



# UNITED NATIONS ENVIRONMENT PROGRAMME

Programme des Nations Unies pour l'environnement      Programa de las Naciones Unidas para el Medio Ambiente  
Программа Организации Объединенных Наций по окружающей среде      برنامج الأمم المتحدة للبيئة

联合国环境规划署



## PROJECT DOCUMENT

### SECTION 1: PROJECT IDENTIFICATION

- 1.1 Project title:** Communities of Conservation: Safeguarding the World's Most Threatened Species
- 1.2 Project number:** GFL/PMS: GEFSEC ID: 3790
- 1.3 Project type:** FSP
- 1.4 Trust Fund:** GEF
- 1.5 Strategic objectives:** GEF strategic long-term objective: BD1  
Strategic Programme for GEF IV: BD-SO1 (SP3), BD-SO2 (SP4, SP5)
- 1.6 UNEP priority:** Ecosystem Management
- 1.7 Geographical scope:** Regional (Venezuela, Colombia, Ecuador, Peru, and Bolivia)
- 1.8 Mode of execution:** External
- 1.9 Project executing organization:** Rare
- Supporting organizations:** Members of the Alliance for Zero Extinction (AZE), including Conservation International, Birdlife International and relevant in-country Government agencies.
- 1.10 Duration of project:** 36 months  
Commencing: Nov 01, 2009  
Completion: Nov 01, 2012

#### 1.11 Cost of project:

Variable		US\$	Percent of total
Cost to the GEF Trust Fund		1,775,000	49%
Co-financing			
	Cash (57%)	1,008,418	28%
	In-kind (43%)	773,093	22%
	Sub-total	1,781,511	51%
<b>Total</b>		<b>3,556,511</b>	<b>100%</b>

### 1.12. Project summary

The world faces an extinction crisis unlike any in human history. The Alliance for Zero Extinction (AZE), a consortium of over 60 of the world's leading biodiversity conservation organizations, has identified 595 terrestrial sites around the world that each encompass the entire known geographic distribution of one or more of 794 species. These species have minuscule ranges and tiny populations and are among the world's most threatened species as a result. Fully 257 of these sites are currently without any kind of protection; their destruction would mean the certain extinction of numerous species.

The Tropical Andes is the most biologically diverse region on Earth, containing, for example, about one-sixth of all plant species in an area that is less than one percent of the world's land surface. Among all biodiversity hotspots, the Andes has the highest birds diversity and endemism. Colombia, Peru and Ecuador hold the 1st, 2nd, and 4th places on the list of countries with the most avian species. About 664 species of endemic amphibians also occur there, and 450 species are threatened. The restricted ranges of so many of the species mean that there are over 100 AZE sites in the Tropical Andes. The Tropical Andes extend through Colombia, Peru, and Ecuador, which have, as a result, the second, fourth, and seventh most AZE species (restricted to single small sites) in the world.

Deforestation in the Andes has increased considerably since the 1970s and is becoming ever more widespread and intense, driven by immigration and rapidly expanding development, involving especially agriculture, cattle-ranching, highway construction, and petroleum exploration. Threats to AZE sites include habitat loss from expanding agriculture and pasture, fire, and small-scale logging for timber and firewood. Small, but now widespread and numerous, rural communities are the chief threat to these species, but these same communities also provide the best opportunity for lasting conservation in the Andes. If degradation of natural systems continues, rural Andean communities will lose the ecosystem services and the natural resource base upon which their societies have developed and depend.

Most alternatives to deforestation, including silviculture and the exploitation of non-timber forest products, are of little value to landowners. For the few alternative products and services that do have a high value, much of the value accrues to society, with few opportunities for landowners to benefit individually. There is frequently only one alternative to deforestation that has a high value that can be captured by individual landowners: the protection of watersheds through the conservation of the natural ecosystems that guarantee the perennialization and quality of water resources. The maintenance of native vegetation in the headwaters of the watershed is an intervention that delivers locally valued services with the greatest potential for providing environmental and socioeconomic benefits. This is obviously particularly relevant for the Andes.

Rare and its partners have identified 33 Andean forests that are important both for global biodiversity (i.e. AZE sites) and as sources of municipal/agricultural water supply, and have, besides, high potential for local community involvement in their conservation. In such watersheds across the Andes, there is a basic recognition of the need for shared investments in local watershed protection, often through traditional Andean Reciprocal Agreements for water. These *Arreglos Recíprocos para Agua* (ARA) are based on the precautionary principle and reciprocal sharing of benefits and responsibilities. However, few individual farmers in AZE watersheds are convinced about the value of participating in community-driven conservation. The social norms of a conservation constituency are not yet in place at these sites.

Rare Pride is a social marketing methodology that provides communities with the capacity to mobilize community norms in favor of viable conservation strategies, appropriate technologies, and livelihood assistance. Pride promotes solutions through powerful community outreach and social marketing techniques. The effectiveness of Rare's training model has been proved in the course of 150 campaigns undertaken in more than 40 countries around the world. A local leader, working in a local conservation organization, manages all Pride campaigns, with training and support from Rare. Local leaders have used Pride campaigns to create new protected areas and improve reserve management; reduce forest fires, illegal logging, destructive fishing and unsustainable agriculture; and provide refuges for numerous species on the brink of extinction.

Together with government agencies in Venezuela, Colombia, Ecuador, Peru and Bolivia and local NGO partners, from 2010 to 2012 Rare will design and implement a suite of social marketing conservation campaigns at AZE sites in the Andes. Project partners will build the capacity of local leaders and their communities to recognize, validate, and contribute towards sustained provision of local watershed and global biodiversity conservation benefits. The project will select 12 sites across the Andes where a reciprocal agreement for watershed services is an appropriate strategy to improve the status of the habitat for threatened species identified by AZE. Twelve local conservation leaders will then design and manage a Pride social marketing campaign and support their organization's ARA program. After matriculation in and completion of Rare's training program in the design and social marketing of conservation strategies, the Pride campaign managers and their organizations will be integrated into a community of practice and, through Rare's online project and knowledge sharing network, linked with global experts to provide continued support and advice (<[www.RarePlanet.org](http://www.RarePlanet.org)>).

Each Pride social marketing campaign will be developed locally to support a similarly designed ARA strategy, and will use a common protocol for measuring the impacts of this strategy on knowledge, attitudes, and behavior change, and upon species and habitat conservation status (by comparison to control sites). The community of practice will share lessons about these methodologies so as to accelerate learning and adoption of other ARA institutions for AZE conservation, while using uniform metrics that allow conservation impact to be compared to counterfactual scenarios without Pride campaigns and/or ARA programs.

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## ACRONYMS AND ABBREVIATIONS

ABC	American Bird Conservancy
ARA	Andean Reciprocal Agreement or <i>Arreglo Recíproco para Agua</i> (Reciprocal Agreement for Watershed Services)
AZE	Alliance for Zero Extinction
CBD	Convention on Biological Diversity
CI	Conservation International
CITES	The Convention on International Trade in Endangered Species of Wild Fauna and Flora
CMP	Conservation Measures Partnership
CM	Conservation Mosaic
CR	Critically Endangered Species
CTF	Conservation Trust Fund
EA	Executing Agency
EN	Endangered Species
EOU	Evaluation and Oversight Unit (UNEP)
GEF	Global Environment Facility
IIED	International Institute for Environment and Development
IUCN	International Union for Conservation of Nature
IWM	Integrated Watershed Management
LAP	Lead Agency Partner
M&E	Monitoring & Evaluation
METT	Management Effectiveness Tracking Tool for Protected Areas
MOU	Memorandum of Understanding
NBSAP	National Biodiversity Strategy and Action Plan
NGO	Non-governmental organization
NPAS	National Protected Areas System
PA	Protected Area
PES	Payments for Environmental Services
PIR	Project Implementation Review
PPM	Pride Program Managers
PWS	Payments for Watershed Services
RA	Rainforest Alliance
TNC	The Nature Conservancy
TOC	Theory of Change
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UTEP	The University Texas at El Paso
WWF	World Wildlife Fund

## SECTION 2: BACKGROUND AND SITUATION ANALYSIS (BASELINE COURSE OF ACTION)

### 2.1. Background and context

Astério Ayala is worried. With each year passing year, he sees fewer rain clouds above his farm in Bolivia's Alto Amboró. Astério realizes the importance of forest cover for the water cycle; indeed, he is protecting almost 30 ha of his cloud forests through a locally managed reciprocal agreement for watershed services (ARA; *Arreglo Recíproco para Agua* or Andean Reciprocal Agreement). The Los Negros Water Cooperative is compensating Asterio with beehives and training in honey production as an incentive for him to conserve his water-producing cloud forests. However, such efforts are no longer enough. Downstream, Delfin Rivero's spinach crops receive less and less moisture each year. With current rates of deforestation, Delfin expects that in 10 years the Río Los Negros—and his spinach fields—will be dry from June until August. With climate change already being perceived in Los Negros, Delfin fears for the town's future.

The eastern slopes of the Andes support some of the world's most biologically diverse forests. Alto Amboró is the only home of a critically endangered frog, *Gastrotheca splendens* (Amphignathodontidae), and has been identified as an Alliance for Zero Extinction (AZE) site: the area that must be protected if we are to prevent the species from going extinct. Amboró National Park is home to 10% of the world's bird species, while its cloud forests provide important environmental services to Bolivian society. Alto Amboró provides drinking water to the 1.5 million residents of the city of Santa Cruz de la Sierra, supplies irrigation water and flood protection to the fertile lowlands where soy and rice producers drive Bolivia's agricultural export economy, and, by sequestering carbon, helps mitigate effects of global climate change.

But all is not well in Alto Amboró. Remaining forests are increasingly threatened by illegal land incursions. Encouraged by farmers' unions and local leaders, landless migrants from the Bolivian Altiplano are clearing the "water-producing" cloud forests for agriculture, and destroying the last habitat of species such as *Gastrotheca splendens*. Fortunately, in the case of Alto Amboró, a solution can work for Astério, for Delfin, and for *Gastrotheca splendens*. This solution emerged through the creative community engagement work of Paulina Pinto, a local conservation leader. Paulina showed Astério and other farmers that if they voluntarily agreed to protect their cloud forests, they could trust that their commitments would be matched with an agreed-upon compensation from downstream: support for honey production through which they could increase their revenues without clearing the trees.

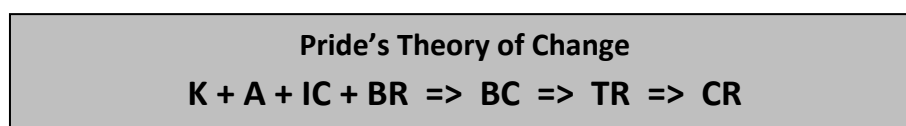
But if municipal leaders are to invest in upstream conservation, they need to convince their constituents—the people who will vote for them—that paying for forest conservation is a wise use of scarce municipal funds. In short, they need to "market" the importance of forest conservation for the maintenance of their municipal supplies. By talking with municipal leaders around Alto Amboró, Paulina helped them understand how "reciprocal agreements" could improve water availability (flow) by protecting headwater forests, and would, besides, reduce tensions between water users such as Delfin and upland farmers such as Astério.

After two years, municipal leaders became convinced that this could be sustainable. They could contribute enough, together with local conservation groups, to cover the opportunity costs for upstream landowners to set aside these cloud forest lands for conservation. And looking forward into the coming decade, they anticipate that cities such as Santa Cruz, and even national programs, might eventually support compensation for conservation that promotes climate resilience, benefits biodiversity and contributes to carbon sequestration. Being among the first to adopt “reciprocal agreements”, they expect that they will be the first to show how the practical management of these systems can work, and consequently establish their eligibility for future programs.

But one of the lessons learned by Paulina from this experience is that the ability to communicate with the community is not an intuitive skill, and requires specific capacities. Initially, she used technocratic terms, such as “payments for watershed services” to describe her organization’s approach, which worked against community receptivity and slowed its adoption and delayed municipal support. As with many conservation efforts, an innovative strategy of conservation incentives was not matched with a community engagement and communication strategy that could accelerate the desired behavior change. Since this first effort at Los Negros, Paulina learned from staff at Rare, an international NGO specializing in techniques for building public support for conservation, how social marketing campaigns can boost community buy-in for forest conservation, by giving people a sense of “pride” for the natural resources under their stewardship. When Paulina now talks of replicating “reciprocal agreements,” she recommends that the Rare Pride social marketing campaign methodology be used.

Rare is a leader in social marketing for biodiversity conservation and has a successful track record in more than 50 countries to date. The organization works globally to equip people in the world’s most threatened natural areas with the tools and motivation they need to care for their natural environment. By training and supporting leaders from environmental organizations, local grassroots groups, and governments around the world, these biodiversity practitioners have now become aware how failure to create support at the community level can significantly reduce the chance of conservation success.

Rare’s proven model for changing awareness, attitudes, and behaviors toward conservation at the local level, known as a “Pride” campaign, consists in intensive two year-long marketing efforts that borrow private sector tactics and apply them to promoting more environmentally sustainable practices. To design each campaign, Rare Pride uses a general Theory of Change (ToC) to illustrate how the stages of behavior change that individuals pass through while adopting new behaviors can lead to a reduction in threats and to a positive conservation result. This ToC underlies Pride campaign messaging and is used to design the impact monitoring. Indicators can be developed and measured for each component of the ToC.



Where:

- Knowledge (K) in this case is a cognitive awareness of, and a specific and accurate knowledge about, the role of AZE species habitat in the provision of water services, and about the role of reciprocal agreements as a local institution to conserve both species and water services.
- Attitude (A) in this case is the acquisition of favorable attitudes towards reciprocal agreements and the belief that the advantages of adopting reciprocal agreements outweigh any disadvantages.

- Interpersonal Communication (IC) in this case is the discussion among key Pride campaign target groups (for example, farmers and municipal authorities) to validate their new attitudes and to help persuade individuals to try reciprocal agreements and contribute to their sustainability. IC can also be used to generate and diffuse a sense of community acceptance of a new social norm around these schemes.
- Barrier Removal strategy (BR) in this case is the reciprocal agreement scheme, one for forest conservation in return for water provision.
- Behavior Change (BC) in this case the adoption of reciprocal agreements by agriculturalists, and the contribution of municipalities to their funding will be the behavior change objectives.
- Threat Reduction (TR) for a key biodiversity target; in this case it will be a reduction in the rate of clearance of páramos and forest in the micro watersheds in which agriculturalists adopt reciprocal agreements.
- Conservation Result (CR) in this case is the protection of forest that would otherwise have been lost, a reduction in threat to one or more threatened species, and the maintenance of water resources, locally and regionally (sub-national).

To date, Rare has trained 158 local leaders in the developing world, whose campaigns have influenced more than 6.8 million people living in over 2,400 remote communities. However, none of these campaigns would have been effective without the savvy and conviction of local partners. Through such partnerships, durable conservation results have been achieved to create new protected areas and better reserve management; reduce forest fires, illegal logging, destructive fishing and unsustainable agriculture; and save multiple species on the brink of extinction.

In the current project, Rare is looking to focus its effort to the tropical Andes and find partners willing and able to work towards conserving the world's most threatened species. Without comprehensive, locally driven conservation efforts, many AZE species are unlikely to survive this century. However, most governments in Latin America have more urgent priorities than biodiversity conservation, and simply cannot afford, economically or politically, to increase public revenue investments to expand protected areas for the conservation of threatened species. The protection of AZE species is not on any public agenda in the Andes, and even when appropriate laws are on the books, there is little pressure to enforce them. This project will thus address the lack of a local conservation constituency for the most threatened species in the Andes. Through the assembly of a cohort of local campaigns for reciprocal water agreements, reinforced and accelerated by the Rare Pride social marketing methodology, the project will explicitly link habitat conservation with human needs and wellbeing. The resulting local constituencies, which will be networked in the region to gain continuing support for the local and global services they provide, can sustain the effort needed to establish a public conservation goal that encompasses the rarest of species. The current project therefore proposes a 2010–2012 cohort of Pride campaigns for Latin America through which Rare will enable local partners to apply a social marketing program at 12 sites with the aim of facilitating and promoting the adoption of one discrete conservation solution: reciprocal agreements for watershed services (ARA) programs. Their common aim: to reduce deforestation caused by agricultural activities in the Tropical Andes and help conserve the habitat of endangered species.



## 2.2. Global significance

The world finds itself today facing a species extinction crisis unlike any in human history. The AZE, a consortium of over 60 of the world's leading biodiversity conservation organizations (see: <[www.zeroextinction.org](http://www.zeroextinction.org)>), has identified 595 terrestrial sites around the world that encompass the entire geographic range of one or more critically threatened species. AZE sites are the front lines of the global extinction crisis, and a bellwether for global biodiversity conservation. They are home to 794 of the world's most threatened species, each considered Endangered (EN) or Critically Endangered (CR) on the 2008 IUCN Red List of Threatened Species (<[www.iucnredlist.org](http://www.iucnredlist.org)>). Of these sites, 257 are currently without formal protection of any kind.

The AZE provides an important tool for nations that are aiming to meet the 2010 biodiversity target of the Convention on Biological Diversity (CBD); as such the protection of AZE sites presents an irreplaceable global asset for biodiversity conservation. The destruction of these sites would mean the certain extinction of numerous species; their protection provides for cases where a single concrete conservation measure can tangibly save a species from extinction, while also contributing to secure refuges for the many thousands of other less threatened taxa that comprise the biological communities where the "AZE Trigger Species" lives. In their 2003 World Parks Congress message to the CBD, delegates requested that nations "effectively conserve all globally threatened species *in situ* with an immediate emphasis on all globally critically endangered and endangered species confined to a single site."

The Tropical Andes is the most biologically diverse region on Earth, containing, for example, about one-sixth of all plant species in an area that is less than 1% of the world's land surface. Among all biodiversity hotspots, the Andes has the highest birds diversity and endemism. Colombia, Peru and Ecuador hold the 1st, 2nd, and 4th places on the list of countries with the most avian species. About 664 endemic species of amphibians occur there, and almost 450 amphibian species are threatened. The restricted ranges of so many of the species mean that there are over 100 AZE sites in the Tropical Andes. The Tropical Andes extend through Colombia, Peru, and Ecuador, which have, as a result, the second, fourth, and seventh most AZE species (restricted to single small sites) in the world. Together, this region accounts for one-fifth of AZE sites globally, more than any other of World Wildlife Fund's eco-regions or Conservation International's hotspots.

Among the terrestrial AZE sites in the Andes, 56 of 123 are recorded on the IUCN Red List as not occurring in any protected areas. Many of these sites lie within the buffer zones of national or state protected areas, or in areas designated by conservation organizations as priority connectivity zones between protected areas. Protecting ecosystems (vegetation types) which are underrepresented in protected area systems, and protecting habitat for threatened species through protected area systems are key priorities, as declared by the IUCN at its last World Parks Congress in 2003. Protecting species and ecosystems is an explicit goal of the 2010 CBD targets. Because most existing protected areas in the Andes are underfunded, many Andean countries are strengthening protected area networks with programs providing incentives for conservation on private and community lands. Contracting for easements on private land to gain representation for the most endangered species is most feasible where a service complementary to biodiversity protection is also provided by habitat protection. For the steep-sloped agricultural landscapes of the mid-altitude Andes, this is most often a water service for downstream users. An analysis by Mulligan and Burke shows that more than 70% of AZE sites in the Andes are in areas originally covered by cloud forest<sup>1</sup>.

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<sup>1</sup> Mulligan, M. and Burke, S.M. (2005) DFID FRP Project ZF0216 Global cloud forests and environmental change in a hydrological context. Final Report. December 2005. Accessed at <[www.ambiotek.com](http://www.ambiotek.com)>.

Cloud forest ecosystems, unlike many other forest ecosystems, condense water from the atmosphere at least as much as they pump water into the atmosphere through evapotranspiration. Where a watershed service is also provided, there is a potential for creating sustainable finance for private lands conservation into the future, or to eventually justify the designation of new protected areas for both biodiversity and ecosystem service value. Addressing the direct drivers of cloud forest loss and degradation in an innovative fashion is, therefore, of global significance, not only for the high biodiversity value of the lands to be conserved, but also for the urgent need to build a community of practice and replicable approaches for AZE sites worldwide.

Scientists recognize AZE sites as the leading edge of the global extinction crisis, but this AZE site status is little known by the local communities that share this designation. The remote communities near AZE sites are usually disconnected from national biodiversity strategies or protected area management planning, and completely unaware that species occurring in their region are found nowhere else. Lacking awareness of their AZE site status as such, they are unable to assert themselves as deserving of greater conservation effort from regional/provincial or national authorities. Biodiversity conservation at national levels is often unsustainable because there is little local constituency pressure to defend local ecosystem service values and the biodiversity patrimony. The capacity of a local conservation constituency to defend these values within natural resource governance is also a gap identified at the 2003 World Parks Congress and an issue targeted by the CBD.

### ***2.3. Threats, root causes and barrier analysis***

Deforestation in the Andes is continuing, and increasing for one fundamental reason: it is in the economic interest of most forest owners to mine their resources and to cut down the trees and plant rice or other crops. This phenomenon is exacerbated when the land rights of the forests' owners are unclear or unenforceable. In most of the mid-altitude Andes (1500-2500 m above sea level), new colonists and existing residents both deforest at the rate of about 1–1.5 ha per family per year. However, there are different foci for the deforestation carried out by the two groups. Long-standing landowners tend to deforest young and old fallow areas as close as possible to existing communities, and hence away from the cloud forests. In contrast, in areas such as Ecuador's Pichincha municipality, new colonists clear old growth forest that is distant from the communities, where existing land claims are weaker or land management is null or unapparent. Deforestation by new colonists on apparently "unclaimed" land is thus the greatest threat to Andean forests and the species that inhabit them.

The principal threats to Andean AZE sites, summarized in Table 1, are habitat loss and degradation resulting from clear-cutting and burning by the rural communities for agriculture, livestock farming and from small-scale wood extraction. The degradation and fragmentation of these forests is not only detrimental to the ecosystem services they provide, but also result in floods and altered hydrological and geochemical regimes that affect entire river basins. As the chief proximate threat to AZE sites and species, representing effectively the rich and diverse biological communities of the Andean ecosystems, the local human communities are the key to lasting conservation in the Andes. If the degradation of these natural systems continues, rural Andean communities will lose the ecosystem services and the natural resource base upon which their livelihoods depend.

**Table 1. Principal threats to AZE sites in Venezuela, Colombia, Ecuador, Peru and Bolivia, the causes of these threats, and strategies for their reduction**

Threats to the integrity of AZE sites	Main causes of Threat	Relative Importance of Threat to Andean AZE Sites	Threat-reduction mechanism	Success potential
1. Loss of native vegetation	Deforestation of upper slopes for agriculture	Very high	Better enforcement of existing laws and regulations	Low
			Establishment of new state-managed protected areas.	
			Provision of incentives for alternatives to slash and burn agriculture and change in social norms	High
2. Ecosystem degradation and erosion	Cattle grazing, fuelwood extraction	Very high	Provision of economical alternatives such as stabling, improved livestock and pasture, fencing, efficient fuelwood stoves and change social norms	Medium
	Fires to improve grazing quality	High	New legislation or improved enforcement of existing laws and regulations	Low
			Improve pasture quality / seeds and change social norms and farming practices	High
3. Hunting, overexploitation of forest resources, leading to species loss	Community extractive use of forest/ páramo species	Low	New legislation, or improved enforcement of existing laws and regulations, change hunting practices (reduce off-take), introduce the concept and the practice of sustainable harvesting (including no-take zones).	Low
			Economic alternatives and change social norms	High
4. Invasive species (Including chytrid fungal disease)	Various: climate change, pollution, others	High	Captive Breeding	Med

Source: Rare Conservation

A thorough barrier analysis is required if Rare is to develop and implement threat-reduction campaigns for AZE sites, using social marketing interventions with local communities that will reduce the most important causes of deforestation in their local context. This analysis was carried out during project preparation, and concentrated mostly on possibilities for livelihood assistance. Here the main barriers were found to be a lack of means and technical support to adopt livelihood options other than those that lead to deforestation, besides a lack of institutional support and enabling conditions. A Pride campaign is the answer where low community engagement is a barrier to change, and to achieving conservation results. Rare believes that engendering municipal and community interest in the protection of local water sources, and the forests that maintain them, may be the easiest barrier to overcome. Changing to new sustainable livelihoods, however, is a greater challenge, and may not be so easy to attain or sustain. Rare has analyzed threat-reduction strategies that are most likely to work in the Andes considering a range of options, from sustainable forestry to ecotourism, and has concluded that some may be more effective than others.

### ***Local benefit from biodiversity conservation***

Most Andean communities neither know nor care about AZE species. *Gastrotheca splendens* is unknown to the farmers in Alto Amboró, who cultivate fruits and vegetables for the cities of Santa Cruz and Cochabamba. Dairy farming—albeit with relatively low milk yields—dominates the valley below the Ecuadorian AZE site of Papallacta. Butter, cheese and yoghurt are sold to a cooperative in the nearby city of Quito. In these and other Andean AZE sites, conservation has a significant opportunity cost, and there are few alternatives that can compete with land clearance (Table 2).

