Perímetro Identificado. Elaboración del documento preliminar Informe de Análisis Social y Ambiental	Karla Melissa Mendoza Bailón
5.	20/01/2020-30/07/2020	Elaborar el plan de acción de género del proyecto	Plan de acción de género, el cual deberá incluir un presupuesto y un plan de monitoreo y evaluación sensible al género.	Martha Elvira Meiggs de Aroca
6.	28/01/2020-08/03/2020	Elaborar los protocolos y una propuesta metodológica para las medidas de compensación ambiental en las ANP de administración del SINANPE.	<b>Cancelled</b>	Carlos Marcizo Soncco Mamani
7.	02/05/2020-08/10/2020	Elaboración de un diagnostico de potenciales servicios turísticos que contribuyan al cierre de brechas de gestión de la Reserva Nacional Allpahuayo Mishana y elaboración del plan de sitio turístico.	<b>Cancelled</b>	Hidria, Ciencia, Ambiente y Desarrollo S.L.
8.	03/02/2020-10/05/2020	Brindar asesoría técnica para la compensación Ambiental para las ANP de administración nacional del SINANPE	Sistematización de todos los procesos de compensación que se vienen dando en el SINANPE.	Raisa Gabriela Castillo Santos
9.	13/05/2020-30/09/2020	Consultoría para la instrumentalización de los lineamientos metodológicos para la elaboración / actualización de planes maestros en las áreas naturales protegidas y el seguimiento para su implementación.	Propuestas de formatos y criterios para el seguimiento a las etapas de elaboración / actualización de planes maestros, los cuales serían llenados por la jefatura del ANP y la UOF pyp dentro de sus roles en el proceso de planificación, y en el marco de la propuesta modificada de lineamientos para la elaboración de los planes maestros para la gestión efectiva de las ANP, donde se incluya una guía para el manejo y aplicación de los formatos.	María del Pilar Bustillos
10.	06/01/2020-30/11/2020	Elaboración del plan de comunicación para la iniciativa "Patrimonio Natural del Perú"	Implementación del plan de comunicación	El Taller PE S.A.C.
11.	08/10/2020-12/10/2020	Capacitación al personal clave del SERNANP en gestión adaptativa, en particular en el uso y facilitación de herramientas para procesos de planificación y adaptación que fortalezca en el gestión efectiva de las ANP del bioma Amazónico.	Capacitación al personal del SERNANP	Armando Valdés Velásquez

	Date	Consultancy	Output	Consultant
12.	15/12/2020-14/06/2021	Elaborar un estudio de valoración económica del servicio de provisión hídrica en las principales cuencas provenientes de ANP de administración nacional del SINANPE.	Proceso de valoración económica del recurso hídrico, busca desarrollar el sustento económico para la propuesta de instrumento técnico-normativo. El éxito de este instrumento radica en un equilibrio entre el análisis Ambiental, económico y jurídico para la construcción del mecanismo económico, que pueda tener cierto grado de concertación y aprobación a nivel social y político.	Universidad del Pacífico
13.	23/12/2020-30/06/2021	Fortalecimiento del proceso de construcción de capacidades institucionales del SERNANP para el fortalecimiento de la gestión de las ANP del bioma Amazónico.	Capacitación que aborda módulos de: bases económicas, planificación, financiera, oportunidad de financiamiento, valoración económica, planes de negocio sostenible, estrategia de comunicación y negociación, sistematización y lecciones aprendidas y trabajo practico.	Conservation Strategy Fund



## Annex 11: Explanation on Ratings

### Outcoming Rating Classification:

Rating	Explanation
Highly satisfactory (HS)	Level of outcomes achieved clearly exceeds expectations and/or there were not shortcomings
Satisfactory (S)	Level of outcomes achieved was as expected and/or there were no or minor shortcomings.
Moderately satisfactory (MS)	Level of outcomes achieved more or less as expected and/or there were moderate shortcomings.
Moderately unsatisfactory (MU)	Level of outcomes achieved somewhat lower than expected and/or there were significant shortcomings.
Unsatisfactory (U)	Level of outcomes achieved substantially lower than expected and/or there were major shortcomings.
Highly unsatisfactory (HU)	Only a negligible level of outcomes achieved and/or there were severe shortcomings.
Unable to assess (UA)	The available information does not allow an assessment of the level of outcome achievements.

The calculation of overall outcomes rating of projects will consider all three criteria, of which relevance and effectiveness are critical. The rating on relevance will determine whether the overall rating will be in the unsatisfactory range (MU to HU). If the relevance rating is in the unsatisfactory range then the overall outcome will be in the unsatisfactory range as well. However, where the relevance rating is in the satisfactory range (HS to MS), the overall outcome rating could, depending on its effectiveness and efficiency rating, be either in the satisfactory range or in the unsatisfactory range. Overall Outcome achievement rating may not be higher than the effectiveness rating. For more details see GEF IEO TE Guidelines.

### Sustainability / Risk Rating Classification:

Rating	Explanation
Likely (L)	There are little or no risks to sustainability.
Moderately likely (ML)	There are moderate risks to sustainability.
Moderately unlikely (MU)	There are significant risks to sustainability.
Unlikely (U)	There are severe risks to sustainability.
Unable to assess (UA)	Unable to assess the expected incidence and magnitude of risks to sustainability.

### M&E Rating Classifications:

Rating	Explanation
Highly satisfactory (HS)	There were no shortcomings and quality of M&E design / implementation exceeded expectations.
Satisfactory (S)	There were no or minor shortcomings and quality of M&E design / implementation meets expectations.
Moderately satisfactory (MS)	There were some shortcomings and quality of M&E design / implementation more or less meets expectations.
Moderately unsatisfactory (MU)	There were significant shortcomings and quality of M&E design/ implementation somewhat lower than expected.
Unsatisfactory (U)	There were major shortcomings and quality of M&E design/ implementation substantially lower than expected.
Highly unsatisfactory (HU)	There were severe shortcomings in M&E design / implementation.

Rating	Explanation
Unable to assess (UA)	The available information does not allow an assessment of the quality of M&E design / implementation.

#### Implementation and Execution Rating Classifications:

Rating	Explanation
Highly satisfactory (HS)	There were no shortcomings and quality implementation / execution exceeded expectations.
Satisfactory (S)	There were no or minor shortcomings and quality implementation / execution meets expectations.
Moderately satisfactory (MS)	There were some shortcomings and quality of implementation / execution more or less meets expectations.
Moderately unsatisfactory (MU)	There were significant shortcomings and quality of implementation / execution somewhat lower than expected.
Unsatisfactory (U)	There were major shortcomings and quality of implementation / execution substantially lower than expected.
Highly unsatisfactory (HU)	There were severe shortcomings in quality of implementation / execution.
Unable to assess (UA)	The available information does not allow an assessment of the quality of implementation / execution.