**Table 2. The value of land uses at AZE sites and how it is captured**

Land use/value generating activity	Products or services	Value captured by land owner*	Value captured by society*	Potential for value captured by society to be transferred back to landowner
<i>Intact forest</i>				
Sustainable timber production	Wood for furniture, construction	Medium	Low	Low, unless benefits can be obtained from “eco” certification, the start-up costs of which are onerous for small or low-intensity producers.
Non-timber forest products	Medicines, foods, wood for crafts, firewood	Low	Low	Low
Shade for coffee	Biodiversity-friendly production	Low	High	Low. Demand for “bird-friendly” coffee is limited, and there relatively few AZE sites where coffee production is feasible.
Carbon sequestration	Carbon credits	Low	High	Low. Carbon markets are undeveloped; few buyers and very uncertain.
Natural ecosystems	Ecotourism	Low-High	Low	Low for most areas but can be very high locally; however, market demand

Land use/value generating activity	Products or services	Value captured by land owner*	Value captured by society*	Potential for value captured by society to be transferred back to landowner
				is limited and cannot, therefore, be replicated across the entire region.
Watershed protection	Quantity and quality of water supplies, flooding avoidance; reduced erosion and the maintenance of “natural” silt loads.	Low	High	High, there are many municipalities that depend on AZE sites for water; market demand is high.
<i>Deforested land</i>				
Pasture	Milk and dairy products, beef	Very high	Low	Low
Cropland	Vegetables, flowers, fruits	Very high	Low	Low

Source: Rare Conservation (\*Values estimated from literature review.)

Most alternatives to deforestation, including sustainable timber production and the collection of non-timber forest products, are of very low value to the landowner—the person who decides whether conservation will or will not take place. For the few alternative products and services that do have a high value, much of this value accrues to society, with few opportunities for the landowner himself to benefit. Further, although CI, the Rainforest Alliance (RA), and Fundación Maquipucuna have marketed pro-conservation coffee from a few sites in Colombia and Ecuador, and carbon sequestration projects have also been piloted in these countries, successful examples of these alternatives significantly increasing local incomes are few and far between. As Table 2 shows, there is only one alternative to deforestation that has a high value ascribed by society that can be captured by landowners: watershed protection. This ability to provide a direct benefit is needed for a social marketing program.

In our review of all Andean AZE sites where conservation organizations are active, Rare thus found that the strategy most commonly under development was to gain support for conservation because of the watershed services forests provide. Rare concludes, therefore, that in contrast to the idea we originally outlined in the PIF for this proposal in which we would develop a slightly different threat-reduction strategy at each AZE site it might actually be possible, and preferable, for *all* of our selected sites to have the *same* basic strategy: that of creating value in watershed protection—of interest to communities from northern Venezuela to southern Bolivia: drinking, hydropower, and irrigation water.

## 2.4. Institutional, sectoral and policy context

Most water users would prefer their water supply to be free, and most upstream land managers would prefer their activities to be unrestricted. However, the upper watersheds that should provide clean water to downstream users often have to support additional and sometimes conflicting functions, such as agriculture and forestry. Existing regulatory frameworks have often proved incapable of reconciling these conflicting needs. The fundamental problem in the Andean context is that poor uplands farmers are being asked to provide a public good at a private cost to them. The community of Oyacachi, for example, high above Ecuador's Papallacta Valley AZE site has been asked to refrain from grazing its cattle in sensitive páramo areas, with nothing offered in return.

When public goods are at stake, there is a crucial role for central governments to help society afford the costs of maintaining them and to cut the Gordian knot of private cost and public benefits. The response by national governments across the Andes has varied, ranging from merely erecting fences around protected areas and keeping people out (for example, Colombia's La Planada AZE site), to proactively integrating communities within the management structure for PA buffer zones (for example, Peru's newly organization SERNANP resolving conflicts in the Cordillera Azul AZE site), to subsidizing poor landowners to conserve their forests outside PAs (for example, Ecuador's Socio Bosque program helping communities close to the eastern flanks of Pichincha AZE site).

This range in interest shows that the different national governments vary in their ability to influence, upper watershed management in critical ecosystems. Bolivia's central government has created protected areas with buffer zones, but so far has lacked the resources to link PAs to a strategic environmental services policy (although this policy is currently being developed with funds from the Spanish government). In Venezuela, INPARQUES runs the protected area system but has shown little interest in the importance of environmental services, although an underused national program (*Subsidio Conservacionista*) constitutes a potential legal framework for a local watershed management approach, and there are signs that this could be approved by central government. Somewhat further advanced is the Peruvian government, which recently recognized the importance and potential of environmental services as a conservation tool. In 2003, Peru created the Servicio Nacional de Areas NATurales Protegidas - SERNAP (National Service of the Protected National Areas by the State) – an Adscript Organism of the Ministry of the Environment, in order to develop a strategy and program for better managing the buffer zones of protected areas for the services they provide. In 2009, Peru developed a new entity, the Autoridad Nacional del Agua – ANA (National Water Authority) that will coordinate integrated watershed management across the country.

Ecuador has clearly led the way, building on the lessons from national ecosystem service schemes in Costa Rica and Mexico. In 2008, Ecuador developed its own "Socio Bosque" program, consisting of direct annual monetary incentives per hectare of forest given by the Government to individual landowners or indigenous communities who voluntarily decide to protect their native forest. Socio Bosque assures direct and equitable benefits for the local people who contribute to the reduction of deforestation rates, and seeks to reconcile conservation and human well-being. With the program, the government aims to protect 4 million ha of native forest, provide for significant reductions of Greenhouse Gas emissions caused by deforestation, and improve the living conditions of 1 million of the poorest people of the country.

The Colombian government has also created innovative mechanisms for the financing of watershed conservation, but watershed management has in general been devolved to the provincial (*corporación*) level, where the bulk of environmental finance is administered (Blanco *et al.*, 2005). Most such conservation funds go to traditional project activities, studies, and administration. A national program for the protection of critical watersheds was recently designed, yet the CIF de Conservación (Forest Certification Incentive for Conservation) was never implemented due to lack of funds. The Familias Guardabosques is another national scheme, but has no real environmental conditionality and is principally a program for eradicating coca bushes (Blanco *et al.*, 2005). Successful watershed management experiences include a water-fund irrigator scheme in the Cauca Valley, which features payments by beneficiaries of watershed services but does not yet provide direct compensation for service providers.

In short then, there is increasing governmental interest across all the Andean nations to develop innovative mechanisms for linking conservation and watershed management. In terms of actually trying to conditionally subsidize landowners to protect their upper watersheds, however, responses have varied.

Notwithstanding the crucial role of central governments in facilitating management of natural resources in general and ecosystem services in particular, over the last two decades all five Andean countries served by this proposal have initiated, and in some cases completed, a deep decentralization process. For example, Bolivia's decentralization law (the law of popular participation) has facilitated the development of locally based solutions. The law was part of a packet of reforms designed to make public investment more efficient. Critically important was the goal of including actors who had traditionally been marginalized, including indigenous peoples and subsistence farmers. Responding to the need to decentralize the administration of health, education and road services, the government opted for "municipalizing" the country, making municipalities governing entities that are autonomous from central government, with their own budgets and power to take decisions within the municipality. Municipalities are now responsible for water supply and sanitation and could be the buyers of watershed management services. Bolivia's municipalities thus now have some degree of the authority, and some of the funds to manage the natural resources, such as forests, water and wildlife, that lie within their borders.

This decentralization process has been repeated throughout the region at different levels: to the regional corporations in Colombia and to municipalities elsewhere, although in Venezuela and Bolivia this process has in recent years been reversed as central governments have tried to take back some powers (Table 3).

**Table 3. Decision-making authority over watershed management in Andean countries**

Country	Legal <i>de jure</i> authority	Actual <i>de facto</i> authority
Venezuela	Municipal and central government	Communities and central government
Colombia	Municipal government and regional <i>Corporaciones</i>	Corporaciones
Ecuador	Municipal government	Municipal government
Peru	Central and Regional government	Central and Regional government
Bolivia	Municipal and central government	Communities/municipal government

Source: Rare Conservation, national information sources

Given the opportunities that Andean decentralization laws have provided, many local communities have been able to use their own customary laws and develop innovative institutions to manage natural resources. Such associations are often entirely autonomous and self-managed; they generally have complex rules and norms that revolve around rights (often water rights are de-linked from land rights), responsibilities, and conflict resolution.

For example, watersheds close to the Parjacti AZE site in Bolivia support several functionally independent irrigation systems, many of which were developed in pre-colonial times. Each of these systems has developed its own modalities, such as turns, which can be bought and sold, in cash or in kind. The crucial innovation in many of these systems is that resource users have the right to a fixed amount of water, and can use it for irrigating any of their plots (even those outside the system). In this way, the systems have disconnected the water/land relationship and thus separated land and water rights. This has allowed development of a market for water and has encouraged water owners to sell their rights to buyers such as residential users. Under extremely dry conditions, even complex inter-sectorial water transfers have been undertaken.

This is, however, somewhat different from the western understanding of payments and trades. The concept of reciprocity is fundamental to the Andean cosmovision. Reciprocal agreements—*arreglos recíprocos*—for watershed management are part of the Andean lexicon, but only within the larger concept of solidarity agreements—*arreglos solidarios*. Sharing between upstream and downstream the value of water and the responsibility of caring for its supply is fundamental to survival of the communities. This is understood not in the currently fashionable construct of “Payments for Watershed Services” (PWS), with its focus on calculating precise service values and the willingness-to-pay of users, along with monitoring rates of service provision, additionality and leakage. Rather, Andean “incentive-based watershed management” is based on the precautionary principle along with reciprocal sharing of benefits and responsibilities.

PWS follow a strict economic logic. Downstream service users benefit from the upstream land use practices that ensure the supply of services such as protection from erosion and sedimentation, and stream flow stabilization. However, if upstream service providers are to take appropriate land use decisions, and provide downstream users with such services, they need to be compensated for their opportunity costs, i.e., the economic gains they would have made if they had continued with their prior land use plan. In one definition<sup>2</sup>, transactions are: (1) voluntary (2) between at least one service buyer (3) and at least one seller (4), focused on a well-defined service (or a land use likely to provide that service), and (5) conditional upon contract compliance.

The starting point underlying the Andean “reciprocal agreements for water” (ARA) is the same, i.e., those who benefit from water provision which imposes costs on others should help pay for those costs. But here the similarities end. In contrast to the PWS concept built solely on economic principles with little concern for social norms, ARA are founded on community norms in support of implicit social contracts for sharing management authority and responsibility<sup>3</sup>. The implementation of ARA requires considerably less economic and hydrological data than PWS, but is far more dependent on the creation and maintenance of new or latent social norms (Table 4). This characteristic makes this conservation strategy especially receptive to community mobilization campaigns to strengthen the social norm underlying the strategy.

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<sup>2</sup> Wunder S., 2005. Payments for environmental services: some nuts and bolts. *CIFOR Occasional paper*, 42.

<sup>3</sup> The effect of norms on uptake of environmental service contracts is discussed in Chen et al. (2009) “Linking social norms to efficient conservation investment in payments for ecosystem services.” *Proceedings of the National Academies of Science* Accessed 7/7/2009 at [www.pnas.org/cgi/doi/10.1073/pnas.0809980106]



**Table 4. Differences between payments and reciprocal agreements for watershed services**

<b>Payments for watershed services - PWS</b>	<b>Reciprocal agreements for watershed services - ARA</b>
Focus on economic efficiency. Intervention thus needs to precisely quantify willingness to pay, service value, and the opportunity costs of service provision.	Focus on social contracts. The economically efficient or “correct” price is defined by stakeholders who decide the locally appropriate (fair) level of their contributions.
Need to study and quantify all variables before implementation, implying costly, specialist and usually expensive studies.	Agreements are based on the precautionary principle, so can be implemented based on community perceptions without extensive additional data collection.
Modern, neo-liberal, external, and often locally alien concept.	Traditional tool for watershed management throughout the Andes.
Little experience in the Andes.	Traditionally widespread, especially in drier areas, and increasingly common in its modern form as a conservation tool, for example, in Pimampiro and El Chaco in Ecuador.
Expensive to implement because of the need for external inputs including analyses and monitoring.	Low cost implementation, because intervention builds on existing institutions and beliefs, including risk sharing.
Concept assumes that forests are not conserved because people do not know their value to society. Intervention is predicated on better quantifying the externalities of forest conservation in order to prove to stakeholders the logic of protection.	Concept assumes that forests are only conserved if appropriate institutions are present. The tool focuses on creating/developing local institutions that internalize externalities.

*Sources: Wunder (2005) and Asquith, Vargas and Wunder (2008)*

Notwithstanding the important role of national, regional and municipal governments in water management, in many Andean communities water is actually governed by long-standing, locally developed rules and regulations that have received little if any outside input. Water rights have developed endogenously, sometimes based on the principle of seniority, and the ability to transfer rights is often institutionalized. Most communities in which irrigation is important have irrigators’ associations that form a critical part of the local institutional fabric. Given the importance of water to the community, these associations often take on roles much wider than simple water management, and indeed sometimes effectively become the local government, even running local television channels. Andean grass-roots institutions thus already have extensive experience in managing market-based mechanisms for watershed management. External interventions can—and must—therefore build on this existing capacity rather than reinventing institutions and trying to create new mechanisms.

## 2.5 Stakeholder mapping and analysis

In the rural Andes there is marked distrust of outsiders, and even of NGOs “from the city”. In most Andean countries the state has had little resource management presence apart from setting up new protected areas and moving people out of biologically important areas. When outsiders have arrived, it has usually been to exploit natural resources. External development interventions have often failed, with many of the projected resources never reaching target communities. Building trust is, therefore, a most critical component in ensuring the sustainability of initiatives.

Given the lack of trust given to most branches of government, there is a critical role for “honest broker” NGOs which the locals *can* trust. Moreover, given the lack of effective contract enforcement in much of the region, trust must be developed between individuals rather than institutions.

Individual landowners are the most critical stakeholder group in watershed management. Experiences with such individuals across the rural Andes (for example, work by the NGOs FUNDATADI [Venezuela], Proaves [Colombia], NCI [Ecuador], Instituto del Bien Común [Peru] and Fundación Natura [Bolivia]) have highlighted three major constraints for implementing ARA:

- Lack of a credible downstream institution that could ensure that service users will contribute equitably to the scheme;
- A lack of trust by downstream farmers that support for upstream farmers would actually lead to more conservation and the benefits that would result; and
- A fear among upstream farmers that the initiative is designed to appropriate their land.

However, the supposed antipathy of rural communities to market-based mechanisms for natural resource management should not be exaggerated. Rural farmers, in our experience, are very pragmatic people. If ARA can be shown to work for them—and increasingly they are learning this—they have no philosophical qualms about joining such a “market-based” scheme.

There are many incipient reciprocal agreements across the Andes. In one example of an ARA scheme, the Alto Amboró AZE site, forty-six upstream farmers are currently protecting 2774 ha of cloud forest through a locally managed agreement. Annual agreements prohibit tree cutting, hunting and forest clearing on enrolled lands. The negotiated contribution is annual in-kind support—beehives and apicultural training—from downstream water users in return for forest protection by upstream landowners. Individual irrigators are contributing through their local water cooperative, and the municipal government has purchased many of the materials. The start-up costs were approximately US\$40,000 and the agreements running costs are approximately US\$3,000 per year<sup>4</sup>.

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<sup>4</sup> Asquith, N. M., Vargas M. T., Wunder S. 2008. Selling two environmental services: In-kind payments for bird habitat and watershed protection in Los Negros, Bolivia. *Ecological Economics*, 65, 675-684. (NB although the authors of this paper call the initiative a PWS, it resembles more closely the ARA schemes described in this proposal).

In Rare's search for potential AZE sites to target, the first places we looked were areas where local organizations are already working, or have worked in the past, and where both ARA and Pride feasibility is considered high. For this, expert consultations and a full "recruitment" process were carried out as part of the project preparation phase. In Rare's terminology, "recruitment" refers to the selection process by which local organizations (and the site[s] at which they work) are recruited as partners to undertake a Pride campaign to boost a specific conservation strategy. There is also the subsequent recruitment of a campaign manager for each site, but this constitutes the last step, which was analyzed during project preparation but not finalized.

To scope out potential partners, and understand the overall social and ecological characteristics of possible target sites, some of the questions posed to candidate organizations during the recruitment process concerned:

- Their proximity to AZE site;
- Viability of participation in the ARA;
- The estimated number of people in and around the proposed site;
- The organization's long term conservation strategy at the proposed site;
- The top three threats to the environment at the site;
- The prospective campaign manager (name, position, number of years with the organization, the individual's background, experience and education, especially if in environmental education and/or community outreach); and
- The possibility of facilitating an ARA Extensionist.

The potential for implementation partners and other local stakeholders to replicate the ARA approach can be evaluated according to criteria assessing their AZE focus, ARA capacity, organizational capacity and potential for constituency building. Importantly, the recruitment process only considered potential partners both interested in, and able to apply an ARA approach. For a Pride campaign, the fundamental justification is the barrier posed by community buy-in to voluntary contributions to a fund to compensate upstream farmers. If only landholder incentives were needed for replication of ARA, then capacity building for a local constituency might be redundant. The local watershed that is targeted by an organization for a campaign should include between 3,000 and 100,000 people. Fewer people suggest Pride may be unnecessary, while larger populations may be outside the reach of a community-scale social marketing approach.

Watersheds selected by candidate organizations can be evaluated on all the AZE site characteristics as well as their fit with respect to the socio-economic circumstances mentioned above. Threats must be present, but not at the scale of large-scale immigration, infrastructure and mining development or plantation agriculture which would overwhelm the value of incentives from reciprocal agreements. Land tenure needs to be manageable through customary institutions if juridical standards are uncertain. The potential of an ARA approach to contribute to protected area objectives can be evaluated according to the contribution this additional habitat protection for species dependent upon the conservation management of specific areas within the buffer zones of national protected areas. The relevance of watershed services, the potential for upstream improvements and downstream beneficiaries is a context that allows for locally managed agreements.

Organizational management capacity and the availability of counterpart financing of a campaign manager salary and an ARA extensionist are also evaluated. Local personnel are key assets in rendering Rare partnerships effective. As will be explained in Section 3, the project's intervention strategy relies on the assertive selection of local staff to be trained in both ARA and Pride through a "package" that includes a postgraduate degree and the hands-on experience of carrying out an ARA-Pride campaign. The availability of a campaign manager with an undergraduate degree is, therefore, crucial, and enhances the value of a Master's degree in conservation behavior change. An "imported" alternative to a local candidate with academic preparation is not advisable, due to the risk of losing the capacity at the end of the 2-year capacity building phase. Organizations require the professionalism in staff management obtained over many years of organizational delivery and audited financial performance.

## **2.6 Baseline analysis and gaps**

ARA have been designed and implemented locally for generations, but only recently with a biodiversity conservation objective. ARA have certainly never been developed focused on AZE sites or in a networked approach. It is too early, therefore, to show definitively that such traditional interventions can contribute to AZE protection. In one example that has been successful, part of Ecuador's Cotacachi-Cayapas reserve is being protected by the Pimpampiro ARA, in which the municipality is compensating landowners of the Nuevo America farmers' union for maintaining their forest. This project appears to have used the ARA mechanism to overcome lack of trust between upstream and downstream communities, but the conservation connection is not documented. We believe that similar ARAs can help conservation at AZE sites, and that other sites will benefit from our approach. Thus, while there is anecdotal evidence suggesting that ARA can help protect AZEs, no networked approach has been evaluated (let alone with a randomized control group) to definitively connect ARA to conservation results.

However, there is ample data suggesting that the primary alternative—traditional command and control biodiversity protection—is in need of support. Almost all Andean PAs are chronically underfunded, and require additional financial support and training for their staff. For example, the annual operating budget of the Amboró National Park, which incorporates the Alto Amboró AZE, is less than \$250,000. The Park Management Plan calls for 41 Park Guards, but there are currently funds for only 11. Meanwhile, local municipality-led ARAs were contributing an additional \$10,000 for habitat protection around Amboró, which is a significant complement given the size of the official park budget. We expect that similar local and potentially sustainable financial support in ARAs would significantly help conservation efforts at these and other AZE sites, and that the training provided by Rare's existing Master's program in communications would support training needs at these sites.

### *2.6.1 Conditions in which water supply protection can promote local support for AZE species conservation*

Of critical importance to Andean farmers is water, for both irrigation and domestic use. Given that water quantity and quality depend on the maintenance of native vegetation in the upper reaches of watersheds, enhancing water provision through forest conservation may be the intervention with the greatest potential for providing environmental and socioeconomic benefits.

However, few hydrological data are available for upland Andean catchments. Long-term hydrological studies and analyses are absent in most of the region. Even in critically important areas for water provision such as the Río Papallacta valley above Quito, research to address the impact of land-use change on water provision is only just beginning. There are thus very few Andean catchments where local research has shown that forest conservation aids water provision. Fortunately, there are some hydrological “rules of thumb”, based on decades of data collection from around the world, which can suggest certain hydrological patterns that are robust enough to be trusted even if no local data are available. Critical for AZE conservation (adapted from Bruijnzeel, 2004<sup>5</sup>) is that:

- Intact natural vegetation cover guarantees optimum stream flow under given geo-climatic conditions. It also affords maximum soil protection and therefore provides optimum regulation of seasonal flows while moderating erosion and stream sediment loads.
- Montane cloud forests and related cloud affected ecosystems such as páramos (high altitude grasslands) provide maximum levels of stream flow due to a combination of high rainfall, extra inputs from cloud water capture by the vegetation, and low water-use due to frequent fog.
- Intact natural vegetation cover is no guarantee that floods or landslides will not occur, especially in large watersheds and under extreme weather events. Nevertheless, flood frequency will be less with intact vegetation than with conversion. This is especially true in small watersheds and for small- and medium-sized storm flow.

In short, the best available science suggests that protecting the Andean tropical montane (“cloud”) forests that harbor many AZE species will also likely help prevent floods and maintain dry season water flows. Within the tropical Andes, there are thus a series of sites where forest conservation will contribute incrementally to global biodiversity conservation as well as help provide local municipal water supplies.

Not all AZE sites are important for local water supply protection, however. Municipal governments, irrigators and other water users are also extremely interested in protecting other forests, not for AZE species, but for the water they provide. To understand the baseline of sites where forest protection for water supply is important, and might also contribute to AZE species conservation, we first reviewed AZE sites for organizational presence, watershed issues, and a population potentially receptive to the scale of a Pride campaign. Evidence of multiple sites at which the same conservation strategy appears applicable provides the first indication that conditions for replication and learning from a cohort of campaigns are possible. Though not all AZE sites in the Andes could use a watershed services strategy to gain protection, numerous other AZE sites worldwide, which are also found in steep-sloped terrain upstream from small towns, could benefit from this same approach.

#### *General Site Selection criteria*

In order to identify which AZE sites have the greatest potential for persuading local governments to invest in their protection for their water, Rare and our partners developed a systematic, transparent process that used the following criteria:

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<sup>5</sup> Bruijnzeel L. A., 2004. Hydrological functions of tropical forests: not seeing the soil for the trees? *Agriculture Ecosystems & Environment*, 104, 185-228.

- *Watershed is in or close to an AZE site.* This criteria ensures that selected sites are globally important for conservation.
- *A hydrological service is being provided.* This is often complex to prove, as most hydrological relationships are site specific. It is therefore difficult, *a priori*, to state that protecting forest in any given area will actually provide the desired hydrological service, unless complete hydrological studies have been completed. However, there are two important exceptions: cloud forests, where it is almost always true that deforestation will reduce dry season flows, and forests where cattle range freely, where keeping cattle out will improve water quality. Municipal governments can be sure that in these cases, upstream conservation interventions will definitely help protect watershed services, without a need for detailed and costly hydrological assessments.
- *Watersheds should be small and simple.* Hydrology is complex and the larger and more complex the hydrological system, the more difficult it is to successfully identify the level of service provided, and to identify and negotiate with the real suppliers and beneficiaries. The smaller the watershed, the more likely that upstream actions can be directly linked to hydrological benefits downstream, and land managers and water users can be more clearly identified. Further, the smaller the watershed, the more likely that actions upstream actually do affect downstream users.
- *Watersheds should be threatened (though not too much).* There is no point in developing a conservation intervention in areas where the forests in the upper watershed are not threatened. Conversely, if upstream forests are under too much pressure, projects will have little chance of success.

#### *Social/Economic Criteria*

Land-tenure arrangements are highly informal in much of the Andes. Few landowners have government-approved title, but rather rely on signed purchase contracts, some of which are generations old, as proof of possession. Such proofs are locally accepted for plots that are actively managed. However, landless immigrants view forested areas not delimited by barbed wire as available for colonization. Many new immigrants thus clear land illegally or “informally” on land owned by other farmers or within a national park, for example, and establish possession without any supporting documentation.

The likelihood of success of a conservation intervention of the sort we are proposing increases if there are not too many stakeholders that need to be involved, i.e., few upstream land-users. Dealing with just a few landowners is easier and cheaper than working with hundreds.

- *Some but few downstream water users.* Schemes where there are a few major downstream stakeholders—a drink bottling company or a hydroelectric plant—are more likely to succeed than if project managers have to negotiate with hundreds of independent farmers, for example. On the contrary, if there are no water users—there will likely be no long-term interest in upstream conservation.
- *Clear or at least somewhat clear ownership rights.* As the goal of our intervention is to ensure that upstream landowners do not cut their forests, some degree of clarity is required about who owns which forests.
- *Local perception of forest water links.* Success is more likely where local stakeholders already perceive and understand the connection between forest management and the maintenance of healthy freshwater ecosystems.

- *Local engagement.* A local NGO or municipal government is able and willing to work to conserve the AZE site and the water source.

## 2.6.2 Candidate AZE sites

The above analysis identified that there are at least 33 Andean forests that simultaneously safeguard AZE habitat and locally important water sources (Table 5) —six forests in Bolivia, two in Peru, 11 in Ecuador, 10 in Colombia and four in Venezuela— that are critically important for global biodiversity (i.e., AZE sites) and as sources of municipal/agricultural water supplies, and, critically, that have the potential to involve local communities in their conservation.<sup>6</sup> For a full list of sites and a view of the project map, please refer to Appendix 17.

**Table 5. Andean AZE sites important for water provision (quantity or quality)**

AZE site	Location	Country	Water users within 10 km	Water users within 25 km
C1	PN Sierra Nevada de Santa Marta	Colombia	115	1,572
C4	La Forzosa-Santa Gertrudis		12,030	41,373
C8	Parque Nacional Natural Purace		852,354	3,100,120
C12	Bosques montanos del sur de Antioquia		23,550	203,065
C22	Parque Nacional Natural Chingaza		4,334	41,237
C24	Parque Nacional Natural Sumapaz		4,399	63,831
C25	Reservas Comunitarias Roncesvalles		34,773	175,593
C26	Reserva Natural El Mirador		3,051	49,240
C27	Villavicencio		44,347	392,400
C34	Valle de Sibundoy		8,263	51,310
E1	Cabacera del Rio Baboso	Ecuador	2,528	13,065
E2	Pilaló		2,440	19,466
E3	Reserva Ecologica Los Illinizas		4,374	20,704
E4	Río Azuela		713	3,281
E5	Eastern flanks of Pichincha		626	22,356
AZE site	Location		Water users within 10 km	Water users within 25 km
E6	Volcán Reventador		1,182	4,016
E7	Río Papallacta Valley		2,057	8,606
E11	Cordillera de Kutuku		2,219	10,215
E12	Laguna de Toreadora		4,791	405,516
E14	Abra de Zamora		2,573	149,893
E15	Reserva Tapichalaca		713	8,660

<sup>6</sup> This preliminary mapping of demographic, organizational, hydrological conditions with coarse scale data does not restrict the application of watershed services schemes to these 33 sites. Some micro-watersheds at other sites may also contain these conditions, but were not captured at the resolution of this desk study. With these data, it is possible to establish the smallest number of AZE sites in the Andes in which this approach is likely to be applicable, but not the universe of potential sites.

P2	Cordillera del Cóndor	Peru	5,177	65,789
P3	Alto Mayo		1,647	17,098
B1	Zongo Valley	Bolivia	711	6,967
B2	Chaco in the Unduavi Valley		2,288	26,281
B3	Cuenca Cotacajes		6,794	28,918
B4	Parjacti		4,091	39,882
B5	Alto Carrasco		1,075	15,835
B6	Alto Amboró		191	2,018
V1	Parque Nacional Península de Paria	Venezuela	1,294	43,748
V7	Parque Nacional Dinira		12,129	55,762
V8	Parque Nacional Guaramacal		38,511	67,452
V18	Parque Nacional El Tamá		830	19,397

Source: AZE

While there is a clear need for improved conservation at AZE sites identified in the Andes, and our analysis suggests that reciprocal agreements (ARA) supported by a social marketing campaign is the most appropriate intervention to combat deforestation—the primary conservation threat in the Andes—there remained a series of gaps in our knowledge, and confirmation was needed that this was indeed a reasonable strategy. Rare also wished to consolidate its belief that the ARA approach could be replicated at multiple sites; a premise for the networked approach to learning and the community of practice that this project is promoting in favor of AZE protection.

This confirmation came in part with the participatory meetings of experts on deforestation held in March of 2009 in Bogotá, Quito, and Lima, during the project preparation phase. The specific objective of these meetings was to query experts about the potential for Rare’s methodology of social marketing to significantly accelerate community support for a successful conservation strategy known by experts to work in the socioeconomic, land use, and cultural conditions of Andean AZE sites. Rare sought to find out whether similar effective strategies are being employed at AZE sites to allow campaigns to be built in support of a similar strategy. Campaigns built around a theory of change with a common strategy for livelihood assistance will allow the final cohort of up to 12 campaigns to share technical expertise and create strong networks that sustain impact and allow replication beyond the period of this project.

Each meeting began with presentations on Rare’s Pride methodology, which is to build local capacity for community-scale conservation campaigns that mobilize support for a viable conservation strategy. The potential for Pride capacity to enable the targeting of communications and mobilization of constituencies to change behaviors in less time than through traditional environmental education methods was explained. All experts argued that site-scale projects must be reinforced by multiple strategies, including constituency building, behavior change incentives, and enabling government policies at multiple scales. The opportunity to add a Pride process to this mix was well received as a complementary addition to their strategies. Though experts varied in their emphasis on different conservation strategies, all could identify an AZE site where a Pride campaign would be needed to achieve conservation results. Among organizations represented, however, the strategy most often cited as showing promise of effectiveness, and likely to gain growing governmental support, was a form of conditional incentive payments for forest restoration linked to its watershed benefits. Other strategies considered important, but less frequently applicable to AZE sites, were strategies for coffee certification, cattle and farmland improvement, and protected area enforcement.



### 2.6.3 Candidate partner organizations

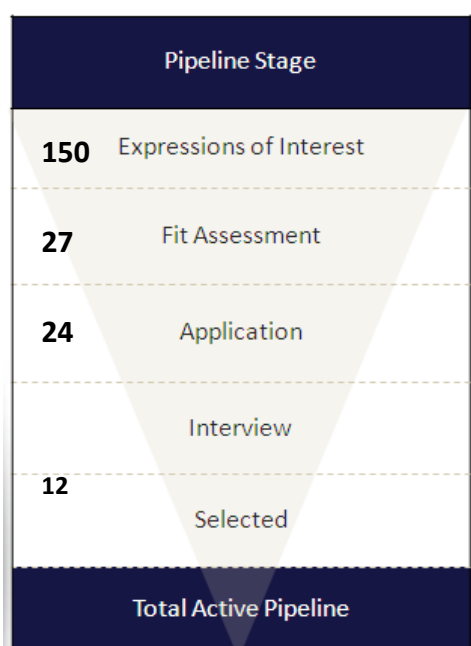
The next step, the recruitment process itself, also shed light on the conditions that needed to be met for the project to be successful in its intervention strategy. Of paramount importance is the capacity and motivation of the local partners with whom Rare will work, as previous research on Pride campaign impact has shown that careful recruitment and screening of candidate partner organizations and campaign managers is crucial to campaign impact. Also key is the emphasis placed on ARA as the chosen conservation strategy since the beginning of the recruitment process. The criteria used in selecting campaign organizations and managers include the following: (i) Feasibility of conservation impact on target AZE habitat; (ii) qualification, preparation, and availability of a campaign manager for two years, full-time; (iii) appropriateness and feasibility of the conservation strategy (in this case, the implementation of reciprocal agreements for watershed services); (iv) availability of at least a half-time PWS extensionist; and (v) potential for campaign impact sustainability through national or regional absorption of a local system of rewards for conserved areas.

The set of recruiting and application steps that have been developed to analyze the local organizations with the highest potential and interest to replicate the ARA-Pride scheme is summarized below. For the AZE–Andes cohort in this project, steps 1–4 have been completed as part of project preparation, or more specifically, as part of setting the project baseline. Also shown in Figure 1 is Rare’s recruitment process in schematic form.

- 1) *Experts meetings.* Meetings with experts on incentives schemes in AZE sites in the Andes were held to gather information on ongoing incentives projects in the region and perspectives on the thematic incentives schemes that could be developed. They were also useful to obtain an understanding of key players, and some relevant guidance for recruiting. For the AZE-Andes cohort, these meetings were held on March 10<sup>th</sup>, 2009, in Quito, Ecuador, March 12<sup>th</sup>, 2009, in Bogotá, Colombia, and March 17<sup>th</sup>, 2009, in Lima, Peru.
- 2) *Expression of interest.* Through an open call for applications, interested organizations submit (electronically) an expression of interest, providing the necessary information on their site and organization. Expressions of interest received are analyzed, and a set of preselected candidates are chosen for further discussion. For the present cohort a specific call for applications on ARA projects was put out in mid-march 2009. It was published and distributed through key posting channels in five Andean countries.
- 3) *Fit assessment.* After submission of expression of interest, screened candidates are interviewed by telephone. A recruitment workshop is conducted as part of this phase. It is specially designed for decision-makers and Directors of preselected organizations, who can interact directly with Rare staff for two and one-half days. Through specific exercises, study cases and structured discussions, participants acquire an in-depth understanding of the scope of the project, the opportunities and challenges, and develop a self-assessment of readiness and fit for the technical and financial commitments for conducting Pride campaign capacity around a reciprocal agreements strategy. Through these discussions, interactive exercises and personal interviews, Rare obtains key information about every organization and its potential and commitment towards the project. For the AZE Andes cohort, the workshop was held in May 18-20 in Cartagena, Colombia, and workshop outputs have been reported as part of the PPG document.
- 4) *Complete application.* Following an analysis of the workshop results, highly scored institutions were invited to submit a complete application, using a format created for the purpose. Applicants provided details on the proposed site and its feasibility for the ARA schemes, the profile of the candidate for campaign manager, and the institutional capacity to provide the counterpart and support required. The information was then analyzed, identifying strengths and concerns for each.

- 5) *Interviews*. Based on the information supplied in the applications, in-depth interviews were conducted with the candidates for Director and campaign manager to obtain more detail on specific issues such as the financial counterpart, campaign manager availability, and site appropriateness.
- 6) *Final Selection*. Based on all the information already gathered, Rare's panel selection scored the applications and selected 12 campaigns.

**Figure 1. Rare Recruitment Process for GEF Project**



More than 150 organizations submitted an expression of interest to Rare (done on line at <[www.RareConservation.org](http://www.RareConservation.org)>). Of these, 27 were selected for further research and more detailed evaluations. Twenty-one organizations participated in a Recruiting workshop in May 2009, and 24 of the 27 completed applications or proposals for an ARA scheme through Pride, thus fulfilling all Rare's recruitment requirements. All applicant lead agency directors were then interviewed by telephone, as well as the proposed campaign managers. Following those interviews, 17 potential partners were interviewed in person by Rare staff. Following the in-person interviews, each application was scored and then ranked.

From these scores, Rare selected 12 finalists. Information on each of the 12 finalists is summarized in the following tables on biodiversity value and feasibility for an ARA scheme:

**Table 6: Biodiversity Information**

Local partner	Site Name	AZE name	Size (target size)	Habitat Type	AZE Trigger Species	Other globally significant species	National Park or protected area	Major threats (trend)
Unidad de Parques Nacionales de Colombia, Parque Farallones del Cali	Anchicaya Watershed, Farallones del Cali <b>Colombia</b>	Farallones del Cali	15,000 population 4,500ha	Located in southwest Colombia on the Andes mountain system, ecosystem shows Cloud forest characteristics ranging from 1800 to 1500 mts	<i>Atelopus pictiventris</i> (CR)	Watershed Anchicaya is considered one of the top 5 sites with more birds species in the world, including Yellow-billed Jacamar( <i>galbul a albirostris</i> ), the Black Solitary Eagle ( <i>Harpyhaliaetus solitaries</i> )NT Other species include Cock of the Rock ( <i>Rupicola periviana</i> ), Toucan barbet ( <i>Semnornis ramphastinus</i> ) NT, Northern tamandua ( <i>tamandua mexicana</i> Jaguar ( <i>Panthera onca</i> ) NT .	Anchicaya watershed is currently under territorial planning process. Partially makes part of Farallones del Cali National Park and Reserva Forestal del Pacífico	Agricultural and livestock practices are causing deforestation , soil degradation and pollution of water flows
Corpo-guavio	Siecha Watershed, Cundinamarca <b>Colombia</b>	PNN Chingaza	11,000 population 14,500 ha	Ranging from 3,500 to 2,600mts the site is composed by Andean and subandean forest, páramo and important wetlands, origin of the main local rivers	<i>Atelopus muisca</i> -Chingaza frog (CR)	Spectacled bear ( <i>Tremarctos ornatus</i> )VU, the White-tailed deer ( <i>Odocoileus virginianus</i> ), the red brocket ( <i>Mazama rufina</i> )VU, the mountain tapir ( <i>Tapirus pinchaque</i> )EN, the Andean condor ( <i>Vultur gryphus</i> )NT, the mountain paca ( <i>Agouti taczanowskii</i> )N	Upper land of Siecha watershed makes part of 4 different protected areas Nationally recognized PNN Chingaza and Reserva Forestal Protectora (RFP) Páramo Grande, Regionally	Due to existence of wetlands, large areas have been devoted to cattle ranching and small scale agriculture. River shores have been turned into pastures causing damages on habitat loss and pollution of hydrological

Local partner	Site Name	AZE name	Size (target size)	Habitat Type	AZE Trigger Species	Other globally significant species	National Park or protected area	Major threats (trend)
						T, the Cock-of-the-rock ( <i>Rupicola peruviana</i> ), and the puma ( <i>Felix concolor</i> ).	recognized: RFP Santa María de las Lagunas RFP Cerros Pionono y las Águilas	services
Fundación Natura Colombia	Watershed Las Cruces, Santander <b>Colombia</b>	Reserva Natural Reinita Cerúlea	13,000 population, 1,600ha	Situated in the west side of the Eastern range of the Magdalena Medio, the site is composed by Andean and sub Andean forest. Important relicts of <i>Quercus</i> forest remains in the region	Macroagelaius subalaris, mountain grackle, (EN)  <i>Odontophorus strophium</i> , Gorgeted wood-quail (EN)	Gorgeted Wood-quail ( <i>Odontophorus strophium</i> ) EN, Mountain Grackle ( <i>Macroagelaius subalaris</i> ) EN, Black Inca ( <i>Coeligena prunellei</i> ) Vu, Spectacled bear <i>Tremarctus ornatus</i> VU Cock of the rock ( <i>Rupicola peruviana</i> ) LC, toucan ( <i>Andigena nigrirostris</i> )	Site makes part of the buffer zone of the national Park Serranía de los Yariguíes	Main threats in the site are caused by productive activities as cocoa and coffee plantations as well as pasture lands for cattle in the upper lands. Those activities are causing vegetation cover loss and soil degradation along with water pollution due to coffee residues
Fundación Pro Aves	Roncesvalles, Tolima <b>Colombia</b>	Reservas comunitarias Roncesvalles	10,500 population, 34,800 ha	Located in the central Andes of Colombia the site is composed of highland cloud forest and paramo	<i>Ognorhynchus icterotis</i> , Yellow eared parrot (CR)	In the site there have been registers of around 300 bird species such as Yellow eared parrot ( <i>Ognorhynchus icterotis</i> ) (CR), Fuerte's Parrot <i>Hapalopsittaca fuertesi</i> (CR), Golden-plumed Parakeet <i>Leptosittaca branickii</i> (VU), etc	The site doesn't hold any official protection status	Main threats in the area concentrates in upper lands and páramos (2-600-3400mts) where fires and land clearing caused by agricultural and cattle farming activities, negatively affects the zone
ETAPA	Subwatershed Yanuncay River <b>Ecuador</b>	Laguna La Toreadora	130,000 population 33,700ha	Site is composed by high Andean forest, Paramo (herbaceous)	<i>Atelopus nanay</i> Black Cajas Harlequin Frog (CR)	White-tailed deer ( <i>Odocoileus virginianus</i> ), Spectacled Bear ( <i>Tremarctos</i> )	Around 60% of the targeted watershed (24.803 has) belongs to	Recently, the páramo is increasingly used for intensive cattle grazing, cultivation,

Local partner	Site Name	AZE name	Size (target size)	Habitat Type	AZE Trigger Species	Other globally significant species	National Park or protected area	Major threats (trend)
				s grasslands), and dry montane, areas		<i>ornatus</i> ) VU, puma, <i>Concolor linnaeus</i> Tapeti, ( <i>Sylvilagus brasiliensis</i> ) and the Andean tapir ( <i>Tapirus pinchaque</i> )EN	the protected area ABVP Yanuncay Irquis, 10% (4.041has) to ABVP Yunguilla 15% (6.090has), to the National Park Cajas	and pine planting, causing erosion and land drying
Naturaleza y Cultura Internacional	San Andrés Watershed, Zamora Chinchipe, Ecuador	Reserva Tapichalaca	3,100 population, 8000 ha	Ranging from 760 to 2800 the vegetation cover contains Humid Montane, Andean and Cloud forest reaching connectivity with AZE site through primary and secondary forest	Grallaria Jocotoco ( <i>Grallaria Ridgely</i> )EN	Puma ( <i>concolor</i> , Spectacled Bear ( <i>Tremarctos ornatus</i> )VU, Northern Pudu ( <i>Pudu mephistophiles</i> ) VU, Dwarf red brocket ( <i>Mazama rufina</i> )VU	Target site makes part of Biosphere Reserve Podocarpus-El Condor. The upstream lands of the watershed belongs to the Bosque Protector Colambo Yacuri recognized as an IBA (EC086) by Birdlife and inserted as part of the Binational Watershed Chinchipe-Mayo	The area is mainly threatened by Land clearing driven by pasture lands for cattle and illegal logging
Fundación Arcoiris	Cantón Espíndola, Ecuador	Abra de Zamora	15,000 population, 51,000ha	Canton Espíndola makes part of the Binational Watershed Catamayo-Chira one of the most important in Ecuador. It contains 4 important vegetation systems: Páramos, cloud forest,	<i>Eleutherodactylus percultus</i> , EN <i>Telmatobius cirrhacelis</i> (CR)	Puma ( <i>Puma concolor</i> ) LC Spectacled bear, <i>Tremarctos ornatus</i> VU, Tapir <i>Tapirus pinchaque</i> VU <i>Eleutherodactylus cajamarcensis</i> LC, <i>Eleutherodactylus cf. riveti</i> NT,	The site goes along 2 different protected areas: Reserva de Biosfera Cóndor Podocarpus and Bosque Protector Colambo Yacuri.	Forest fires, land clearing, illegal logging and non native plantations are causing the major damages in habitat deterioration and cover vegetation loss

Local partner	Site Name	AZE name	Size (target size)	Habitat Type	AZE Trigger Species	Other globally significant species	National Park or protected area	Major threats (trend)
				Andean montane forest and dry forest becoming habitat of important species		<i>Gastrotheca monticola</i> LC, <i>Eleutherodactylus balionotus</i> EN		
Aves y Conservación	Watershed Rivers Alambi, Pichan y Cinto, Pichincha Ecuador	Estribaciones Occidentales del Pichincha	25,000 population, 80,000 ha	Site ecosystems includes Tropical and subtropical humid forest, including one of the few remnants of <i>polylepis</i> forest of Pichincha	<i>Eriocnemis nigrivestis</i> (Black-breasted Puffleg), (CR)  <i>Eleutherodactylus hamiotae</i> (CR)	Birds species like: <i>Eriocnemis nigrivestis</i> (CR), <i>Penelope ortoni</i> (EN), <i>Grallaria alleni</i> (EN), <i>Grallaria gigantea</i> (VU), <i>Glaucidium nubicola</i> (VU), <i>Oreothraupis arremonops</i> (VU), <i>Odontophorus melanonotus</i> (VU), <i>Cephalopterus penduliger</i> (VU)	The site makes part (partially) of 3 IBA's been identified by birdlife: IBA EC043 Mindo y Estribaciones Occidentales del Volcán Pichincha, las IBAs EC041 Los Bancos – Milpe y EC042 Maquipucuna	Extensive cattle farming followed by small agricultural practices are causing deforestation and soil compactation. Lowlands forest patches are also being replaced by monoagriculture reaching the border of the last native forest relicts in the area
Instituto del Bien Común	Pachitea Watershed, Yanachaga Chemillén National Park, Perú	Coordinera Yanachaga	9,700 population 1,700ha	San Alberto area is a cloud forest on the range of 2600 mts on the south-western border of Yanachaga - Chemillén National Park	<i>Phrynopus brackii</i>	Spectacled Bear ( <i>Tremarctos ornatus</i> ) VU, Pacarana tailed paca ( <i>Dinomys branickii</i> ) EN, Northern Pudu ( <i>Pudu mephistophiles</i> ) VU Blue crowned Motmot ( <i>Momotus momota</i> ). Recognized as an IBA, it hosts 360 birds species including: <i>Nothocercus nigrocapillus</i> , <i>Hapalopsittaca melanotis</i> , <i>Otus marshalli</i> NR, <i>Phlogophilus harterti</i> NR, <i>Andigena</i>	Target watershed borders the south end of the National Park Yanachaga-Chemillén, currently under consideration for Biosphere Reserve decree	Unsustainable forestry, human settlement, and cattle grazing threaten the area's hydrologic cycle and water quality upon which much of human and animal populations depend.

Local partner	Site Name	AZE name	Size (target size)	Habitat Type	AZE Trigger Species	Other globally significant species	National Park or protected area	Major threats (trend)
APECO	Tilacancha Watershed, Chachapoyas <b>Perú</b>	Pomacochas	20,000 population, 7,000ha	Ranging from the 2,700 to 3,400mts, the area contains forest patches and pajonales grasslands, locally know as jalcas. It includes areas of humid and very humid montane low tropical forest.	<i>Loddigesia mirabilis</i> , Marvelous spatuletail (EN)	<i>hypoglaucha</i> NR Spectacled bear ( <i>Tremarctos ornatus</i> ) (EN), Mountain Paca Agouti <i>taczanowskii</i> (VU), Golden-plumed parakeet <i>Leptosittaca branickii</i> (VU)	Two communities have recently declared a Private conservation area still awaiting national recognition .	Due to a lack of local understanding of high altitude ecosystems and its role on hydrological services, fires and overgrazing practices have posed major threats over the site degradation
Caritas Jaén	Quanda Watershed, Cajamarca <b>Perú</b>	Coordillera del Cóndor	4,000 population, 2,500 ha	Situated in the Eastern range of the main Andean chain, and ranging from 1600 to 2400 mts, habitat type include Cloud forest with relatively well preserved patches in the upper lands	<i>Dendrobates mysteriosus</i> , Marañón Poison frog	Cock of the rock ( <i>Rupicola peruviana</i> ), Jocotoco antpitta / <i>Grallaria ridgelyi</i> (EN), Black guan ( <i>Chamaepetes unicolor</i> )NT, <i>Toucan aulacorhynchus caeruleogularis</i> Razor-billed curassow (Crax Mitu) Spectacled bear ( <i>Tremarctos ornatus</i> ),	Sn Jose de Lourdes Cloud forest is adjacent to the Coordillera del Condor, serving as a protector barrier against land clearing, expansion and as a corridor bridge to another important protected Area - Santuario Natural Tabaconas Namballe	Unsustainable coffee growers are the main threat behind the deforestation levels, as additional land areas are cleared for new plantations
Fundación Natura Bolivia	Comarapa, Alto Amboró, <b>Bolivia</b>	Alto Amboro	11,000 population, 15,000ha	Situated in the south portion of Amboró, the site contains	<i>Gastrotheca Splendens</i> (EN)	With 76 amphibians on record, this site is one of the 3 sites with the most	Watershed Comarapa starts in Amboro National Park,	Deforestation caused by new land holders (immigrants) and slash

Local partner	Site Name	AZE name	Size (target size)	Habitat Type	AZE Trigger Species	Other globally significant species	National Park or protected area	Major threats (trend)
				Cloud forest, dry forest and Bolivian Tucuman forest		amphibian species in the world  Mammals and birds include: ocelot ( <i>Felis pardalis</i> ), Spectacled Bear ( <i>Tremarctos ornatus</i> )Vu, Neotropical otter ( <i>Lutra longicaudis</i> ), jaguar ( <i>Panthera onca</i> )NT, Giant armadillo ( <i>Priodontes maximus</i> )VU; Military macaw( <i>Ara militaris</i> )VU, Red fronted macaw ( <i>Ara rubrogenys</i> )EN, and Harpy Eagle( <i>Harpia harpyja</i> ). NT	recognized among the top 10 places of highest biodiversity in the world	and burn practices are increasing habitat loss and soil deterioration

Each organization was also evaluated on the following criteria for feasibility of an ARA scheme at their sites:

Table 7: ARA Feasibility

Site Name	Proximity to an AZE Site	Hydrological Service Provided	Downstream & upstream water users	Ownership rights	Local Perception of Forest – Water link	Local Engagement	Likelihood of long term sustainability
Watershed Anchicayá PN Farallones  <b>Colombia</b>	In the site	Watershed Anchicayá containing lotic ecosystems and waterfalls supplies 3 different Aqueducts: Queremal, Sendo y Tigre representing a key element for the socioeconomic activities of	Few Families are located upstream developing small scale cattle management due to cold weather range. Majority of Queremal families are located Middle stream area, representing main group of water users mainly for water consumption. Downstream a	More than 80% of the land properties have legal recognition of their ownership rights	Due to some civil conflicts in the past, local villagers have developed a good sense of ownership for their lands. They recognize the forest value to provide water flows and during recent years have	The Park staff has a strong connection with local and environmental authorities. Jointly have developed planning efforts and a participatory approach to an Ecological restoration plan in the site. This has offered a sense of social legitimacy to the process increasing local	The park leadership as main environmental authority at the site owns the capacity and per sé the interest to run and expand an ARA scheme along the main watershed in the park. Aside TNC has just began the plans towards a Cali Water fund city that is generally depending from the Park water sources Moreover, An ARA



Site Name	Proximity to an AZE Site	Hydrological Service Provided	Downstream & upstream water users	Ownership rights	Local Perception of Forest – Water link	Local Engagement	Likelihood of long term sustainability
		around 15000 population. It also serves the hydroelectric	hydroelectric that partially serves from this watershed		been increasingly involved in participatory planning process for the Park	participation towards new conservation proposals	scheme within a National Park will seek to develop a local model to be adapted and replicated within the national parks systems in Colombia, and provide pilot experiences to the PES national strategy under development.
Siecha Watershed (Corpoguavio) Colombia	PNN Chingaza	The watershed covers around 80% of the municipality of Guasca feeding around 339 water capture points. Principal users of them are municipal aqueducts, irrigators and private land owners for self consumption	Upstream 320 land holders are place above the 3,000mts. They are open to participate in conservation efforts and seek alternatives on how to get benefits out of their lands Downstream, Guasca town residents and flower, potato and strawberry irrigators are main water users. This last increasingly participating on clean production techniques increasing their willingness to support upstream efforts. Other water users are Bogota's Electricity and Water Companies	In the area the majority of Land owners has statements of ownerships that accredits their properties	Due to the water scarcity suffered during dry seasons, local population and producers have raised their awareness about the importance of the ecosystem towards an appropriate water supply. Although ancient perceived rights above water resources without any payment in return need to be changed through outreach efforts	Corpoguavio as regional environmental authority has developed several projects gaining good relationships with local authorities and communities. Guasca municipality has shown its support to the ARA system, and downstream irrigators already collaborate with Corpoguavio towards the adoption of sustainable practices.	Corpoguavio as water and environmental authority in the site owns the capacity to develop long term financing schemes ie water fees, introduce new policies and support long term incentive agreements and monitoring efforts with local communities.  The project can also become a pilot model to be replicated within the network of Corporaciones in charge of key watershed along the country
Las Cruces Watershed Natura Colombia	Aze located in the south sector of the target watershed	Watershed Las Cruces feeds the aqueduct that serves the municipality of San Vicente Chucuri, mainly its urban centre with 12000 inhabitants. Moreover the watershed is planned to source an important	Upstream 162 producers have been identified as main land owners with effects over the watershed habitat. Downstream the urban centre of Sn Vicente Chucurí and its habitants represent major water users	The majority of the land owners have legal ownership of their lands, as a requisite to join public coffee programs. Few properties have undergoing process	Due to the high humidity existent in the area, locals perceive a low linkage between water scarcity and forest. Although there is a strong perception of the importance of forest to support soil	Natura has strong leadership among coffee organizations and producers. In the area they have supported incentives and certification programs gaining confidence and relevant data baselines. During the last 2 years Local authorities, coffee cooperatives and Natura	The campaign will seek to develop conservation-production agreements with coffee and cocoa growers. Historical Solid partnership between Natura and coffee sector stakeholders can lead into a long term involvement of producers in conservation-certification processes

Site Name	Proximity to an AZE Site	Hydrological Service Provided	Downstream & upstream water users	Ownership rights	Local Perception of Forest – Water link	Local Engagement	Likelihood of long term sustainability
		hydroelectric currently under construction		due land inheritance	stability as dust collapses and other problems are frequent affecting water quality	developed the initial steps towards an ARA scheme	
Reservas Comunitarias Roncevalles  ProAves Colombia	In the site	The watershed through the rivers Cucuana and San Marcos provides water supply to more than 25,000 population including urban and rural areas in the municipality.	Upstream small farms of cattle ranchers and potato growers are identified as main water habitat holders.  Downstream, Roncevalles municipality and its residents belong to the major water users groups along with small irrigators groups who uses small scale fruit plantations	Most of properties holds appropriate land tenure statements	Through different outreach/communications programs Proaves has raised awareness and local Pride about the flagship yellow eared parrot, increasing consciousness towards conservation efforts. This builds a positive scenario for an ARA proposal scheme	Proaves has been working in the site for 10 years developing environmental education and municipal lobbying towards conservation efforts. Through this private reserve, easements, and public support have been obtained. Currently the municipality is a key interested in supporting an ARA scheme	Proaves owns a private reserve considered as the AZE site and manages around other 10 AZE related sites A ARA scheme through Pride has a large potential for replication within Proaves AZE reserves
Subwatershed Yanuncay River (ETAPA) Ecuador	20kms	Watershed provides Water for consumption for (130,000 population ) in Cuenca city Ecuador's 3 <sup>rd</sup> most populous city, and partially feeds and hydroelectric that produces 40% energy of the Azuay province	Upstream: Medium to small farms managing livestock production but willing to explore better practices Downstream users: Local residents of south part of Cuenca city aware of water scarcity problems and , hydroelectric Cenel interested in maintaining water flows	Clarity on land tenure upstream rights.	Through different educational efforts, local people recognize the link between forest management and water flows. The proximity of National Park Cajas helps to promote the natural value of the site	ETAPA as municipal water authority and responsible for watershed protection has a wide range of social development & conservation projects involving upstream and downstream groups. Local leaders and committees are starting to develop incipient conservation agreements, attitude that can be expanded to the rest of the community through a Pride project	ETAPA as municipal authority responsible for water supply to Cuenca city, has the authority to support long term financing mechanisms as FONAGUA* and advocate for municipal policies and support sustainable livelihood process with participant farmers  *ETAPA is a main stakeholder of FONAPA (Water fund for Paute watershed) which belongs to TNC water funds network
Rivers Alambi, Pichán y Cinto	In the site	The rivers serve its water to Bancos	Upstream the area is integrated by large land owners (16), small farmers	Land tenure is clear, especially	Several stakeholders have already a clear perception of	A&C has been working in the site with capacity building efforts and	Through a strategic partnership A&C-Socio Bosque The campaign will seek to integrate

Site Name	Proximity to an AZE Site	Hydrological Service Provided	Downstream & upstream water users	Ownership rights	Local Perception of Forest – Water link	Local Engagement	Likelihood of long term sustainability
(Aves y Conservación) <b>Ecuador</b>		municipality, and other towns like Calacali, Nono, Nanegal, Nanegalito. Some of its waters are being used by the Quito Water Company to supply water to some areas within the Metropolitan district	(36) and the community forest Pacaya-Pahuma Downstream small towns as Nono, Calacali, Nanegalito, Nanegal y Los Bancos demand high quality and quantity of water given its flower, trout, and other commercial activities	in the upper land where most properties holds appropriate ownership statements	the water-forest link. Nonetheless this is not general to the whole population making necessary to develop further awareness through outreach programs	local groups support, which has engaged local leaders and authorities into discussions and a participatory planning process of productive activities in the site.	conservation agreements obtained during the campaign to be recognized and supported in the long term by Socio Bosque. Aside Quito Water Fund FONAG is a strong candidate to become involved through the ARA project in the support of the target site, as the city Quito partially serves from those rivers
Canton Espindola (Arcoiris) <b>Ecuador</b>	In the site	The watershed represents the main water source for all the Canton communities devoted to agricultural activities and human consumption	Upstream land concentrates 30% of the Canton Espindola population around (4,725) They developed basic, self consumption agro activities. Downstream, concentrates 70% of the population with agricultural/commercial practices	Most of the properties have gone through legalization a process. The ones without title or statements own community recognition of their land limits	Through participatory planning, locals have expressed their concerns towards deforestation and forest fires effects on water flows reduction.	Arcoiris has strong connections with local authorities working towards Management plans and habitat protection projects. Arcoiris is also being supported by key organizations working the ARA/PES field such as TNC and FONAG	Local authorities and Arcoiris are currently developing a Cantonal Water fund in order to ensure the long term sustainability of an ARA scheme This fund is being supported as part of the TNC water funds initiative
Subwatershed San Andres (NCI) <b>Ecuador</b>	30kms from Tapichalaca Reserve	Target site represents main source of drinking water for the Municipality of San Andres, the city of Zumba and adjacent villages (3,000 population)	Around 70 farmer families have been identified in the upstream area. Downstream, water service is mainly used for human consumption distributed among the residents of San Andres and Zumba along with nearby villages	Upstream land owners and land holders manage land limits that are commonly respected having an explicit local recognition	Local stakeholders have certain awareness level of the degradation caused by their activities, but due to a lack of training, appropriate alternatives or incentives, they have kept their practices. Being a rainy area, water-forest linkages are better understood by local villagers	Local partner owns strategic partnerships with local authorities and recognized leadership developing water fund initiatives in the region Palanda county (target site) has recently approved a policy to support the establishment of reserve areas to protect the water sources of the county. This has lead into an optimal scenario for a local villagers engagement through ARA scheme	Through the campaign, the Target site is planned to become the 7 <sup>th</sup> county participating on the Regional Water Fund led by NCI. FORAGUA as a long term watershed protection mechanism can provide appropriate support and continuance to local agreements obtained during the campaign  Moreover NCI has partnered with SocioBosque, a governmental incentive program becoming an important counterpart to provide long term incentives support

Site Name	Proximity to an AZE Site	Hydrological Service Provided	Downstream & upstream water users	Ownership rights	Local Perception of Forest – Water link	Local Engagement	Likelihood of long term sustainability
Tilacancha Watershed (APECO) Peru	70 kms from Pomacoc has	Target Watershed provides water to Chachapoyas city (20,000 population)	Approximately 2000 farmers in the upstream communities of Mayno and Levanto willing to protect the water they even use but demands further support to their willingness. Downstream, the city of Chachapoyas will more than 20000 residents which haven't realized the importance to contribute for a water service	Both target communities Mayno and Levanto have property titles and are recognized by their neighbors.	Even upstream villagers recognize the need to develop conservation efforts, their practices follow ancient beliefs ie grasslands fires stimulates rain that needs to be changed through education/training efforts. Downstream city residents have a slightly higher awareness but requiring a major strengthening	Site shows a positive Local scenario as Municipal authorities and Local Water company are currently interested to support an strategy towards payments for environmental Services, following a recent policy proposal submitted to the national Congress. Aside, both communities Mayno & Levanto are expectant about the new Private conservation areas and what their participation could mean to them, which in terms can be expanded through an ARA scheme	The ARA scheme will seek to reinforce the appropriate management and expansion of Private conservation areas in the target communities, empowering local villagers to collectively adopt appropriate management practices for the long term
Subwatershed San Alberto, Esperanza (IBC) Peru	Buffer zone of the National Park Yanachaga Chemillén	The target watershed represents the main source of Water supply to Oxapampa city (industrial, domestic and productive use)	Upstream:85 producers settled in the buffer zone of the National Park Downstream users includes residents of Oxapampa city who get water and electric supply through municipal water and electricity company. These entities recognize the need to support upstream conservation efforts	The park area has appropriate zoning and the majority of land owners in the buffer zone have legal ownership rights	Through previous Pride campaign developed in the area, local people recognize water as a key service provided by the surrounding park. AZE-ARA campaign will help to go one step forward promoting action and agreements plans	IBC has strong connections with local authorities at the site. Moreover they have developed collaboration agreements with the National Water Entity and other key stakeholders at the site.	Given the interest from national entities to develop watershed incentives schemes Yanachaga ARA scheme has the potential to become one of 1 <sup>st</sup> executed project and serve as a model for local/regional replication
Quanda Watershed, Cajamarca (Caritas) Peru	70kms from Cordillera del Condor	The watershed composed by cloud forest generates an important amount of	Upstream around 200 families devoted to coffee/cattle activities have the major effect over the watershed	Most of land holders manage locally recognized ownership	The majority of the population is composed of immigrants with a short history in the	Caritas as a religious and social oriented institution has developed a strong network of partners and volunteers in the	The campaign will seek to develop payments agreements with the Hydroelectric and local municipalities so that a local water fund can

Site Name	Proximity to an AZE Site	Hydrological Service Provided	Downstream & upstream water users	Ownership rights	Local Perception of Forest – Water link	Local Engagement	Likelihood of long term sustainability
		horizontal rain along with serves downstream the hidroelectryc Quanda which supplies San Ignacio and Jaén	flows Downstream, main water users are composed by small villages as San José de Lourdes or Miraflores depending upon the Quanda watershed provision. Aside the hydroelectric Quanda that already reports minimum levels during the dry season, is a major potential buyer for the ARA scheme	and limits. Few lands remain without any ownership figure facilitating the establishm ent of private agree- ments. The local initiative “ronda campesina” plays an important role defending the property rights of locals	site therefore there is still a low level of commit-ment to protect the land. Most of people is able to understand the commercial value of forest, but no yet the ecological value or wealth of landscape. Initiatives providing a commercial benefit along with ecological preservation are required to overcome those gaps	local scene. Working closely with coffee and agriculture associations have gained acceptance and confidence among local producers. Numerous groups of volunteers and nouns works also supporting Caritas efforts. Local municipalities show interest to support deforestation reduction efforts in the province	be implemented in the long term
Comarapa, Alto Amboró  (Natura Bolivia) <b>Bolivia</b>	In the site	Comarapa watershed serves water to Comarapa, Mairana, and Samaipata villages, supplying water for an important production of vegetables and water consumption	Upstream around 200 families have been identified within the 5 priority communities Downstream 3 main villages represents main water users Comarapa ( 4,500) population , Mairana ( 4,000 population) and Samaipata ( 5,000 population)	Due to ancient colonizatio n process and few governmen tal presence in the site, most of land holders own informal land titles, nonetheles s the limits of each property are explicitly recognized by the community	There is a local perception of the link water-forest specially given the water scarcity during the dry season, and the fact that almost a hundred of irrigators downstream are depending of those water flows	Natura through the development of water fund and ARA schemes has gained experience and strong collaboration agreements with local authorities. Comarapa actually has a small water fund where water users supply a small water fee.	Natura has become a innovative leader in the development of ARA schemes in the region which owns local water funds initiatives. Through the Pride project those initial experience will to accelerate its expansion and adoption by new municipalities

Among three pairs of these sites, matched according to their socioeconomic and policy context, one from each pair will be selected randomly to receive AZE+ARA, with the other receiving only the ARA treatment. These ARA-only control sites are intended to test whether the norm building force of Pride is necessary in addition to the economic incentive provided by ARA to achieve a sustainable scale of behavior change; in other words, to test the hypothesis that ARA+Pride works better than ARA alone. At the other sites in this cohort, behavior change will be measured at control sites where neither Pride nor ARA is applied. (See Table 6, following page). Some applicant organizations, depending upon organizational capacity, may be considered for more than one AZE site. Final selection steps (interviews of campaign managers and the exchange of MOUs) are pending, and dependent on project approval. This is based on Rare's policy not to finalize MOU's establishing technical and financial commitments between Rare and the local organization, until funding confirmation is obtained from donors.

**Table 8: Research design showing number of sites with Pride and ARA**

	Research Design		
	2010		2012 - 2013
<b>Randomized Treatment Areas (3)</b>	Measurement #1: Survey measures of Behavior Change and Objective Measures of species and habitat	ARA + Pride	Measurement #2: Survey measures of Behavior Change and Objective Measures of species and habitat
<b>Randomized Control Areas (3)</b>	Measurement #1: Survey measures of Behavior Change and Objective Measures of species and habitat	ARA	Measurement #2: Survey measures of Behavior Change and Objective Measures of species and habitat
<b>Non-Randomized Treatment Areas (9)</b>	Measurement #1: Survey measures of Behavior Change and Objective Measures of habitat	ARA + Pride	Measurement #2: Survey measures of Behavior Change and Objective Measures of habitat
<b>Non-Randomized Control Areas (9)</b>	Measurement #1: Survey measures of Behavior Change and Objective Measures of habitat	Nothing	Measurement #2: Survey measures of Behavior Change and Objective Measures of habitat

#### *2.6.4 Baseline of AZE network*

The Alliance for Zero Extinction is currently composed of more than 50 organizations, with biodiversity conservation as a principal objective and organized by a secretariat at the American Bird Conservancy. The secretariat has set up a strategy to gain recognition of this global conservation priority in the national plans of signatories to the Convention on Biological Diversity. At this time, there is no support network for these sites regarding mechanisms to gain protected status for AZE habitats, or for building local constituency pride and support for their continued protection. RarePlanet (<[www.rareplanet.org](http://www.rareplanet.org)>), the on-line social networking tool for capacity building in tropical biodiversity conservation, was launched by Rare in beta form in December of 2008. While formal and informal networks exist among Andean conservationists working for the conservation of AZE species, currently no tool, including RarePlanet, is providing organizational, strategy, fundraising and networking support to the efforts to save these species. Rare is currently re-designing RarePlanet for ease of use, in both the sharing of blogs, lessons learned, strategy documents and campaign materials, for use globally and in regional applications, such as an Andean AZE network focused on how to implement reciprocal agreements for watershed and habitat benefits.

### **2.7 Links with other GEF and non-GEF Interventions**

During the project design phase, Rare explored existing projects (GEF and non-GEF interventions) in the region in order to learn from their experiences and not duplicate efforts. Coordination mechanisms at the site level (12) and project management level are also built into the design of the project.

During the project design phase, Rare consulted with in-country experts to assess strategy, identify key linkages for coordination and to avoid redundancy. “Experts Meetings” were held in Bogota (with participation from Venezuela), Quito, and Lima. Key actors in this consultation process include national GEF focal points in each country, as well as the RedLAC network of environmental foundations in each country (EcoFondo in Ecuador, Patrimonio Natural in Colombia, and Profonampe in Peru). A summary of specific project linkages in each country includes:

#### **Colombia**

One of the most interesting recent GEF projects that Rare will work with is a UNDP-supported and Rainforest Alliance led “Transforming Productive Practices in the Coffee Sector by Increasing Market Demand for Certified Sustainable Coffee”. This project, while not focused on watershed environmental services, will be of particular relevance for coordination for our local partners Fundacion Natura and ProAves, as the GEF project has worked with farmers to develop local incentive structures that foster conservation in regions where they work. Rare and Fundacion Natura will focus especially on identifying opportunities for linking the additional payments for conservation coffee with local ARA initiatives. Rare and Fundacion Natura will also explore potential synergies with a similar, new Colombian full-size project, currently at Concept stage, entitled “Biodiversity Conservation and Sustainable Land Use for the Benefit of the People in Three Coffee Producing Areas in Colombia”, prepared by the National Federation of Coffee Growers of Colombia (who attended our Colombian experts meeting), and the Alexander von Humboldt Biological Resources Research Institute.

The Regional Integrated Silvopastoral Ecosystem Management Project (RISEMP) is a GEF/World Bank Regional Project that aims to rehabilitate degraded pastures to protect soils, store carbon, and foster biodiversity conservation, and distil lessons for policy making on land use, environmental services and socio-economic development. At pilot sites in Costa Rica, Nicaragua and Colombia, the project has i) implemented activities to enhance provision of ecosystem services, ii) promoted the dissemination of information and providing technical assistance, iii) built institutional capacity, and iv) fostered Payments for Environmental Services (PES) schemes and monitoring and evaluation of PES performance. In Colombia, sites included the Rio La Vieja Watershed (a tributary of the Río Cauca), in the departments of Valle del Cauca and Quindio. Rare has met with the project team at CIPAV to ensure that we build on the PES implementation lessons this project has learned.

## Ecuador

A joint effort by the Government of the Ecuadorian Province of Chimborazo, the Government of Ecuador, the World Bank, and the GEF will support the conservation and sustainable development of Chimborazo's páramos by promoting improved natural resource management practices, strengthening relevant legal and policy frameworks, and building local capacity in the sustainable use of natural resources. Because they work in páramo ecosystems, both these projects have watershed conservation as their focus and can teach Rare much about the relevant management issues. Other GEF projects that we will coordinate with include Ecuador's "Sustainable Financing of Ecuador's National System of Protected Areas (SNAP) and Associated Private and Community-managed PA Subsystems". Both of these projects have fed into our curriculum development process and materials produced by the projects form part of our training materials following our consultation process during the design phase.

## Peru

The World Bank is funding the Peruvian Fund for Protected Areas (PROFONANPE) and the National Service of Protected Natural Areas<sup>7</sup> (SERNANP) to enhance Peru's biodiversity conservation by increasing the area of key ecosystems under protection and strengthening the capacity for strategic analysis and management under a decentralized management framework. This would be accomplished by supporting the establishment and management of regional, local and private PAs near or adjacent to critical PAs from the SINANPE, allowing for the creation of conservation mosaics and/or corridors. To achieve its goal, the project will (i) support institutional strengthening at the central, sub-national and local levels to coordinate and effectively manage the Peruvian System of Protected Areas within the decentralized framework, (ii) establish alliances, **incentive systems**, coordination mechanisms and an integrated strategy that would allow participatory management of PAs by national, sub-national and local authorities with the support and active participation of the private sector, civil society and local communities, (iii) promote and establish mutually beneficial relationships between sub-national authorities and local communities in PA management, and (iv) promote the sustainability of the Peruvian System of local and sub-national PAs through the establishment of an endowment fund for financing recurrent costs. Rare expects to learn important lessons from this project about managing relationships between communities and the PAs on which they depend for provision of environmental services such as water. Rare and Profonanpe met in October and November, 2009, to share experiences and discuss cooperation between our mutual projects; one of our finalist sites, Oxapampa (Instituto de Bien Comun), is under consideration in the design of Profonanpe's project and we agreed to continue to discuss cooperation.

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<sup>7</sup> previously the National Institute of Natural Resources – INRENA



Other projects that Rare's Regional Director will coordinate with in Peru include the "Sustainable Management of Protected Areas and Forests of the Northern Highlands of Peru" project in development with IFAD. Significant German investments have been made in PSA schemes in northern Peru that will be a focus of coordination in conjunction with local Rare partners Caritas Jaen and APECO.

In terms of non-GEF initiatives, several international NGOs are active in the region. WWF runs the Conservation, Regional Integration and Local Development in the Eastern Cordillera Real montane and Páramo ecoregions, and Conservation of the Northern Andes Ecoregional Complex. The Southern Andes Conservation Program of The Nature Conservancy (TNC) works with NGOs and governments on conservation planning and monitoring in Peru and Bolivia, including the Bolivian Dry Forests and the Peruvian Sechura desert. In the northern Andes, TNC works at the landscape scale in Ecuador and Colombia. TNC has experience working with several of the project's regions in creating large water funds, and has worked closely with project partner ETAPA in Ecuador. CI currently has offices in all five countries and an extensive network of local partners. The International Union for Conservation of Nature (IUCN) is also active in the region, with projects supporting good governance and effective management of Natural Heritage Sites in the Andes.

Each of these international NGOs has some interest in incentive-based conservation and watershed management. CI and TNC are particularly active through their Conservation Stewards and Water Fund programs. Rare has begun coordination efforts with both these programs to build on their experiences and to explore opportunities for co-financing.

A number of local NGOs, including those selected for campaigns, also have extensive experience with incentive-based conservation in the region, notably **Proaves** in Colombia, CEDERENA, **NCI** and FONAG in Ecuador, and **Natura** and PROMETA in Bolivia. Several publications by these NGOs on how best to engage local stakeholders with the types of ARA we are proposing are already available. Our threat-reduction strategy is directly based on these publications and experiences. Rare is working with these local NGOs to ensure those that have the capacity to work at AZE sites are part of our group of lead agencies. Within our cohort, Rare will thus build upon existing direct experiences of incentive based watershed and biodiversity management in the Andes.

During the implementation of the project, Rare will link to and build on these existing policy and initiatives taking place within the partner countries, as well as a number of complementary regional and global projects. Rare will work with the Alliance for Zero Extinction to promote the ARA concept and AZE site conservation within the Convention for Biological Diversity meetings, the COP 10 in Japan (October, 2010), in particular.

### **Coordination Mechanism**

Responsibility for coordination is driven by Rare's Regional Director and the Executive Director of each local partner in country, while the Project Implementation Team (detailed further in section 4:0) is the responsible coordination mechanism. Rare's Regional Director will be responsible for ensuring that the final campaign design, documented in each campaign plan finalized in month 9 of the project, takes full advantage of all in country resources including coordination with complementary projects at the site level. Working with project partners once campaign designs are prepared, Rare will organize in country meetings to present the campaign strategies at the national level, share information, and gather inputs. Looking out for key initiatives, Rare's Mexico office will also seek to build synergy between this Andes initiative with other reciprocal agreement opportunities in Mexico.

## **SECTION 3: INTERVENTION STRATEGY (ALTERNATIVE)**

### **3.1. Project rationale, policy conformity, and expected global environmental benefits**

#### *How to deliver local, national and global benefits*

This project will construct a network of community-based capacity and awareness building campaigns that will generate public support for locally managed reciprocal agreements for watershed services (ARA) which will improve the management and protected status of AZE species habitat in national systems of protected areas. The conservation results in hectares protected and species status improved at biologically irreplaceable sites will:

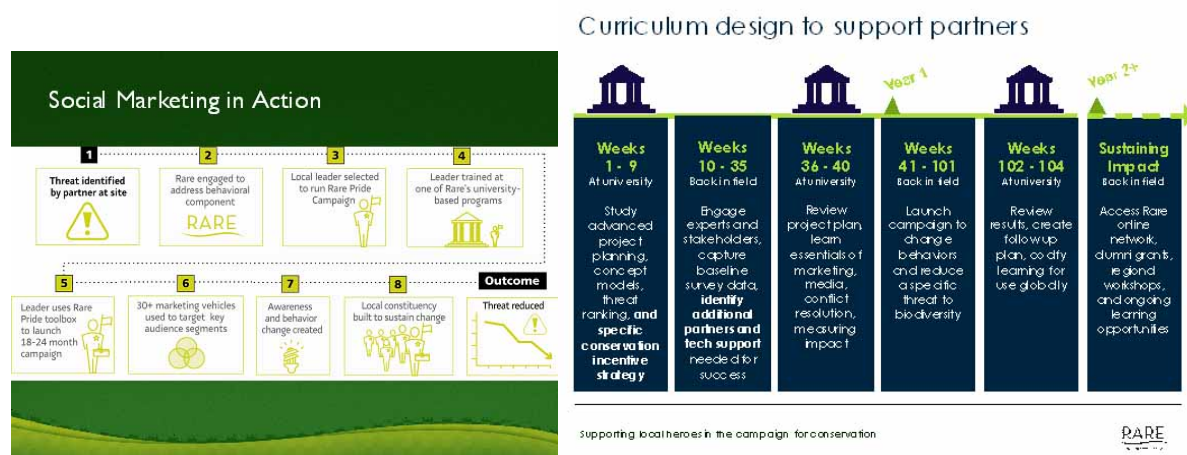
- Raise the profile of these important sites for global biodiversity conservation within national biodiversity and ecosystem services policy frameworks;
- Generate networked learning among organizations about how to implement ARA at AZE sites and how to build local public support that recognizes and contributes to rewards for landholders that are contingent on their delivery of habitat and species conservation;
- Produce up to 12 trained conservation leaders with a Master's degree in conservation communication embedded in organizations able to sustain the conservation strategy; and
- Support GEF SO1 SP3, "strengthening terrestrial protected area networks," by targeting some areas which fall under protected area status and others in terrestrial ecosystems that are under-represented in protected area networks and are as such prime candidates for the creation of new PAs.
- Support GEF SO2 SP5, "mainstream biodiversity conservation in production landscapes" by incentivizing rural and agricultural communities to protect forest cover in their watersheds and by mainstreaming AZE as a conservation tool.

In addition to biodiversity benefits, this project sets out to identify and test reciprocal agreements for a watershed services strategy that benefits local populations at each pilot site. As a result of this project additional funding streams to these sites will grow from national ecosystem-service payments systems (such as Ecuador's Socio Bosque Program). The project will also draw the attention of international NGOs to the plight of AZE sites. The methodology and know-how developed here and disseminated through RarePlanet—from the development of customized theories of change, to the design and marketing of a watershed payments program—is likely to benefit scores of other AZE sites around the world. Finally, establishing AZE as a prioritization scheme and a community of practice is likely to engender greater commitment to this portfolio of restricted range and Critically Endangered species.

## How to create an ARA-Pride Campaign

Local government or non-governmental conservation organizations selected to be implementation partners with Rare will receive support for a campaign manager who will organize a communications strategy for ARA. Up to twelve incipient conservation leaders working for these partner organizations will manage a Pride social marketing campaign and support their organization's ARA program at selected AZE sites. Rare will provide a training program for the design and implementation of a social-marketing conservation strategy designed to boost the adhesion of both forest conservers and water users to the norms and compensation commitments under these small-scale, community-driven institutions. Forest landholders will learn the benefits that conservation provides to water as well as biodiversity, and how their monitored commitments to conservation can be compensated with livelihood assistance. Water users in municipalities will learn that the costs for water conservation efforts upstream justify their voluntary contribution to funds that finance yearly payments.

Rare's training program covers ecology, biodiversity, community-based conservation and social marketing; combining theory with practice by taking campaign managers through the steps of learning, designing, organizing, implementing, and monitoring an ARA-Pride campaign. Importantly, a large part of the course unfolds "at home", through preparatory work, home study, mentoring and field-work, with only a few weeks a year spent at the University (in the case of this AZE-Andes cohort, this will be the University of Guadalajara, Mexico). Before 2008, this training provided a diploma, but now graduates from this two-year program will qualify for a Master's degree from The University of Texas (El Paso). The support to be provided by partner organizations to their campaign managers that will allow them to study and address the campaign challenges during the home-based stages is an essential ingredient in this 2-year commitment.



Besides providing instruction for Pride campaign management, Rare will support implementation partners in the ARA methodology. Each organization will receive an ARA funding package of \$20,000 to complement the funding needed for an ARA extensionist to work with upstream and downstream communities on contract negotiation and fund contributions. The ARA funding package will also finance the cost of landholder livelihood assistance payments made in the first two years of the program. For the entire cohort of campaigns, Rare will also maintain an expert ARA consultant who will visit the sites regularly to provide support and further training.

The capacity-building curriculum offered in Rare's training package for strategic planning and implementation of a Pride campaign is built on a generic theory of change and a "theory of change" that will be specific to each site. The generic theory of change for all campaigns in the AZE Andes cohort will link three components: (1) changes in cognitive and affective attitudes toward behavior change (K + A + IC), (2) a conservation strategy that removes barriers to behavior change (BR), and (3) the conservation results which require specific reductions in threat from behavior change (BC → TR → CR) (see Table 8).

**Table 9. Theory of Change Framework**

(K Knowledge	+ A Attitudes	+ IC ) Interpersonal communication	+ BR Barrier removal	(→ BC Behavior change	→TR Threat reduction	→CR) Conservation results
Pride training and social marketing builds local recognition of benefits to water and global biodiversity by conserving natural habitat of AZE species in selected small-scale watersheds of the Andes.			A Reciprocal Agreements for Watershed Services (ARA) program reduces costs for landholder conservation commitment.	Human behavior changes to protect biologically and hydrologically sensitive habitat and species, improving their status compared to baseline scenarios and change at control sites.		

The curriculum for change agents in conservation begins with the science tools necessary for an understanding of the required conservation results, and the methods for monitoring impact. They are taught how to analyze each step in the causal chain, from the concept modeling of threats, to the identification of the feasible change targets, to the design of the ARA institutions, and the social-marketing research, including audience segmentation and in-depth survey analysis of stakeholders. In deciphering and progressing through each site's specific theory of change, campaign managers need to apply a combination of skills (for example, analytical, planning, negotiation, problem-solving, and communication) and will be mentored throughout the learning curve by Rare staff, in this case Pride Program Managers (PPM) based in Guadalajara, who will also be teachers for the on-site training stages.

#### *How to measure effectiveness*

The selected Pride campaign managers and their organizations will be in constant contact with each other and with global experts, using Rare's online project and knowledge sharing network <RarePlanet.org>. The organizations will implement a Pride social-marketing campaign in support of an ARA strategy, and use a common protocol for measuring its impacts on knowledge, attitudes, behavior change, and on species and habitat conservation status compared to control sites. This cohort approach is novel for Rare and provides an opportunity to measure the strategy's effectiveness experimentally, while at the same time, favoring learning and the expansion of ARA and AZE foci through on-line alumni networks. An Andean community of practice which shares lessons in real time over two years about these methodologies will have "network effects" in the form of accelerated learning and more rapid adoption of ARA institutions. Using uniform metrics in all campaigns and at control sites will also allow conservation impact to be compared to counterfactual scenarios in which there is not a Pride campaigns or ARA program.

As the first major study of a Pride cohort, Rare has designed the project to meet two main objectives: (1) To measure Pride's effectiveness in achieving the specific objectives established for each component of the Theory of Change (ToC) from Knowledge (K) through to the Conservation Results (CR) in each of the 12 Pride campaigns, and (2) to further our understanding of how Pride causes individuals to move through the ToC.

To accomplish these objectives, Rare will collect quantitative data through personal interview surveys (to measure changes in knowledge (K), attitude (A), interpersonal communication (IC) and behavior (BC) indicators) and the measurement of biological indicators (threat reduction (TR) and conservation result (CR) indicators). Rare will also develop indicators and measures to assess the implementation and adoption of the ARA barrier removal (BR) strategy in sites with and without a Pride campaign. These analyses will give us a better understanding of the driving forces or social factors behind the ToC and will allow us to fine-tune Rare's social marketing strategy. For example, Rare will investigate the relative effects of campaign messaging and behavior-change incentives according to the gender roles of men and women. The "impact study" that Rare has built into the project (described in further detail in Appendix 16) explicitly includes behavior change and key elements of success, by:

- 1) Using a theory-informed proposal of what will happen at Pride campaign vs. non-Pride campaign sites (up to 12 sites).
- 2) Using an experimental counterfactual (Ferraro, 2009a) against which to compare Pride impact by incorporating randomization of treatment application by randomizing site selection with three lead agency partners (LAP) who will implement ARA at both treatment and control sites, and a Pride campaign at the treatment site. These LAPs will be eligible to implement a Pride alumni campaign at the control site after two years.
- 3) The participation of external, disinterested parties in the collection and analysis of both quantitative and qualitative research data (focus groups, in depth interviews, pre/post surveys, and biodiversity monitoring).
- 4) Including design features, such as: a) clarity and shared vision about the study with all partners; b) adequate training and quality control throughout the study; and c) a separate budget for all study activities.
- 5) The study has also been designed to account for potential risks, including: a) selection bias; b) treatment diffusion effects; c) unintended behavioral responses; and d) inconsistent measurement methods. [Item 4 as recommended by the GEF Scientific and Technical Advisory Panel (Cunningham, 2008)]

### 3.2. Project goal and objective

The **goal** of this project is to *conserve AZE biodiversity sites in the tropical Andes*. Through careful selection of up to 12 campaign sites where a reciprocal agreements for watershed services (ARA) program is an appropriate strategy to improve the protected status of AZE habitat, this project will build the capacity of local leaders and their communities to recognize, validate, and contribute towards sustained provision of local watershed and global biodiversity conservation benefits.

The intermediate objective, or **objective of this project**, is to strengthen the effective protection of habitats populated by species that are globally critically endangered and endangered in the terrestrial protected area networks of the Tropical Andean countries of Peru, Bolivia, Ecuador, Colombia and Venezuela. The protected status of AZE sites will be improved, and their management as a part of protected area networks strengthened by building local capacities to negotiate conservation contracts (i.e., ARA) on private or community lands and to design and market the social institutions and behaviors for managing these contracts.

Though ultimately this project aims to attain palpable conservation results, in essence it is a capacity-building project. Capacity will be forged within local government or non-governmental organizations that have the responsibility to promote land uses in the buffer zones and conservation corridors of national protected area networks that are compatible with biodiversity conservation. In these mosaics of agricultural, urban, and natural areas, the protection of strategically selected private lands strengthens the existing protected area networks by conserving unique vegetation types and habitat and preventing the isolation of forest blocks and the breakdown of metapopulation dynamics.

### 3.3. Project components and results indicators

The project has been designed to have specific, measurable, attributable, realistic and time-bound outcome indicators, as set forth in Appendix 4 (Logical / Results Framework). Most of the project's indicators are expressed as, or in relation to, specific targets to be achieved by project completion, though there are also mid-term targets (Appendix 7) which either indicate partial outcome accomplishment or are process indicators that verify progress towards achieving the desired outcome; some mid-term targets, however, still need to be quantified as part of finalizing the M&E plan at project inception. The expected duration of the project is three years, two of which will entail intensive and simultaneous campaign implementation activities. The quarterly workplan for the project, as well as the key deliverables and benchmarks, are presented by component in Appendix 5&6. The Project will have three components, as detailed below, one of which is management-related.

Components:

- Component 1: Pride Campaigns for capacity building and public awareness at a model network of AZE sites
- Component 2: Evaluate replicable network effects of using Pride methodology to boost the impact of a strategy of reciprocal agreements
- Component 3: Project Management

The execution of these components will be supported by Rare staff, local staff and external specialists, including Biological Monitoring specialists, Reciprocal Agreement Technical experts and Impact and Effectiveness experts; the Terms of Reference for these key technical consultants are outlined in Appendix 11.

### **Component 1: Pride campaigns for capacity building and public awareness at a model network of AZE sites**

This component will be achieved by recruiting up to 12 conservation leaders working with local organizations, one at each of up to 12 sites. These sites, which are named further ahead, were selected from 24 applications that scored above a minimum on a multi-criteria analysis that placed feasibility of ARA as a successful incentive scheme as a key selection criteria. At project submission, due diligence was complete on these 24 candidate partner organizations and 12 partners were since selected. This means that for any partner organization candidate, capacity and human resources are above minimum thresholds for an expected positive result from a Pride campaign matched to an ARA strategy. With 24 strong candidates to choose from, it was possible to reconcile the goals of assembling a cohort of sites with sufficient matched control sites allowing for impact measurement.

Regarding localities, selected sites all meet the qualification criteria for the feasibility and appropriateness of the ARA methodology. This project recognizes that because of varying geography, and varying political, social, cultural, and economic contexts among AZE sites in the Andes, there will not be one single optimal strategy for barrier removal appropriate for all of them. However, there is widespread interest and applicability of the reciprocal agreements for watershed services (ARA) approach, and we have an opportunity to use the power of network learning effects among a cohort of sites by selecting from among only those sites where this strategy is, in fact, feasible and appropriate.

Final selection of the implementation partners for up to 12 AZE sites was made during the last stage of project formulation and Rare is now entering into negotiations on the terms of MOUs with each partner, who have all committed co-financing to the project. Past Pride campaign implementation has shown that a written MOU committing the partner organization to cost-sharing personnel and implementation costs is a key determinant of campaign success. The MOU will therefore establish management roles and responsibilities, and financial commitments, and will orient partner organizations on their role in the governance structure of the GEF project and on the authorities and responsibilities of Rare's training and cohort management teams, of associated conservation partners and, when relevant, of the lead agency partners carrying out non-Pride controls.

Within three months of project start, the baseline status of protection will be established at chosen sites, and using the GEF tracking tool, Rare will be able to establish the target levels of protection that we will attempt to reach on campaign completion. Partner organizations at AZE sites will acquire computers and other equipment necessary for their training. Each campaign will begin with the development of a customized TOC for their site and a two-year campaign strategy. Species- and habitat-monitoring consultants will be contacted to establish a technical baseline and a schedule for measurements. All campaign managers will then pass through five phases of training and campaign implementation, described in Section 3.1.

#### *Component 1. Outcomes and Indicators*

Under the first project component, the expected outcomes and corresponding verifiable performance indicators include:

Outcome 1.1: Community-based constituency's capacity and knowledge is built to achieve beneficial conservation results

- Measurable behavioral changes (>10%) and increased public awareness (>25%), as measured by pre- and post-surveys of reported behavior at up to 12 project sites by the end of the project.
- Follow up campaigns (target: 9) are initiated in year 3 with minimal support from Rare and with strong support from >1 community leader or local organization

Outcome 1.2: Improved management capacity at project AZE sites

- Up to 12 conservation agreements (ARAs) are in affect (signed) at project sites.
- AZE will be adopted as a conservation strategy for protected areas at the local level, by the end of the project.

Outcome 1.3: Improved protected status in 10 out of 12 AZE sites (public or private) and mainstreaming of protection incentives.

- Net habitat loss avoided (*TBD* ha) relative to baseline (pre-project rates of habitat change and local control sites) at up to 12 sites, by the end of the project.
- Numbers of hectares signed up under reciprocal agreements (ARA) by the end of the project.
- Number of new landholders per year enrolled in reciprocal agreements (ARA) by the end of the project.
- Government recognition of AZE site conservation planning and inclusion of local AZE sites amongst buffer area conservation priorities;
- ARA schemes adopted by governmental or private land managers as a conservation tool.

Outcome 1.4: Reciprocal agreements (ARA) are established and being tested, with the objective of providing economic assistance contingent on verified conservation behavior in each AZE community.

- Number of participating communities implementing reciprocal agreements (ARA) by the end of the project (target: 12).
- Inclusion of reciprocal agreements (ARA) at AZE sites within broader ecosystem service policy institutions (national or regional/provincial level) by the end of the project.
- Number of municipalities (target: 12) contributing, and level of commitment to ARA funding by the end of the project.

### ***Component 1. Activities and Outputs***

Most Component 1 activities are geared towards the concomitant co-implementation of Pride campaigns with ARA strategies, preceded and intercalated with curricular training. Thus, the majority of activities and outputs pivot around Outcome 1.2 which in execution terms is the activity-intensive and campaign-running phase of the project. The other three Outcomes encompass activities for planning, of a more political scope or that focus on data collection and analysis to determine project results. There are in fact many "check-points" throughout the project, resulting in in-built monitoring and evaluation mechanisms that are difficult to cost, given their integration into the more technical or scientific Outcomes. Overall results are listed below while the direct relationship between project Outputs/Activities and project Outcomes is shown in the logframe (Appendix 4) for the Outputs and in the workplan (Appendix 5&6) for the Activities.

### ***Outcomes 1.1 to 1.4 - Outputs and Activities:***



#### Cohort of pilot AZE site projects established

- Sites selected and community representatives from local agency partners are enrolled in the Pride program as “campaign managers”.

#### First University training phase – (modules 1 & 2)

- Up to 12 Rare Pride campaign managers from AZE sites complete nine weeks of initial training at Rare’s training center in Guadalajara, Mexico, including workshops in public speaking and network development.

#### Campaign planning

- Campaign managers complete formative research and site baseline, including a) site description, b) stakeholder meetings and characterizations, c) concept models, d) risk and threat rankings, e) focus groups and surveys f) potential reciprocal agreement options identification, and g) campaign plans for up to 12 Rare Pride campaigns, each targeting up to 150,000 inhabitants of a critically threatened AZE site.
- At this planning stage behavior change surveys are designed for each campaign, and pre-campaign data is collected.

#### Second university training phase—(module 3)

- Up to 12 Rare Pride campaign managers complete five weeks of training in social marketing messaging, campaign activities and campaign design at Rare’s training center in Guadalajara, Mexico.

#### Technical support for reciprocal agreements

- Options identified and available for community-based reciprocal agreements, and a) up to 12 functioning reciprocal agreements documented at 12 AZE sites, b) site assessment and incentive program design report and final report, and the diffusion of innovation curves produced for each site, c) quarterly reports from the reciprocal agreement expert on progress made by each partner available on <RarePlanet.org> and d) household income survey administered to adopters and non-adopters of incentive agreements, pre- and post-campaign.

#### First campaign support visit

- Trip reports describes each campaign status after the first one-week visit for 1-on-1 personalized support by their Rare mentor in the first quarter of campaign implementation.

#### Second campaign support visit and report

- Trip report documents the campaign site visited for the second one-week of 1-on-1 personalized support by their Rare mentor in the third quarter of campaign implementation.

#### Third University training phase – (module 4)

- Up to 12 Rare Pride campaign managers complete four weeks of final training at Rare’s training center in Guadalajara, Mexico, in critical thinking and results analysis, designing a final presentation of results for different audiences, sharing knowledge among the network, and developing a follow up plan and final campaign report available on <RarePlanet.org>

#### Post-campaign analyses and compilations

- Each site campaign generates data to be collected, processed and reported in order to verify results and generate outputs such as contract uptake and compliance data, and hectares protected under reciprocal agreements; biodiversity monitoring assessments; and maps showing AZE sites, protected areas, and ARA-enrolled landholders.
- Mainstreaming ARA and AZE beyond campaign activities to ensure durable results and benefits entails actions with local, regional/provincial and national authorities, as well as targeted outreach activities.

**Component 2: Effectiveness Analysis—evaluate replicable network effects of using Pride methodology to boost the impact of a strategy of reciprocal agreements**

Pride campaigns are an effective and replicable method for conservation behavior change. However, to measure the impact of a networked cohort of conservation campaigns that use the same conservation strategy requires the evaluation of behavioral change, change in species and habitat status, and the causal influences of the campaign and the barrier removal strategy, compared to control sites. Component 2 of the project will demonstrate the replicable network effects of Pride and reciprocal payment schemes. Inherent in the development of a network of AZE sites that replicate a successful conservation strategy is the creation of tools to disseminate best practices and the ability to provide solid evidence that the Pride method works and merits replication at other sites.

With the support of contracted experts in reciprocal agreements, Rare will produce an online toolbox for ARA that will include promotional materials, templates for agreements, as well as a checklist and self assessment tool. Rare will also establish and build community of practice for campaign managers, supervisors, and technical experts in reciprocal agreements, and develop an outreach and communications plan that will disseminate results of the AZE network more broadly and support the uptake of reciprocal agreements beyond the AZE tropical Andes sites.

Rare has designed a randomized control study in order to ensure that adaptive management principles are applied to Pride campaign methodology and prove that Pride campaigns really do accelerate the uptake of conservation strategies. Rare will carry out qualitative interviews at a subset of sites + control sites in month 12 of the campaign. Survey data will be analyzed from Pride campaign treatment areas and compared to randomized control sites (where ARA is promoted without Pride). Rare will use multi-variable statistical techniques and qualitative interviews to assess each campaign's Theory of Change, and prepare publications to document and disseminate best practices in Pride and reciprocal agreements. Rare has designed these activities to answer key questions, including the following: What is the decision making process of farmers/land-owners who adopt reciprocal agreements and those who do not? Where do bottlenecks develop in Rare's Theory of Change, and why do they develop where they do? What is the role of (1) exposure to more or fewer Pride activities and (2) the type of activities on amount of behavior change? What is the role of the campaign's flagship species (the campaign mascot) within the context of our Theory of Change? How is the mascot perceived by different audiences? What is the role of "pride" in local environment versus the role of demonstrated self-interest (economic, health, cultural) in the adoption of the promoted behavior? Do people need to see tangible benefits for behavior change? How much of the behavior change is explained by (1) level of income (2) source of income/livelihood, and (3) percent of income/livelihood from resource? How do members of the local population understand their relationship to the environment and what is their understanding of ecosystem services before and after the Pride campaign?

Rare will work with partners, such as The University of Texas (El Paso), as contracted experts for survey design and analysis. Campaign managers will collect data during the campaign planning process using both qualitative and quantitative methods (focus groups, in-depth interviews, and pre- and post-campaign surveys). For each site, Rare will contract an expert for years 2 and 3 to analyze the data and produce a summary of the results, including progress as assessed using the project indicators. Rare will be responsible for ensuring that all campaign formative research is stored and available on <RarePlanet.org>, and provided to these technical experts. A more detailed account of this study design is available in Appendix 16.

Pride campaigns achieve results linked to biological indicators of threat reduction and secure conservation results at a network of AZE sites. Key to the project's success is the ability to demonstrate this, using species data and statistics on the hectares of new habitat protected. Activities have been designed to answer the following questions: How does the amount of land conversion (baseline to project completion) change over the course of the Pride campaign? How much habitat has protected status of some kind within the target area? What is the percent change in the extent of natural habitat? Are there any changes in the presence of indicator species identified for monitoring in the target area?

Rare will partner with organizations working in the region (Birdlife International, American Bird Conservancy (ABC), National Audubon Society) in the design of a monitoring protocol which is compatible with other monitoring protocols being implemented across the region and also meets the Open Standards for monitoring project success of the Conservation Measures Partnership (CMP) (<[www.conservationmeasures.org/CMP](http://www.conservationmeasures.org/CMP)>). We will consult with the American Bird Conservancy and the Regional Office for the Americas of Birdlife International in the design and implementation of specific monitoring protocols for each site that will fit into a regional framework for monitoring at AZE sites up to 12 sites supported by this project as well as other AZE sites in the region). Supported by ABC and BirdLife International, the project will design the protocol, train and equip local partners and collect baseline data at each site during the first six months of the project. A second round of data will be collected at each site at the end of the third year of the project. A partner will be selected to provide vegetation cover change measures for experimental and control AZE sites.

## *Component 2. Outcomes and Indicators*

Under Component 2, the expected outcomes and corresponding verifiable performance indicators include:

Outcome 2.1: Measurable expansion in network of support for AZE sites

- Registration and downloads of the online toolbox for reciprocal agreements, including curricula, monitoring protocols, and best practices created and updated throughout the project.
- Number of members who join and number of hits on RarePlanet.org AZE group (% increase).
- Additional funding channeled to project and non-project AZE sites.
- Initiation of designs for new reciprocal agreements at other AZE sites by the project's end.

Outcome 2.2: Measurable uptake of best practices in social marketing of incentives that strengthen terrestrial protected area networks

- Uptake of reciprocal agreements at sites with Pride campaigns is more rapid than at randomized control sites without Pride campaigns, demonstrated by the end of the project.

- Research results identify the refinements needed in Rare's Theory of Change that links: (a) changes in knowledge, attitude and social interaction with (b) an incentive scheme with (c) behavior change leading to conservation results by the end of the project.
- Refinements to Theory of Change are applied to Pride campaign methodology by the end of the project.

Outcome 2.3: Pride campaigns achieve positive results on biological indicators of results for globally endangered and critically endangered species restricted to one site.

- Improved status of indicator species or proxy indicator species by the end of the project.
- Improved habitat conservation status by the end of the project.

#### *Outcomes 2.1 to 2.3 - **Outputs and Activities:***

Measurable expansion of network of support for AZE sites

- An online toolbox for reciprocal agreements prepared, including promotional materials, templates for agreements, a checklist and self assessment tool; a community of practice is established and built for campaign managers, supervisors, and technical experts in reciprocal agreements; and outreach and communications plan are prepared to disseminate results of the AZE network.

Measurable uptake of best practices

- Qualitative interviews are carried out at a subset of sites + control sites in month 12 of the campaign, and survey data is analyzed from Pride campaign treatment areas, compared to randomized control sites; multi-variable statistical techniques and qualitative interviews are done to assess each campaign's Theory of Change, and contribute to refining the overall Pride methodology through increased understanding of the links in the Theory of Change. Publications are prepared to document and disseminate best practices in Pride and reciprocal agreements.
- Refinements to the Theory of Change are proposed and reviewed by the Rare Executive Board, who adopts a decision on changes to be made to the Pride method, leading to adjustments to the Pride curricula and training materials.

Pride campaigns achieve results linked to biological indicators of threat reduction and secure conservation results at a network of AZE sites

- Habitat and species monitoring protocols are established and applied at up to 12 AZE sites, and baseline remote sensing is acquired pre- and post-campaign to produce summary of findings; monitoring protocols are designed and biological indicators established and published on <RarePlanet.org>, together with site monitoring reports (pre- and post-campaign) and annual reports.

### **Component 3: Project management**

The project managers must organize the implementation, reporting and monitoring of process and conservation results in coordination with numerous stakeholders. Component 3 expected outcomes and verifiable indicators include:

*Outcome: Effective project management results in the Project completed in a timely and cost-effective manner*

- Indicator: The project at mid-term has, at a minimum, a rating of satisfactory and at project completion, at a minimum, satisfactory.

### *Component 3. **Outputs and Activities***

Project management responsibilities include the establishment of structures for supervision, coordination, and implementation. These shall provide for communication mechanisms that include a clearly established schedule of meetings for each of the four bodies responsible for management: the Advisory Committee; the Science, Impact Monitoring and Replication Team, the Rare Global Support Team and the Rare Andes AZE Implementation Team. Roles and responsibilities need to be established and revisited on a regular basis in the relationship between autonomous science and monitoring partners, Rare staff, and the lead agency partners, campaign managers and ARA extensionists chosen for each campaign. Key engagements bringing together these teams will occur at the project inception meeting in early 2010, and again at the 2<sup>nd</sup> and 3<sup>rd</sup> university phase when campaign managers are brought together and progress on sustainability can be evaluated. Organizational structure, institutional and implementation arrangements are detailed in Section 4; and reporting responsibilities are detailed in Appendix 8.

Rare staff must ensure that the implementation teams regularly consult with and inform the other teams. AZE experts, species and habitat monitoring specialists, and Rare global support staff must provide information at pre-established check-in points. For the Pride Program managers and campaign managers weekly progress data will be collected and summarizing progress of all campaigns in flash reports. Monthly meetings between the Implementation and Global Support teams will be held to review summaries of the weekly data on campaign progress. A monthly meeting will also be held between representatives of the Implementation Team and the Science, Impact Monitoring and Replication Team. Site visits will be made by the Rare specialist supporting ARA, by monitoring specialists, and by the campaign training support team.

#### *Outcome - **Outputs and activities:***

Cohort launch proposal and project inception meeting

- Finalized logframe, M&E plan, and procurement plan. Inception report

Project supervision, administration, evaluation and adaptive management

- Project management documents (eg. progress and financial reports, cash advance requests, equipment inventory); Advisory Committee meetings and reports; terminal reports.
- M&E reports (eg. PIRs, GEF tracking tool); annual workplan reviews, budget reviews; UNEP oversight missions; Rare site visits and reports; response to Mid-Term Evaluation /Review.

Fiduciary standards

- Project filing system; TORs for all contracts; annual and final audit reports (including inventory).

### **3.4 & 3.5: Intervention logic, key assumptions, risk analysis and risk mitigation measures**

Under Component 1 of this project, we assume that it will be possible to select up to 12 sites in Andean countries where a Pride campaign manager and ARA extensionist can be trained and be able to implement a campaign to successfully recruit land owners to protect multiple-benefit habitat (biodiversity and water services) in return for a customized form of livelihood assistance. Rare also assumes that the landowner incentives and community solidarity built by the campaign around reciprocal agreement norms will also induce municipalities to contribute resources to cover some of the costs of the livelihood assistance offered to landowners. Achievement of these outputs is expected to result in outcomes on local attitude and behavior change regarding habitat protection, increased local capacity to manage habitat in protected area buffer zones, reduced habitat loss and species decline in targeted micro-watersheds and enhanced livelihoods for participants. The cumulative effect of these outcomes is expected to achieve the goal of strengthening protected area networks in Andean countries, and lead to the sustainable conservation of AZE biodiversity sites in the region.

Under Component 2 of this project, the key assumptions are that a network of campaigns that build Pride capacity towards a common habitat protection tool (the ARA) will contribute to building an online toolbox for learning and strategy implementation that will generate local and regional replication of this strategy, in favor of AZE species conservation. We assume that, with research partners carefully measuring campaign techniques and campaign impacts on habitat and biodiversity relative to randomly and non-randomly selected control sites, it will be possible to establish whether Pride campaigns do or do not accelerate uptake of behavior change relative to sites offering only ARA incentives or in sites with neither incentives nor Pride campaigns. Rare assumes that the “critical mass” created by this number (up to 12) of campaigns using the same strategy will generate the volume of interaction on <RarePlanet.org> and in other forums where the measured effectiveness of this approach is reported, that its replication will be accelerated compared to other sites in the region.

In the PIF for this project, Rare described the expectations that we would need to develop campaigns around differentiated threat reduction incentives for AZE sites—social marketing interventions that would work with local communities to reduce the most important causes of deforestation in their local context. However, as described next, by analyzing the range of all possible livelihood alternatives, from sustainable forestry to ecotourism, we have advanced greatly in our analysis of what threat reduction strategies are most likely to work in the Andes, and concluded that some strategies may be more effective than others. Indeed, most effective are those that do not seek to substitute existing livelihoods but rather offer sufficient livelihood assistance to satisfy and convince landholders to maintain their forest cover unaltered.

The identification of ARA as the pre-determined conservation strategy for AZE sites, for which Pride social marketing capacity can boost uptake, replication and sustainability, is an adaptation to risks identified in the project planning phase. By identifying a conservation strategy and searching for partners according to their interest in this strategy before partnering starts, Rare is being pro-active in seeking partners with a shared commitment to the same conservation approach. Since the ARA approach requires little external policy support in its initial phases, partners are able to assume responsibility and control over the means of strategy implementation. This reduces the risk of discovering after partners are selected that the necessary conservation incentives are outside the realm of their influence, or that another strategy could be more effective.

The ARA approach will be new for many of the chosen partner organizations, and early disillusionment is possible. This risk will be minimized by bringing campaign managers and ARA extensionists together with the Directors of the partner organizations (who indeed nominate and supervise campaign managers) at each university phase, at which time the customized theory of change can be reviewed and discussed. The ARA specialist will be available and provision will be made for site visits to resolve critical uncertainties. Systematic monitoring of capacity to manage ARA implementation will be conducted through bi-weekly teleconferences between Rare Pride Program Managers (PPMs). Regular site visits will be conducted by PPMs. Weekly flash reports on <RarePlanet.org> will identify problem sites and the need or otherwise for intervention from the Regional Director and Vice President.

The sustainability of the ARA approach depends on the assumption of a growing local concern about the decline in water availability for irrigation or hydropower, and about sediment and pollutant free drinking water. Concerns about water availability and quality vary depending on national security and economic issues. ARA cannot promise to solve all community water problems, but its reinforcement of modest norms of support for those upstream agriculturalists who can least afford the opportunity costs of conservation is also a strength. The relatively small costs needed to sustainably finance reciprocal agreements makes them sustainable even when environmental concerns are not at the top of the headlines.

Partner organizations may encounter community resistance to the ARA approach. In some regions ARA may be politicized by opponents as “water privatization.” Mitigation for this risk is through the engagement of a specialist ARA consultant who can advise the campaigns. Pride campaign planning includes stakeholder assessment and threat assessment processes that take politicization risks into account, and enable campaign messaging to be adapted accordingly.

Land ownership and land occupancy are issues which will demand particular attention. Given the ethnic origin of much of the Andean population, there is a high probability that the 12 ARA-Pride campaigns will involve indigenous groups with specific social and cultural norms. Indeed, indigenous groups have been attentive to the need to establish free, prior and informed consent for any agreements establishing land use easements. Rare’s partners at Conservation International’s Indigenous Initiative working in the Andes region have established best practices for the engagement of conservation organizations with indigenous groups, which will be incorporated into the university training for campaign managers. With migrants occupying lands of uncertain tenure, the establishment of agreements recognizing their responsibility for land stewardship may be valuable simply for the presumption of land tenure this creates. Large landholders, on the other hand, can use land easements as a form of insurance against land occupation. A premise of the ARA approach, however, is that rural Andean communities have always managed agreements over property use despite uncertain official land tenure. Important mitigation measures must nonetheless require that each organization review areas considered for contracts according to their vulnerability for rapid changes in tenural claims, and that they be aware of any use of the agreements as pretext to other tenural objectives.

Additional risks are related to the campaign managers in the partner organizations. This project assumes that the opportunity to obtain a Master’s degree from a university in the United States is a powerful incentive for campaign managers to be fully committed to the campaign. There is a risk that campaign manager candidates will lack the university degree qualifications needed to matriculate. Risk mitigation has been to pre-qualify sufficient partner organization candidates so that if a campaign manager cannot be identified at the time of MOU signing (October 2009), another qualified organization can be selected.

Campaign managers can also drop out of the training program before their 2-year training is complete, or they can be released for inadequate performance. A thorough vetting of relationships between campaign managers and directors of partner agencies for their compatibility will minimize this risk. Risks of organizational dysfunction and eventual dissolution are addressed through the thorough vetting of the financial status of the candidate organizations in the recruitment and selection phase. For these reasons, the pre-selection process for partner organizations places emphasis equally on institutional capacity and on the identification of appropriate and committed campaign managers.

### **3.6 Consistency with national priorities and plans**

In general the countries of this project are engaged in biodiversity conservation at the multi-lateral and national levels:

- All five countries (Bolivia, Colombia, Ecuador, Peru, and Venezuela) are signatories to the Convention on Biological Diversity (CBD) and are committed to the implementation of activities under the CBD. Each of the five countries has developed its respective National Biodiversity Strategy and Action Plans 18 (NBSAP).
- All five countries have also ratified the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), an international agreement between governments aimed to ensure that international trade in specimens of wild animals and plants does not threaten their survival.
- All countries except Venezuela support the 2010 Countdown Initiative, specifically focused on deterring the rate of biodiversity loss.
- Bolivia, Ecuador, and Peru are Parties to the Convention on the Conservation of Migratory Species of Wild Animals aimed to conserve terrestrial, marine and avian migratory species throughout their range.

Although it is true that not all five countries are equally active or experienced in promoting “payment for ecosystem services” as a conservation tool, the ARA approach at the local level will likely aid all five countries to take one step further in this direction. Section 2.4 provides more insight into the policy context of these countries with regards to environmental services. Below is a summary of the National Biodiversity Strategies and Action Plans of each country, of the major features of recent policies linked to conservation, and of some of the feats accomplished by each country in relation to these conservation goals.

#### *Bolivia:*

- The National Biodiversity Strategy and Action Plan was designed with five areas of intervention: conservation of ecosystems, species and genetic resources of important cultural, ecological and economic value; attraction of investments in products and environmental services of biodiversity; strengthening of national capacity for management of biodiversity; and education, sensitization and social control for the management of biodiversity. These five areas integrate the priority themes identified in the national council that include institutional capacity, financial resources, and species and ecosystem restoration, and include more than 22 programs and 125 work projects.



- Bolivia has 22 Protected Areas, in which a shared management approach with local communities is being applied for the conservation of biodiversity, encouraging their empowerment and participation in practices for a more sustainable use of their natural resource base.
- The Ministry of the Environment, which recently became the Ministry of the Environment and Water, is currently working to prepare the “Red List” for vertebrates with a view to identify all the endangered species of wild fauna under different threat categories.
- Bolivia’s Forestry Law (1996) establishes sustainable forestry development as its prime objective, and specifically mentions the protection and rehabilitation of watershed areas; the prevention and detention of soil erosion and degradation of forests, grasslands, soils and water bodies; and the promotion of forestation and reforestation. It also aims to foment knowledge and promote public awareness regarding the responsible management of watershed areas and their forest resources. Similar notions can be found in Bolivia’s Environment Law (1992), which places emphasis on sustainability and on the joint responsibility of State and society in preserving, conserving, restoring and promoting the use of renewable natural resources (biotic and abiotic), and also determines that the planning, protection and conservation of water bodies, in all of their states, and the integral management and control of watershed areas from which water bodies are born or located, are matters of national priority.
- A recent study (2009) estimated that all vertebrate species in Bolivia are highly endangered and under a significant risk of extinction; the major threat (common to all groups) is the loss of habitat through degradation, perturbation, destruction of natural ecosystems.

*Colombia:*

- Colombia has incorporated the Millennium Development Goals into various plans, programs and strategies. One of the main goals established by regional environmental authorities is to reinstate organic systems of agriculture. For example, the Triennial Action Plan 2004-2006 of the Valle del Cauca Environmental regional Authority has set as goals: the reversion towards organic agriculture on at least 100 ha; the operation of agro-ecological models on 210 ha of agricultural areas; and the establishment and operation of agro-ecological plantations on 64 ha. Over the next five years, the National Government, with the support of the Alexander Von Humboldt Research Institute for Biological Resources, hopes to accomplish the following objectives: creation of a technical basis for the establishment of an inventory of the use of biodiversity resources to serve as a tool for decision-making; development of a minimum of three pilot areas for the resolution of conflicts arising from the distribution of environmental resources; and further develop guidelines for strategic environmental evaluations and industrial environmental assessments. Other objectives include: implement management plans for close to 500,000 ha of continental waters; territorial definition of three forest reserves; and formulation and implementation of 42 management plans for National Protected Forest Reserves.

- The preservation and management of renewable natural resources in Colombia, including taking measures to conserve or prevent the loss of flora species and specimens, is dictated by the National Code of Renewable Natural Resources and Environmental Protection. Indeed, the protection of wildlife is regulated in Colombia by the Ministry of the Environment, and requires that proper precautions be taken to defend endangered species and those at risk of extinction and that the “Red List” of endangered species be considered as a guidance and dissemination tool for those species at the highest risk of extinction. In the Colombian Andes, a grand total of 211 species of fauna are believed to be at risk, including fishes (15), amphibians (53), reptiles (5), birds (118), and mammals (20), with many plant species (614) also endangered.
- Colombia has a National Biodiversity Policy since 1995, which together with its Action Plan, is currently in the process of being updated. Though the first proposed Action Plan was not officially adopted at the time, it nonetheless indicated several directives for biodiversity management at the national level and served as a guideline for regional planning. As of 2008, six regional action plans on biodiversity have been prepared.
- In forestry management, Colombia has had forestry plans and policies in place since the 1960’s. Although their focus is primarily productive, these instruments nonetheless apply principles with a sustainable core, stating that: the conservation and management of forest ecosystems, as a shared responsibility between the public, private and civil society sectors, should be decentralized and participative; the possibilities and capacities of different social groups and communities should be factored into the management and sustainable use of forest resources; and international cooperation and solidarity should also be viewed as a positive contribution to management and conservation efforts for forest ecosystems and biodiversity.

#### *Ecuador:*

- The 2020 vision of Ecuador’s National Strategy is that Ecuador conserve and sustainably use its biodiversity, which is expressed in a better quality of life for its population, in the optimal use of its associated economic, social, cultural and environmental resources, and in the equitable distribution of the costs and benefits, derived from the use and conservation of biodiversity resources, among Ecuadorian society. To develop this vision the National Strategy and Action Plan proposes four main strategic axes, along with management measures, priority areas and actions. The four strategic axes are: consolidate and strengthen the sustainability of production activities based on native biodiversity; ensure the existence, integrity and functionality of all biodiversity components (ecosystems, species and genes); balance pressures from conservation and sustainable use on biodiversity; and guarantee the respect and exercise of individual and collective rights to participate in decisions relating to access and control of resources, and ensure that the benefits from the conservation and sustainable use of biodiversity, as well as the knowledge, innovations and practices of the indigenous communities and local populations are justly and equitably distributed.

- In Ecuador, the conservation of ecosystems, biodiversity and the country's genetic patrimony, the recovery of degraded natural areas, and the establishment of a National Protected Area System are elevated to the level of the Constitution, which declares all of these tasks of public interest. The protection of biological resources is therefore a priority for the country, and in view of the significant decline and loss of biodiversity being witnessed due to human interventions, has been given special emphasis in recent laws and regulations, with environmental protection increasingly linked to local involvement. An example is the Law of Forestry and Natural Areas and Wildlife Conservation (2004), which states that cooperatives, communes and other organizations comprising farmers aiming to undertake programs that protect, reforest or utilize forest resources should be supported by the State, as should the creation of new organizations with this purpose.
- Wild flora and fauna are part of the State's natural domain, and their conservation, protection and administration falls to the Ministry of the Environment who, in relation to endangered species, is entrusted with preventing their extinction.

*Peru:*

- Both the Law of Conservation and Sustainable Use of Biodiversity (1997) and the General Law of the Environment (2005) indicate that the conservation and sustainable use of biodiversity implies conserving the diversity of ecosystems, species and genes, as well as maintaining the essential ecological processes on which the survival of species depend.
- The National Biodiversity Strategy of Peru (2001) acknowledges that threatened species and their habitats require special measures to ensure their survival, while the Policy for Ecosystems, Forest Cover and Biological Resources stresses the need to reduce the rate of deforestation and promote ecologically sound economic development. This Policy seeks to promote activities for the prevention, rehabilitation and restoration of degraded lands and aquatic ecosystems, and for in-situ biodiversity conservation. It also states that native and farming communities (with genuine land rights) have preference over the sustainable use of their natural resources, and highlights the relevance of carrying out environment monitoring in and around Protected Areas.
- The vision of the strategy is that by 2021, Peru will be the first country in the world to have the best benefits for its population from its conserved and sustainably used biodiversity, as well as having restored all its biodiversity components in order to meet the basic needs and well-being for present and future generations. The overall objective of the NBSAP is the conservation of biodiversity, sustainable use of its components, fair and equitable sharing of the benefits arising from their use, adequate access to those resources, appropriate transfer of pertinent technologies, taking into account the rights to those resources and technologies, as well as appropriate financing. There are eight specific strategy lines, which each have specific objectives and actions defined. These are: the conservation of biodiversity in Peru; integrating sustainable use of biodiversity into the management of natural resources; establishing special measures for the conservation and restoration of biodiversity faced with external processes; promoting participation and engagement from the Peruvian society in the conservation of biodiversity; improving knowledge of biodiversity; perfecting the instruments needed for management of biodiversity; enhancing Peru's image at the international level; and implementing immediate actions.

- The concept of an “ecosystem approach” in planning and managing natural resources is relatively new, as is the valuation of the environmental services offered by biodiversity, but both have become part of the policy guidelines of the General Law of the Environment. An example is the promotion of integrated farmland or watershed management plans that contemplate strategies for the substitution of crops and freshwater capture, among others. The notion of “fragile ecosystems” -among which cloud forests are listed- is also integrated as a policy guideline, with public authorities expected to adopt special measures for their protection and both public and private investments encouraged as a means for their conservation and sustainable use. The Law’s specific conservation policy for species emphasizes that the State needs to establish the minimum conditions required for their survival and population recovery, alongside the establishment and implementation of in-situ biodiversity conservation modalities that the same Law requires the State to promote.
- Peru has 61 National Protected Areas, 1 Regional Conservation Area, 4 Private Conservation Areas and 31 sites classified as Epicenters of Imminent Extinction.
- Recent events in Peru (April-June 2009) have put the country’s Law of Forests and Wildlife in the spotlight, with uprisings from indigenous organizations and confrontations with police forces leading to over 40 deaths. The original Decree of this Law dates from the military period, but more recently, a revised version was adopted (rather rapidly, together with many others) in response to legislative requirements derived from the Free Trade Agreement negotiated with the USA. The legitimacy of this new Decree was questioned by indigenous communities, who claimed that the legislation was abusive of their land rights and unconstitutional, as it had been passed without prior consultation. As a result, the updated Decree was repealed by Parliament in May 2009. The regulation of forestry practices and conservation has therefore been remitted back to the next most recent version (2001), which makes explicit reference to the protection and valuation of forest ecosystem services, allows concessions for extraction of non-timber forest products, and adopts the National Plan for the Prevention and Control of Deforestation.

#### Venezuela:

- The main objectives of the National Strategy and Plan of Action are the sustainable use of the country’s biodiversity as well as its protection and acquaintance, in order to fulfill its conservation. Fifteen strategy lines were defined, addressing knowledge, valuation and dissemination of biodiversity; the promotion of biodiversity conservation either *in situ* or *ex situ*; society participation, in general, in every aspect related to biodiversity; the incorporation of subjects related to biodiversity in educational processes and programs; participation of local and indigenous communities in the management of biodiversity; minimization and prevention of negative impacts caused by man on biodiversity; to promote Biosecurity, Bioethics, Biotechnology and its transfer; incorporation of marine-coastal biological resources in biodiversity sustainable use plans; strengthening regional and sub-regional policies for the conservation and sustainable use of biodiversity; strengthening institutions and legal framework for biodiversity management; and studies of global climate change and its relationship to biodiversity. For each of these strategy lines objectives were specified as well as the actions to be taken to meet the objectives and the bioregions to which this is all targeted.

- Venezuela has a hugely diverse legal framework, with various international conventions, organic laws and decrees that regulate the environment, from the protection and zoning of ecosystems and habitats, to the protection of endangered species. As a result, the Ministry of the Environment and Natural Resources houses an extensive collection of technical resolutions that cover issues of environmental quality, territorial planning, and the sustainable use of natural resources.
- The Ministry of the Environment is set on developing a National Conservation Policy, to be founded on, and implemented through, an “ecosystem vision” in order that the sustainable use of resources may be considered in territorial planning and zoning processes, while also contributing to a better quality of life and to the achievement of global goals and commitments, such as decreasing the rate of biodiversity loss and others comprised in Millennium Development Goals.
- The principles and norms for the conservation and sustainable use of forest resources are dictated in Venezuela by the Law of Forests and Forestry Management (last updated: 2008). This Law mandates the Executive to formulate a National Forest Policy, which was first formulated and adopted in 2005, to set forth priorities, objectives, strategies and national goals for both forest sustainability and forestry development.
- Venezuela’s Organic Law of the Environment (2006) determines that ecosystems of strategic importance are subject to priority protection measures. Such ecosystems include those considered fragile or pristine, those with high genetic and ecological diversity, those of singular landscape beauty, and those where endemic species can be found or that constitute the habitat and lands of native indigenous groups that are susceptible to have their cultural integrity affected. Particularly vulnerable species or populations of animals and plants that are endemic, threatened or at risk of extinction, also merit priority protection measures.
- The proportion of national territory covered with forests has declined over recent decades in Venezuela. Forest cover determined in 1977-1980 and compared with 1995 data showed a decrease from 62% to 54% of the national territory during this lapse. This represents an accelerated and significant diminution of forest cover, and contrasts with measures to conserve biodiversity that have led to 43.5% of the national territory being protected as Areas Under Special Administration Regime (ABRAE) by 2004.

### **3.7. Incremental Reasoning**

*Context and broad development goals*

*Conserving biologically diverse regions requires awareness.* The Tropical Andes is the richest and most diverse region on Earth; it contains, for example, about one-sixth of all plant species in less than 1% of the world's land area. This region also maintains the largest variety of amphibians in the world, with 664 distinct species, almost 450 of which are listed as threatened on the 2008 IUCN Red List. The eastern slopes comprise about 13% of the Amazon basin, but the expansive and highly productive white-water floodplains of the Amazon are largely the products of forces originating from them. The Amazon itself has been shaped by the influx of sediment and energy from the Andes over the last 10 million years; between 90% and 95% of the suspended sediment load of the mainstream Amazon is derived from the Andean tributaries, most especially the Ucayali, Marañón and Madeira. The Andean tributaries form productive corridors extending across the vast Amazonian lowlands; they sustain the fertility of the *várzeas* and the Amazon fisheries, even extending into the less productive black- and clear-water tributaries, through annual fish migrations which distribute the Andean-dependant energy and nutrient resources. Forest loss in the Andes impacts not just the Andean ecosystems but the geochemistry, the productivity, and fluvial dynamics of the entire Amazon basin.

There are over 120 AZE sites in the Tropical Andes. In the communities living adjacent to most AZE sites in the Andes there is little or no awareness of the role that natural habitat plays in preventing extinctions or in providing ecosystem services, including fresh water provision. Because AZE sites are areas with species under the highest risk of extinction, and because the species occur nowhere else it is only at these sites that they can be saved. A project which provides some guarantee for their survival signifies a solid and tangible increment in global benefit, the GEF's primordial goal. AZE sites in the Tropical Andes are mostly associated with cloud forest ecosystems, making them valuable conservation targets beyond the spatial reach of the habitats to which the threatened species belong. At the national level however, benefits from the conservation of these species are considered modest, since they are frequently little-known and mostly lacking in charisma. Their tiny geographic ranges mean that their extinction would be rapid unless safeguards are put in place. Without GEF investment, these sites would be unlikely to attract support for national or cross-national networks of conservation effort. Deforestation by small landholders proceeds unchecked, and barriers exist to the adoption of appropriate alternative economic practices.

The global importance of biodiversity of the Tropical Andes is recognized internationally. Section 2 details the global significance of the Andes, while also defining the threats and their root causes. The preceding sub-sections of Section 3 detail the project's goal, objective and strategic approach; this project is designed to at minimum support the AZE agenda, but it has a broader global objective to leverage GEF funds to turn the tide of habitat loss and species extinction at a suite of AZE sites, using a network that can be sustainably replicated.

#### *Baseline Scenario*

The baseline situation is one in which the Andes are recognized as one of the most biologically diverse ecosystems in the world and with their young lithology, a major force in the geochemistry that determines the productivity and extraordinary biological diversity of the Amazon ecosystems as we know them today. The FAO projects that deforestation rates in the Andes region will accelerate with habitat fragmentation, soil degradation and biodiversity loss. Although there is a global recognition by the international community that indeed these regions are important and threatened, global concern is largely disconnected from the local realities. Protecting ecosystems while promoting sustainability—balancing the environment with social and economic benefits—remains the challenge. Currently, at the mid-altitude sites where AZE species are concentrated, deforestation provides revenues to local communities. The externalities in biodiversity loss and degradation of water services produced by these activities are not incorporated in the costs of production. While there is growing conflict between upstream land use and downstream water needs, there is little acknowledgement that institutions to manage landscapes for multiple environmental services can offer lower cost treatment of externalities than engineered remediation infrastructure.

Baseline conditions for environmental NGOs are that they have limited capacity to generate buy-in to sustainable alternatives. Local constituency support for conservation expenditures is mostly absent. Potential partner NGOs in this project would not focus their efforts on AZE sites were it not for the technical support and window of opportunity this project can provide. Without this project, neither direct funding nor actions targeted at AZE sites would materialize beyond the basal surveillance of zones associated with pre-existing protected areas. Protected area and landscape management by national governments remains chronically underfunded; actions are often circumscribed to core areas, leaving buffer zones unattended. At most, a small number of local municipalities may search for solutions to nascent water problems in communities where scarcity or poor quality have made the water-forest link visible, but where alternatives to deforestation imply barriers to behavior change too onerous to overcome or sustain. Scarce resources for the scientific study of sustainable alternatives mean that there have been no studies estimating the effect of alternative interventions on deforestation rates using randomly selected control sites.

Although the five Andean countries, Bolivia, Colombia, Ecuador, Peru and Venezuela, maintain a number of multinational and bilateral agreements with commitments to biodiversity objectives, few address targeted efforts to change human behavior with respect to endangered species outcomes. Few are even aware of the presence of AZE sites in their territory though in recent years some Andean countries have updated their “red lists” of endangered species and stressed the vulnerability of native species to environmental degradation in national policies and action plans. Though as a growing alliance the AZE has joined many conservation organizations to support a common agenda, the activities of this network have just begun. At this time, there is no support network for these sites regarding mechanisms to gain protected status for AZE habitats, or for building local constituency pride toward their continued protection.

#### *GEF Alternative*

Rare and its partners specialize in and provide leadership for social marketing—a method for changing attitudes and behaviors for biodiversity conservation. Rare trains and supports community leaders to strengthen community level actions and increase conservation successes. Working primarily in the developing tropics, Rare has a proven model for changing awareness, attitudes and behaviors toward conservation at the constituency level through its Pride campaign. Rarely, however, have such local effects been capitalized at a global level. By selecting a cohort of cloud forest sites facing similar threats to biodiversity and developing common intervention strategies to abate those threats, and combining this with learning and replication mechanisms, with GEF involvement Rare will be able to accelerate and augment the extent to which global benefits can be derived from local actions.

This project aims to ensure protection of AZE sites and sustainable conservation and use of resources. By working with the Rare methodology, not only will the project seek to protect ecosystem services and biodiversity by boosting local awareness of the forest-water link and ensuring constancy in a community's commitment to conservation, but will also build on the success of Rare Pride campaigns at AZE sites to create a network of sites and a community of practice, while also extracting synergies from other projects in the region. Thus GEF involvement will be two-fold. First, it will permit the launch of a site-based strategy that gets at the root of these threats. Starting with 9-12 sites, the project will raise awareness, shift attitudes, and change behavior among local communities while generating quantifiable human benefits through the provision and promotion of sustainable livelihood alternatives. The results will be a measurable reduction in threats to biodiversity at each site and measured conservation success. Second, because the project methodology is designed to be replicable on the one hand, and will be refined on the other, the successes achieved in the 12 sites can later be reproduced at other AZE sites throughout the tropical Andes and beyond, with a new-and-improved Rare method and AZE in the spotlight; GEF funds will also be used to leverage additional donor support to build the network of support for this level of effort.

Compared to the baseline scenario, GEF involvement with this project will allow Rare to leverage its funds beyond just 1 or 2 implementations of this methodology, to carry out campaigns across the region, achieving more global benefits and sooner, than if there was no GEF support. This should be considered a double asset considering target sites are on the brink of a species extinction threshold, and a slower response could come too late. With GEF support, Rare will be able to use funds that it leverages to cover the start-up costs of ARA, while GEF resources are focused on building capacity, awareness and outreach, scientific demonstration of campaign impact, and replicability. Taking on a cohort and networked approach adds value to Rare's usual interventions by promoting the successes and best practice of ARA as a conservation strategy and prioritizing actions aimed at AZE.



The proposed project is closely aligned with the mission of UNEP through its emphasis on partnership and building the capacity of local communities to improve their quality of life through the conservation of their resource base and the generation of alternative livelihood solutions. “Education, awareness raising and training are essential to UNEP fulfilling its mandate of Inspiring, Informing and Enabling nations and peoples to achieve sustainable development” (UNEP). Project design is focused on the development of tools, including testing them in pilot sites, one of UNEP’s comparative advantages, together with its experience in working with scientific and technical communities, undertaking assessment and monitoring activities, its links to environment ministries and other conservations partners, and its ability to serve as a broker in multi-stakeholder consultations. The project is also consistent with UNEP’s Ecosystem Management Program to assist developing countries to conserve their ecosystem services through the testing of a variety of tools, and responds to GEF’s Strategy for Programming in GEF4, which includes payment for ecosystem services and the generation of evidence-based best practices that will inform GEF policies and programs.

### *Incremental Benefit*

From the baseline level of effort, the activities of this GEF project have been designed to harness Rare’s expertise to target an array of AZE priorities to begin to tackle the global challenges in tropical ecosystem conservation. Specifically, the GEF funds will enable Rare to expand the Pride Campaign process to take on 9-12 sites using the same conservation strategy simultaneously. This will promote synergies and regional collaboration, and build critical momentum for local outreach and community engagement while also leveraging funds from additional donors. GEF involvement will also permit the inclusion of sufficient treatment and control sites to enable “implementation science” to be applied to both confirm project impacts and make methodological improvements. The GEF intervention will allow for faster and simultaneous impacts (shorter response times at “sister” sites). Local impacts, which can be catalytic by themselves, will become globally replicable and gain demonstrative value. Without GEF support, Rare would not be able to find this quantity of qualified partner organizations, all willing to work on a common incentive strategy in a single region in Latin America, or target the same number of local representatives for *bona fide* training. It would instead require a geographically more diverse and strategically heterogeneous group of campaigns, for which the learning synergies, proof of concept demonstration, and opportunity for spillover replication through a common community of practice would be much reduced. In addition, the refinements to, and proof of, the Rare methodology will optimize future interventions using Pride, globally.

GEF funding will be used for core funding the individual Pride Campaigns, technical consultations for the barrier removal, technical support to evaluate the effectiveness of the Pride Campaigns, and travel for coordination, monitoring and training purposes. The impact of a networked cohort of conservation campaigns using the same conservation strategy requires evaluation for behavioral change, change in species and habitat status, and causal influence of the campaign and the barrier removal strategy compared to control sites; this is a key step to identify the impact of GEF funded activities. Importantly, the co-financing provided by Rare is also incremental in as far as accruing global environmental benefits can be attributed to both GEF, vital for allowing project impacts to reach further-a-field than the sites actually targeted by the project, and to Rare, responsible for mobilizing the necessary technical and human resources to build capacity in a transcendent way. The project’s contribution to global environmental benefits is reflected in the choice of impact indicators and targets in the project logframe, which demonstrates the extent to which the baseline investment (“business-as-usual”) is minimal and would barely attain local benefits without GEF, Rare and local partner involvement.

### 3.8. Sustainability

Pride campaign managers are local conservationists from around the world who make a 2-year commitment to inspiring environmental protection at every level in their communities. The training offered by Rare can be in Spanish at the University of Guadalajara (where Rare Pride Campaign Managers will attend beginning January 2010), in English at Georgetown University, in Bahasa (Indonesia) at the Bogor Agricultural Institute in Bogor, Indonesia, and in Mandarin Chinese at Southwest Forestry University in Kunming, China. After completing the training, campaign managers return to their communities to begin implementation.

The sustainability of the Pride training in community constituency building is premised on the choice of local conservationists for training that are embedded in local conservation organizations. Their desire to continue working in their local community is established both by their roots in the community and their decision to work there before being selected for formal training. The sustainability of a program of reciprocal agreements is dependent on the success of building local constituencies in favor of this approach.

Local conservation organizations must have the ability to raise funds, build strong local partnerships, and have a clear plan of action to reach their goals. That is why Rare addresses sustainability before even launching a new campaign, and then again at each stage of the planning process. A recent survey of Pride Campaign Alumni revealed that more than 70% are still working in conservation after their 2-year Pride campaign. Thus, there is a significant catalytic effect of improving the conservation work of both future campaign managers (sans Rare) and partner NGOs. The sustainability of local NGO partners on-the-ground is reinforced through modules in the Pride curriculum that focus on management, fundraising, and leadership capacity.

Sustainability is also a reason for the choice of the reciprocal agreement conservation strategy, and building constituencies of support around AZE sites that also deliver locally important ecosystem services. These sites will not be dependent into the future solely on global interest in biodiversity conservation. Past experience with the ARA approach has shown that local municipalities will contribute modest amounts to offset the costs to farmers for setting aside lands that protect water supply and quality. Indeed, this entire project is focused on generating long-term financial sustainability for forest management and AZE site conservation. Our underlying logic is that outside funds can catalyze local resources which, while much smaller than the outside investments, are usually far more sustainable.

Ultimately the sustainability and growth of this network of sites will depend on the ability for the local constituencies to lobby for their place within their regions' and nations' more encompassing systems of payments for ecosystem services. These systems, like Socio Bosque in Ecuador, are often aimed first at poverty reduction or disaster mitigation or lowland forest carbon sequestration at sites that do not correspond exactly with the sites retaining habitat for AZE species. The ability of partner organizations to share lessons among themselves in how to gain attention from these programs is one justification for the networked approach of this project. The project will include training on how to publically defend and gain political support for the continuation of these projects. Because national governments have assumed commitments to the CBD goals, the ability to count ARA contracts as progress towards these goals will provide an incentive that the sites can use to gain their eligibility for national payments systems.

### 3.9. Replication

Within the Andes region, replication of the ARA + Pride approach will be built from the refinement of Rare's generic theory of change about how behaviors can be changed to improve habitat protection at AZE sites. An implementation toolbox will be built from the joint experiences of the implementing partners using ARA. This toolbox will be assembled and disseminated in real time throughout campaign implementation phase on the <RarePlanet.org> site, together with the underlying experiences of the implementation partners. Campaigns will monitor the adoption of campaign results and of ARA techniques in neighboring watersheds.

This project is designed to allow the value of an ARA approach to be demonstrated as necessary, but not sufficient without community norm reinforcement through Pride. The number of sites and use of controls will enable an objective demonstration that systematic community engagement through social marketing is indispensable to the scale of behavior change needed in biodiversity conservation. By focusing this demonstration on sites where multiple environmental values (the rarest of biodiversity together with water services) are being protected, the project will encourage those who wish to replicate the work to advocate strongly for the prioritization of their sites nationally for the development of environmental service payments. Ideally, the materials developed and disseminated online and in other forums will motivate the assembly of other regional AZE coalitions to implement Pride + ARA networks.

In previous cases where reciprocal watershed agreements have been implemented, their success in gaining landowner and municipal support in one micro-watershed has led to expansion by the implementing organization into neighboring watersheds. Other local conservation organizations have also sought to replicate the strategy after observing its effectiveness. The Rare Pride techniques of local stakeholder and threat analysis used to customize community engagement materials and methods, and which will be included in the ARA + Pride toolbox will facilitate the adaptation of this strategy to sites beyond those targeted in the GEF AZE cohort. The availability on <RarePlanet.org> of video "how-to" descriptions by Pride campaign managers in Spanish will validate this approach for others with little experience. Blogs in Spanish on <RarePlanet.org> describing in colloquial language the challenges faced by campaign managers, and how they resolved them, will accelerate the learning by others of their practical lessons. All campaign posters, sermons, radio shows, buttons, newspaper stories and other materials produced in this cohort of campaigns will be made freely available to facilitate adaptation of this approach by other organizations without requiring direct support from Rare.

Outside the Andes region, key dissemination opportunities are available through <RarePlanet.org> and when implementing partners attend conferences on protected areas or ecosystem services, and can testify to the feasibility and sustainability of the approach. Rare's Mexico office will also seek to build synergy with and replicate these watershed agreements where applicable in Mexico.

### 3.10. Public awareness, communications and mainstreaming strategy

Rare has a proven model for changing awareness, attitudes, and behaviors toward conservation at the local level called a “Pride” campaign, as it inspires people to take pride in the natural assets that make their communities valuable and take action to protect them. Pride campaigns are based in social marketing—the use of private sector marketing tactics to “sell” social change. These tactics include audience segmentation; focus-group testing of highly targeted messages; use of multiple media vehicles and outlets to reinforce messages over a sustained period of time; and rigorous measurement of “product adoption” (i.e., new attitudes, behaviors, and sustainable alternatives). Through the product adoption approach, the success of changing awareness, attitudes and behaviors are mainstreamed.

Social marketing has been used for years to successfully tackle issues such as smoking, HIV-AIDS, and seatbelt use, but has not to date been fully tapped on behalf of conservation. So while many large organizations are working top-down on international regulations, corporate buying practices, and national systems of protected areas, Rare focuses on supporting their work from the bottom up. This means reaching millions of people who live in and around areas containing the highest levels of biodiversity—people whose day-to-day behaviors, livelihoods, and culture will greatly affect how well global conservation projects are sustained long term.

Rare Pride campaigns focus on building support for conservation at the local level. Some of the world’s most important sites for biological diversity are threatened by a lack of awareness and local community support. Targeted awareness-raising initiatives can build substantial momentum for conservation by creating the constituencies necessary for initiating policy changes, legislative reform, and new protected areas; by catalyzing in-country private and public sector funding; by shifting public behavior toward more sustainable practices; and by focusing public attention on severely threatened ecosystems and species.

Pride campaigns use a charismatic flagship species, such as the Saint Lucia parrot or the Philippine cockatoo, which becomes a symbol of local pride and acts as a messenger to build support for habitat and wildlife protection. Marketing tools—for example, billboards, posters, songs, music videos, sermons, comic books, and puppet shows—make conservation messages positive, compelling, relevant, and fun for the community. Campaigns appeal to people on an emotional level, generating an increased sense of pride and public stewardship that goes beyond mere awareness-raising. Pride campaigns involve and engage every segment of the community; teachers, business and religious leaders, elected officials, and the average citizen. Communication and mediation are key skills acquired by campaign managers that often bolster them into becoming leaders or emblematic members of their communities.

Rare has developed a dissemination strategy for the results of the networked cohort of AZE sites in the Andes. <RarePlanet.org> will be the primary mode of dissemination among the Spanish-speaking countries of the region. Results will be presented by Rare and lead agency partners at key opportunities provided by regional meetings of protected area agency staff, COP meetings for the Convention on Biodiversity, and scientific multilateral meetings such as those held by the IUCN and the Alliance for Zero Extinction. Travel and meeting dissemination materials have been budgeted in this proposal. Presentation of research methods and preliminary results will build anticipation for scientific publications on the validity of campaign impact. At these meetings, the results of the Pride + ARA approach to generating networks of support to direct environmental service payments to AZE sites will be presented. <RarePlanet.org> will be used throughout the campaign, but subscriptions to its toolbox and lessons learned will be taken where they can be presented to representatives of other AZE site rich countries.

## *Mainstreaming*

Dissemination of project results will result in the mainstreaming of the scientific and social aspects of the project, which will enable stakeholders in AZE conservation to strengthen their role and to exchange information and share knowledge on best practices and lessons learned. Adoption of the lessons learned by this experience will allow local partners in the Americas, as well as global conservation partners such as Conservation International, WWF, Wildlife Conservation Society, BirdLife International, American Bird Conservancy and the Nature Conservancy, to mainstream this approach. In addition, Rare itself will mainstream project findings by officially adopting a new-and-improved TOC and Pride campaign methodology, thus helping to optimize the way Rare delivers its training package and drives conservation results.

Rare has adapted the conventional approach to mainstreaming, through environmental integration by “encompassing the process(es) by which environmental considerations are brought to the attention of organizations and individuals involved in decision-making on the economic, social and physical development of a country (at national, sub-national and/or local levels), and the process(es) by which environment is considered in taking those decisions.” This definition has been adopted by the International Institute for Environment and Development (IIED) in its initiative to produce a User Guide and tools and tactics to integrate the environment into development decision-making. However, by building the capacity to engage and build local constituencies in favor of conservation objectives, the Rare Pride methodology creates a demand to mainstream conservation that is not dependent solely on the enlightened interests of economic elites, academics, government employees and politicians responsible for international conservation treaties. By focusing on water provision, this project also provides the opportunity to mainstream ecosystem services into rural development and management, by fostering a link between ecosystem health and human wellbeing.

### **3.11. Environmental and social safeguards (social economic analysis)**

ARA-like mechanisms, such as Payments for Ecosystem Services (PES), have usually produced opportunities for the poor, but these have sometimes been accompanied by risk. The opportunities include improved and more diversified incomes, improved governance and local organization, and enhanced capacity to prevent environmental degradation. Conversely, potential risks include uncompensated exclusion of non-participants from resources, and under-compensated opportunity costs on behalf of service providers. However, PES schemes to date have had positive welfare effects on most participants, even when there was no explicit poverty targeting (Grieg-Gran et al 2005). There is only anecdotal evidence about ARA-like schemes having made poor people worse off on a significant scale.

The poor are often sellers and sometimes buyers of watershed services. As water users, the poor often depend disproportionately on watershed services and are more vulnerable to declines in service provision (the rich are better able to find substitutes). The poor are more affected by deteriorating water quality and reduced supplies, and have less capacity to cope with economic stresses. They often live in risky environments that are prone to floods or landslides. On the service seller side, heavily forested upper watersheds and other environmentally fragile production areas capable of producing environmental services tend to be disproportionately inhabited by poor people. Since their land use practices often impact on the watershed, in principle they also qualify as service providers (Asquith and Wunder 2008).

The high overlap between the areas supplying watershed services and poor inhabitants means that our ARA will likely lead to poverty alleviation. However, there will be tradeoffs. Service users, including the Municipal Governments who will eventually take over the ARA, will want the compensation deals to be made as close as possible to the land user's opportunity cost of providing the service. Poor service providers will want to receive the full value of the service. Since buyer financial resources are finite and they usually are in a better position to determine the rules of the game, in practice this has tended to translate into making a larger number of people a little better off by paying a high number of providers slightly above the opportunity cost of service provision. The alternative—paying significantly more than the opportunity cost of service provision and thereby making a smaller number of people much better off—will produce a lower volume of watershed services. The trade-off between the two scenarios is clear, but the latter scenario is not necessarily superior on the grounds of social justice (P. Ferraro, pers comm., 2007).

ARA-triggered changes in land use and management may affect the poor adversely when they are not compensated or under-compensated. Poor people often engage in land use practices—such as overgrazing, cropping on steep slopes, slash and burn, etc.—that due to their negative hydrological impacts would make them the first choice for change. As long as they are compensated appropriately, trying to change poor people's land use practices is not intrinsically a problem. However, the landless poor are often dependent on common pool resources. Other groups of poor may have ill-defined land access rights, making them ineligible for ARA. It is thus within the realm of possibility that PES schemes may negatively affect some groups of poor people—typically, those not directly participating in the scheme.

Nevertheless, many of these potential negative effects of ARA interventions are universal to all watershed conservation initiatives, and are not unique to ARA. Indeed, to the extent that service provision agreements are usually voluntary, and often negotiated, ARA schemes are in fact less likely to adversely affect the poor than many other types of conservation initiative: providers will only join the schemes if they calculate that they will be made better off from participation. In Pimampiro, Ecuador, ARA service providers received cash and spent the extra income on both basic needs (e.g. cooking gas costs) and children's education (R. Yaguache, pers.comm., 2007).

Another potential positive impact of ARA schemes is to empower both users and providers. Some ARA mechanisms have been able to recast relations from the typical government patron-project beneficiary to more equal contractual terms. Rural communities may be viewed as service providers, rather than “beneficiaries”, while the urban poor may be seen as valued stakeholders who are helping pay for a watershed service. Participating in an ARA scheme has been shown to strengthen poor people's land tenure security. The sense of entitlement and ensuing empowerment can also have far-reaching impacts on wellbeing, and may be even more important than income gains. In Bolivia's Los Negros watershed, for example, upstream community members note with pride that for the first time, outsiders are valuing the forests *in situ* (Asquith et al. 2008).

Water carrying responsibilities have traditionally fallen to women and children. ARA systems in watersheds can be expected to improve water quality downstream. When clean water supplies are nearby, women have been found to spend less time carrying water, and children to be more likely to attend school. A risk for negative gender impacts from ARA could exist if payments were negotiated and paid only to male head of households, reducing the role of women in the management of farm income that would otherwise be in their control. Since the agreements are to be negotiated through transparent public processes engaging women as well as men, this risk should be low. Access to water is an asset of the poor, which a program of local watershed protection norms has the potential to reinforce.

To monitor -under this project- the income effects of compensation agreements on landholders who join the programs, compared to non-adopters, the extension specialist will be trained by the technical advisor on ARA in how to administer a simple household income assessment before and after campaign implementation. This assessment will allow the comparison in household assets between adopters and non-adopters of reciprocal agreements. Any social effects from the exclusion of neighboring communities versus those included in Pride campaigns, rather than cause conflicts may in fact result in greater interest in ARA schemes, water services and/or forest protection, and may even catalyze replication. Moreover, the fact that the ARA-Pride campaigns are to be tailored to the key stakeholders and actors present at each site, and that risks are taken into account from the earliest stages and monitored thereafter, means that social safeguards are intrinsically built into the design, methodology, execution and supervision of each campaign.

Regarding environmental safeguards, the project's planned intervention is negligible for its possible adverse impacts on the natural environment. The only foreseeable impacts are the expendable materials that Pride campaigns generate, and the CO<sub>2</sub> emissions from flying the campaign managers to Guadalajara for the off-site training. These impacts are mitigated through use and promotion of recyclable materials, and the purchase of airline travel with certified carbon offsets.

## **SECTION 4. INSTITUTIONAL FRAMEWORK AND IMPLEMENTATION ARRANGEMENTS**

### ***Institutional framework***

Rare, as the Executing Agency (EA), will be responsible for the implementation of the project in accordance with the objectives and activities outlined in the workplan and activities schedule for this project. Project partners and their involvement in the project include:

- Up to 12 partners implementing Pride campaigns at selected sites. These lead agency partners are responsible for employing the campaign manager, providing logistical support, and local administration costs. With the support of the project's technical assistance package, the 12 lead agency partners will also be charged with establishing the local reciprocal agreements. Though in operational terms, these partners are closely involved in project activities and in providing vital feedback and information on project progress, their responsibilities relate exclusively to the running of the ARA-Pride campaigns and do not include oversight of the UNEP-GEF project itself.

- Biodiversity Monitoring Partners (for example, BirdLife International, American Bird Conservancy, and others). Under the project, these partners will conduct biological monitoring of threat reduction and the conservation results found under Output 2.3. They will establish monitoring protocols for each site, train and equip a team of investigators, and ensure that transects are done at project inception, at mid-term, and again at the end. BirdLife International will be in charge of documenting their protocol and compiling yearly site monitoring reports. After subcontracting or consultancies are established, commitments to in-kind co-financing will be secured.
- AZE and Conservation International. AZE and Conservation International will provide advice to the project and support replication at other AZE sites outside the Andes.
- External consultants and subcontractors. In addition to biological monitoring, Rare will contract experts in reciprocal agreements, in evaluation, and for statistical analyses as well as remote sensing. The principal external consultant and subcontractor roles are outlined in the Terms of Reference of Appendix 11.

### ***Implementation Arrangements***

Project management in Rare will be organized by the Vice President (VP) for Latin America through the Rare Andes **AZE Project Implementation Team** (*Implementation Team*). In addition to the VP, line management responsible for all activities under Component 1 will also include the Director for Latin America and four Pride Program Managers (PPMs) based in Guadalajara. Rare's Regional Director for Latin America will serve as the overall cohort manager responsible for ensuring that project deliverables are completed on time and that they meet Rare's quality assurance standards. Figure 2 (ahead) illustrates operational responsibilities.

The project's primary operational unit in Rare is its Regional Office for Latin America, based in Guadalajara, Mexico. Primary line management functions are conducted by Rare's Pride PPMs in Latin America. They will mentor and supervise the implementation of training and technical support for Pride social marketing campaigns at AZE sites. Weekly teleconferences of the implementation team, as well as daily Skype contact, ensure coordination between the VP in Arlington and the Regional Director and other staff in Guadalajara. In person meetings of the Implementation Team will be held at least once every two months. Once the cohort is selected, the director of each lead agency in the implementing Andean countries becomes a member of the implementation team, and is responsible for signing-off on all substantive elements of the campaign and arrangements for reciprocal agreement negotiations and contracts.

**The Vice President for Latin America** will act as the project's overall director and will report to Rare's Chief Operations Officer who is in effect the Executing Agency's legal representative.

**The Regional Director** will supervise support provided by Rare staff, Rare partners and independent contractors providing technical advice to the reciprocal agreements at each site, and will be responsible for ensuring that the project is on track and on budget. The Regional Director, through the Implementation Team, will manage all the partners (up to 12) implementing Pride campaigns under the project, and will be responsible for all technical reporting to the VP and UNEP, and field coordination of activities undertaken in support of activities under Components 2 and 3. By serving as the overall cohort manager, the Regional Director will in effect function as the Project Coordinator. In Rare through its regional VP and Regional Director will also lead the involvement of other in-country stakeholders (foundations, government agencies at both the municipal, state/province/national levels).



**The Pride Program Managers** (4) are responsible for teaching the Rare curriculum to Campaign Managers and extensionists, and to conduct weekly phone calls with Campaign Managers and Lead Agencies when the campaign manager is in the field. The Pride Program Managers conduct field visits during the implementation phase. They are responsible for all logistics during the university training phase. This role is also responsible for supporting the uploading of all deliverable to RarePlanet, as well as moderating and producing blogs and online tools pursuant to replication.

**The Recruitment Manager** is responsible for outreach to lead agencies in the recruitment of the best qualified campaign managers and extensionists. This role is also responsible for communicating the role of Pride in accelerating the adoption of reciprocal agreements to regional and government conservation agencies.

**Rare's regional Alumni Manager** provides support to Pride campaign managers who have completed the program, keeping them engaged in the network, sharing lessons learned among sites, and connecting them to new opportunities. The alumni manager will maintain the network of AZE sites after the first 2 years of implementation, through outreach and management of awards for follow-up work on campaigns. This is a key role for ensuring network effects and replication.

Rare quality control, curriculum development staff, and <RarePlanet.org> staff will provide cross-cutting support to the implementation team as part of their responsibility for providing coherence in Rare global recruitment, training, and information dissemination. For this project these crosscutters are designated as the ***Rare Global Support for Andes AZE Project Team (Global Team)***. This Global Team also includes Rare's financial and project management staff responsible for supporting the Implementation Team in the timely delivery of financial reports. Under Rare's policy and procedures, the Andes AZE Implementation Team will hold monthly teleconference meetings with the Global Team reporting on progress and challenges to capacity building and campaign implementation. Flash reports on campaign status, including campaign rankings, financial status and progress on campaign documentation through <RarePlanet.org> are reviewed at these meetings. Rare's Executive Managers participate in the monthly teleconferences and retain authority to adjust practices of the implementation team. <RarePlanet.org> will be an important tool to provide open and transparent access to the project's progress.

Rare has also established key milestones at which campaign progress is evaluated, and the potential for conservation impact from the campaign is assessed. The continuation of campaign managers in the degree program is contingent upon successfully meeting quality criteria at these points. The first milestone is the university return approval, a decision taken three weeks before the second university training phase. At this point the quality of products, including stakeholder analysis, concept modeling, and conservation strategy feasibility analysis, are considered. Rare executive management for global programs has authority at these decision points to override regional management decisions based on data compiled from campaign status reports and progress. Consistency with degree requirements of The University of Texas (El Paso) is also reviewed.

A meeting of the **Science, Impact Monitoring and Replication Team** will be convened at project approval by the GEF. This Team includes AZE partner representatives (BirdLife International, ABC, Conservation International), Lead Agency partners, and the Rare Latin America VP and Director. At this meeting a schedule for coordination of support to Component 2 activities by outside experts at campaign sites will be developed. At quarterly intervals during campaign planning and implementation, the VP for Latin America will convene teleconferences with the Project Management Team to review the progress on the integration of biological and behavior change monitoring with campaign capacity building and the management of control sites. At the discretion of the Director for Latin America, one Pride Program Manager will be assigned the role of AZE Cohort Component Integration Manager to assure the day-to-day coordination of outside participants at partner sites. Outside participants include the monitoring specialists, behavior change specialists, and ARA specialist. The Science, Impact Monitoring and Replication Team has the responsibility of clarifying the standards for selecting and implementing control sites and reviewing the consistency of local implementation with scientific standards. This team will be asked to provide independent review of the status of objectives under Component 2 at mid-term and project termination.

The **Rare Andes AZE Advisory Committee** (*Advisory Committee*) will function to receive counsel from, and provide project overview reports to, partners and government representatives responsible for support of the national biodiversity strategies in each Andean country in which a campaign is selected for implementation. Its main roles will be firstly to guide and oversee the project's technical progress and performance; and secondly to coordinate the roles of project partners and country organizations to ensure that strategic decision-making is made with due consideration of the project's activities and objectives. By periodically reviewing the project's logframe, workplan and budget, the Committee will attest the extent to which the project's "business case" remains sound. The functions of the Committee will include advising Rare of the consistency of site strategies with sustainability within national frameworks. It will also serve to communicate the potential for network effects among a cohort of sites to other countries with AZE sites and similar threats and opportunities for conservation at these sites. The Committee will also guide the project's intervention strategy from a scientific and methodological point of view, and continually steer the project's execution (and budgeting) in consideration of cost-effectiveness, feasibility and risk abatement criteria.

The Advisory Committee will comprise representatives of the main project organizations, involved in delivery and oversight of the project, as well as representatives of the project's beneficiary countries. It will be composed of: A) Andean Government Protected Area and Conservation Fund Representatives [from SERNANP, FAN, PROFONANPE, others (4 total)]; B) Rare's Chief Operations Officer or VP for Latin America (1 person); C) Rare Regional Director acting as the Project Coordinator (1 person); and D) a UNEP representative (1 person). Each of these representatives will be responsible for advising Rare about how the network of sites in this project can be coordinated with national objectives and priorities for improving the function of protected areas with respect to AZE species. Rare's Chief Operations Officer or the VP for Latin America will act as Chair of the Advisory Committee and will be assisted in this role by the Regional Director, with the Global Team providing secretarial and organizational support. Committee members will formally be appointed at the start of the project. Committee decisions will be sought by consensus; should different views emerge between Committee members, the Chair shall undertake bi-lateral and group consultations in order to reach such consensus.

The Advisory Committee will first convene at the project inception meeting. In-person meetings of the Advisory Committee will occur at least at yearly intervals, at events of The Latin American and Caribbean Network of Environmental Funds (RedLAC). An initial schedule of meetings and teleconferences will be devised at the Inception Workshop, as part of the Supervisory Plan to be developed with UNEP. The Advisory Committee will hold meetings or teleconferences to explicitly review and endorse annual project plans and budgets. To ensure participation and ownership by all main project partners at all stages, Rare may request the Committee to provide specific inputs/support to the project. Where situations and project management issues arise that merit input or guidance from the Advisory Committee, an email exchange, teleconference meeting, or additional physical meetings may be organized, at the discretion of the Regional Director (as Project Coordinator) and the VP (as Committee Chair). Likewise, whenever possible Committee meetings should be combined with project team meetings and/or participation at other relevant international events, so as to optimize cost-effectiveness. It will be the Chairs' responsibility to liaise with the Implementation Team to agree on the agenda ahead of annual meetings. Participation in this Advisory Committee will be reviewed annually, and in years 2 and 3 will be expanded to include municipal government officials working with agreements under the project.

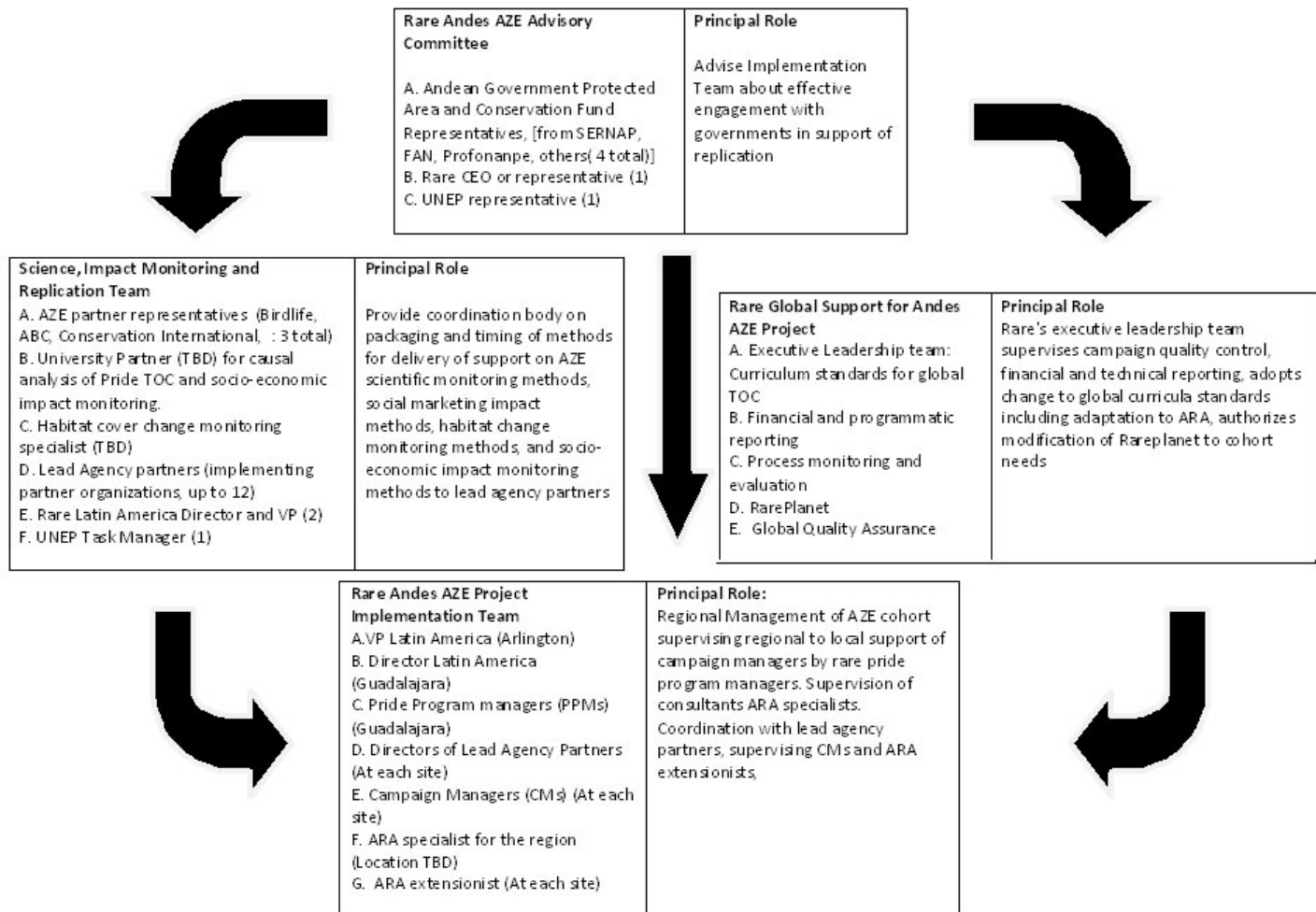
The Advisory Committee may invite any number of specialist and experts to contribute to its tasks or attend Committee meetings, as agreed by members. These experts may for example be invited to contribute to a peer review of selected products or results of the project, therefore acting as ad-hoc technical advisors to the project.

At each site, Rare's implementation team, led by the local partner, will conduct stakeholder consultations about reciprocal agreement mechanisms involving local and national government officials. Many countries, including Ecuador and Peru, have recently passed legislation providing a juridical framework for payments for watershed services. Stakeholder meetings about reciprocal agreements are intended to discover juridical means to "nest" these grassroots mechanisms within the legal requirements of national and regional laws. Rare will report on such progress to the Advisory Committee.

UNEP, as the GEF Implementing Agency (IA), will be responsible for overall project supervision to ensure consistency with GEF and UNEP policies and procedures, and will provide guidance on linkages with related UNEP and GEF-funded activities. In addition to its role within the Advisory Committee in ensuring timeliness, quality and fiduciary standards in project delivery, UNEP will regularly monitor implementation of the activities undertaken during the execution of the project, and will be responsible for clearance and transmission of financial and progress reports to the GEF. Rare, as executing agency, will cooperate with UNEP so as to allow the organization to fulfill its responsibility as Implementing Agency accountable to the GEF. To this end, free access to all relevant information will be provided by Rare according to the implementation arrangements detailed below in Figure 2. Appendix 10 illustrates the organization chart of relationships between project partners, followed by a decision making flowchart which shows key decision points in the progress of the project.

Rare will convene a project inception meeting in Guadalajara, Mexico, in the first quarter of 2010 (between mid-January and March, 2010), to coincide with the first university phase of the selected campaigns. During project inception, Rare will convene a meeting of the Science, Impact Monitoring and Replication Team and Andes AZE Project Implementation Team which will include an expanded cadre of partners from UNEP, AZE, BirdLife International, experts in reciprocal agreements, implementing partners, and Andean governments involved in reciprocal agreements. At this meeting the project logframe and workplan will be reviewed and finalized.

**Figure 2. Rare/UNEP GEF Project Operational Framework**



## SECTION 5: STAKEHOLDER PARTICIPATION

Securing the participation of key stakeholders is a core component of all Rare Pride campaigns and an important part of the Master's curriculum. Pride campaign managers identify key stakeholders at their sites at the very beginning of their training.

Once a campaign is selected, the lead agency partner participates in different meetings and workshops along with Rare and thematic experts to develop consensus on the best strategies and tactics. Community leaders, including park managers, leading agriculturalists, water agency managers, community leaders and government agency representatives, are brought together to participate in the campaign's development of a conceptual model of the conservation problem. During the campaign planning and execution processes, local stakeholders are given full access to materials generated by the campaign planning and posted to <RarePlanet.org>. Expert review of a feasibility analysis for the campaign is also posted.

By bringing themselves up to date with this documentation stakeholders can follow, if they wish, each milestone achieved. They can also participate in discussion forums and knowledge management tools available online, ensuring a direct and continuous participation during the whole project. RarePlanet is therefore not only a communications tool but also a channel for involvement. It can be used to showcase project results to key persons who are far from campaign sites and offer up-to-date information to national authorities who want to be kept abreast of project progress. Exploiting this information channel, together with audio-conferences when required, will be part of Rare's outreach strategy to sustain the involvement of Government institutions as key stakeholders and beneficiaries in this project. This approach will in fact mirror -with country representatives- the level of involvement usually bestowed on Rare's donors.

### *Local partners with key local groups*

Rare does not implement campaigns directly; instead it trains local organizations and works with them in exercises (for example, conceptual modeling and threat analysis) intended to unravel and understand the role of local culture and social norms, as well as to design a campaign and strategy that is sustainable. Participation, engagement, and support gained from key stakeholders at regular intervals throughout the campaign are requirements of the Rare Pride training program, and a responsibility of the Campaign manager.

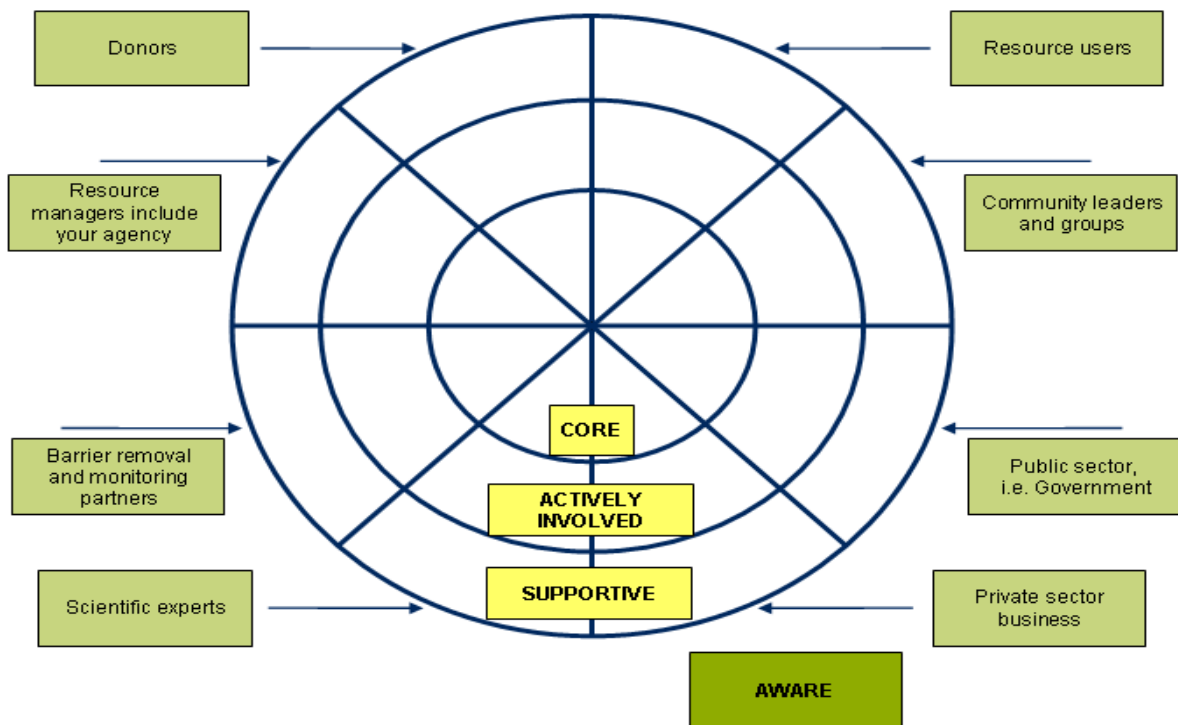
Pride campaign managers identify key stakeholders at their sites at the very beginning of their training. During the planning phase of each campaign, a detailed matrix of key stakeholders at the site is developed according to the theme and local context. Through participatory planning tools, key social groups and individuals become involved in the decision making process. Commonly, municipal authorities, religious groups, academics, researchers, farmers associations, youth clubs and others become a key part of the Pride movement, leading and collaborating on workshops, meetings, outreach activities or even in kind or small donations. The campaign manager and their team must facilitate every stakeholder group, and integrate campaign activities into local activities so that campaign objectives are consistent and complementary with other community values and objectives.

Table 9 provides examples of key stakeholders in Pride campaigns and why they are important. It is followed by Figure 3, which illustrates the spheres of influence of each stakeholder group. This material is included in the Pride training program, and this kind of stakeholder analysis is done at each site. Campaign managers are asked to identify in which ring of the circle of participation each individual stakeholder is located.

**Table 10. Examples of Potential Key Stakeholders Involved in Pride Campaigns**

Stakeholder Group	Example	Importance to Campaign Success
Supervisors of the campaign managers	Executive director of partner organization	This person may have to approve work plans, budgets, and other aspects of the campaign.
Other municipalities divisions/departments within partner organizations	The Environmental Education Unit of the Forestry Department, members of the Enforcement Unit, Planning Unit, etc. may be critical stakeholders to engage.	The campaign must be integrated into and aligned with the broader strategy and work planning of related units. Experts in monitoring and barrier removal may well be in these agencies or units.
Project team members	Other members of the immediate project team	Team members work with on project design and execution. They need to understand campaign work to be able to support campaigns. Rare's Pride Program Manager might be considered part of this team.
Other resource managers	Other resource management groups actively engaged at the site	These groups or individuals might bring complementary competencies to the project.
Volunteers (individuals and agencies)	Local naturalist society, university interns, GEO Youth network	Throughout the campaign, campaign managers may draw on the help of volunteers, perhaps to assist in questionnaire implementation or monitoring.
Funders (current or potential)	International donors	These provide funding (local, regional, or international; current or potential). Funds may be in cash or in-kind services.
Vendors	Print shop	These are on the outer ring of the stakeholder circle. They may not need to be constantly engaged, but keeping them informed may help improve product.
Resource experts (scientists) and other conservationists	Expert on site or threat	Experts can ground-truth assumptions, provide technical advice.
Community leaders (including government and trusted sources)	Mayor, village leader, priest, indigenous leaders	Campaign managers may require their permission to work at a site or to engage the broader community. They may serve as trusted sources of information to others.
Resource users	Fishermen, farmers, municipal water users and agencies	These groups and individuals may engage in destructive behaviors and may be the target audiences for the campaign. Campaign managers pay special attention to "leaders" within these groups.
Monitoring partners	Local naturalist societies	Partners help monitor campaign efficacy; i.e., biological monitoring.
Barrier-removal partners	Community development organizations; CARE, OXFAM	These organizations may help provide threat reduction/mitigation solutions and strategies.

**Figure 3. Spheres of Influence**



There are many different methods for engaging stakeholders and for using community gatherings to identify environmental issues including threats to biodiversity. Some of these methods include Participatory Rural Appraisals and ZOPP Planning Methodology, and are covered in Rare's training curriculum. The approach recommended by Rare is an amalgam of the two approaches mentioned above (PRAs and ZOPP), combined with 1) the methodology of consensus workshops developed by the Institute of Cultural Affairs, and 2) the use of Concept Models as developed by Foundations of Success and adopted by the Conservation Measures Partnership (of which Rare is an active member).

Concept Models provide a strong foundation for project planning because they help in understanding the relationship between the various threats impacting the site, and can be used as a building block for ranking them and ultimately designing a campaign to reduce or mitigate them. Rare also reviews with campaign managers the many cultural issues that influence how stakeholders work together and with campaigns. For example, based on cultural beliefs and learned patterns of behavior, different cultures have different:

- Communication styles and comfort levels with disclosing information;
- Attitudes toward conflict;
- Methods of decision making;
- Approaches to work and the completion of tasks; and
- Approaches to "knowing" how we think, how we uncover knowledge, and create meaning.

## SECTION 6: MONITORING AND EVALUATION PLAN

### *Inception Workshop*

An Inception Workshop will be organized in the project's first trimester, with the main purpose to put key stakeholders at the same level of understanding of the project components/activities and management requirements (technical and financial). The workshop is a means to define and/or clarify the roles of key stakeholders in the implementation of the project, to define/clarify the technical and scientific roles of national project teams in the implementation of the project, to finalize project implementation and monitoring matrices (for example, Logframe, workplan, timeframe, budget, M&E Plan), and to define/clarify their roles and responsibilities as well as the coordination and communication mechanisms among key stakeholders.

### *M&E plan*

The project Monitoring and Evaluation (M&E) plan is consistent with the GEF Monitoring and Evaluation policy, and is matched with the GEF's Protected Areas Management tracking tool. Every effort was made to ensure verifiable SMART indicators for each outcome in the Logframe/Results Matrix, Appendix 4. The Costed M&E Plan, as included in Appendix 7, will be the main tool for assessing project implementation progress and whether project results are being achieved. The means of verification and the costs associated with obtaining the information to track the indicators are summarized in that Appendix. Other M&E related costs are also presented in the Costed M&E Plan and are fully integrated in the overall project budget (see Appendix 1&2). In this project the concept of M&E does not only pertain only to project execution, but also to measuring and corroborating project results on the ground. This means that project components integrate M&E costs, such as surveys, biological monitoring and measurements to verify project indicators, which are summed to M&E costs for project oversight functions such as audits and external evaluations.

The M&E plan will be reviewed and revised as necessary during the project Inception Workshop to ensure that project stakeholders understand their roles and responsibilities vis-à-vis project monitoring and evaluation. Indicators and their means of verification may also be fine-tuned at the inception workshop. Baseline data will be collected in the first six months of project implementation. Baseline habitat and species data needed under Component 2 of the project will be selected in the first six months of the project, and baseline surveys will be done at each site to assess knowledge, attitude, and behavior of the target communities to inform baseline socioeconomic data at each site.

Day-to-day project monitoring is the responsibility of the project management team, led by Rare's Regional Director, but other project partners will have responsibilities to collect specific information to track the indicators. It is the responsibility of the Project Manager, the Rare Director for Latin America, to inform UNEP of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely fashion. On the basis of periodic progress reports, the Project Implementation Team will make recommendations to UNEP concerning the need to revise any aspects of the Logframe /Results Framework, Workplan, or the M&E plan. All revisions will need to be sanctioned by the Advisory Committee before UNEP approval.



### *Supervision Process*

Project supervision will take an adaptive management approach. The UNEP Task Manager will develop a project Supervision Plan at the inception of the project, which will be reviewed with the project partners during the inception workshop. The emphasis of the Task Manager supervision will be on outcome monitoring but without neglecting project financial management and implementation monitoring. Change control and quality control will be important elements in project supervision. Supervisory and mentoring visits to project sites carried out by Rare managers, and indeed any meetings with campaign managers, shall always include a review of project progress. Rare is responsible for the overall coordination of the various teams and supporting organizations. Project oversight to ensure that the project meets UNEP and GEF policies and procedures is the responsibility to the Task Manager in UNEP. The Task Manager will also review the quality of draft project outputs, provide feedback to Rare, and establish peer review procedures to ensure adequate quality of scientific and technical outputs and publications, when relevant.

Progress vis-à-vis delivering the agreed project global environmental benefits will be assessed with the Advisory Committee at agreed intervals. Project risks and assumptions will be regularly monitored both by project partners and UNEP; any critical issues that can affect project delivery shall be taken up by the Advisory Committee. Risk assessment and rating is an integral part of the Project Implementation Review (PIR). The quality of project monitoring and evaluation will also be reviewed and rated as part of the PIR. Key financial parameters will be monitored quarterly to ensure cost-effective use of financial resources. Advisory Committee meetings should be combined with project team meetings, whenever possible.

### *Reporting*

The project will follow UNEP standard monitoring, reporting and evaluation processes and procedures. Substantive and financial project reporting requirements from the project Logframe/Results Framework are summarized in Appendix 8 “Summary of Reporting Requirements and Responsibilities”.

Another critical tool for M&E in this project is Rare’s social networking site <RarePlanet.org>. All project deliverables will be available to project partners who sign up for <RarePlanet.org> accounts, and campaign implementation progress can be monitored in real time and with full transparency. Rare’s Pride PPMs track campaign implementation using a “stoplight” approach, ranking them as green (all deliverables are on track and meet Rare’s quality standards); yellow (deliverables may be slightly delayed or may have slight quality improvements needed) and red (deliverables are delayed or quality is low enough that there is a risk that project results may not be delivered). Rare’s campaign management system is monitored by Rare’s operational Quality Assurance program, and tracked weekly as to progress on deliverables. All campaigns prepare monitoring plans for both their process indicators related to effective project implementation, but also indicators of threat reduction and conservation results.

### *External reviews /evaluations*

A mid-term management review or evaluation will take place on or close to May, 2011 as estimated in the project milestones. The review will include all parameters recommended by the GEF Evaluation Office for terminal evaluations and will verify information gathered through the GEF tracking tools, as relevant. The review will be carried out using a participatory approach whereby parties that may benefit or be affected by the project will be consulted. The project Advisory Committee will participate in the mid-term review and develop a management response to the evaluation recommendations along with an implementation plan. It is the responsibility of the UNEP Task Manager to monitor whether the agreed recommendations are being implemented.

An independent terminal evaluation or review will take place at the end of project implementation. The Evaluation and Oversight Unit (EOU) of UNEP will manage the terminal evaluation process, with the support of Rare. A review of the quality of the evaluation report will be done by EOU and submitted along with the report to the GEF Evaluation Office not later than six months after the completion of the evaluation. The standard terms of reference for the terminal evaluation (see Appendix 9) will be adjusted to the special needs of the project. In addition to serving as an internal management tool for the project management team, both of the evaluations (mid-term and final) will be condensed into an external facing "lessons learned" document and made available to the public on <RarePlanet.org>.

These reviews/evaluations have been costed as part of the M&E plan (Appendix 7); a higher cost is contemplated for the Terminal Evaluation which is likely to comprise at least 3 country visits (at minimum: 2 project countries and USA or Mexico) by the evaluator. The UNEP Task Manager will be closely involved in coordinating both reviews/evaluations and will guide Rare in all preparatory and response activities.

#### *GEF Tracking Tools*

The GEF tracking tools are cited in Appendix 15. The PIF focused on the project goals to contribute to GEF S01 SP3 through "strengthening terrestrial protected area status." The project has been framed to not work exclusively in protected areas, but also buffer zones. The goal is to achieve effective protection rather than necessarily protected area status. Because areas conserved are in production landscapes, the Project Design now proposes to use SO2 (Mainstreaming Biodiversity Conservation in Production Landscapes/Seascapes and Sectors) SP4 (Strengthening the policy and regulatory framework for mainstreaming biodiversity) tracking tool. Hectares under contract for on-farm reserves in the arreglos reciprocos program have been targeted and will be tracked (See Appendix15). As mentioned above the mid-term and terminal evaluation will verify the information of the tracking tool.

## **SECTION 7: PROJECT FINANCING AND BUDGET**

### **7.1. Overall Project Budget**

The overall project budget consists of GEF financing (USD 1,775,000; 49 percent of the total project cost); and co-financing (USD 1,781,511.00; 51 percent of the total project cost). The budget was prepared for the GEF in accordance with the UNEP Budget line/Object of Expenditure format and is detailed in Appendices 1 and 2. The distribution of GEF funding and the co-financing, amongst the three components, is summarized in Table 10.

Table 11. Distribution of GEF and Co-financing in the Project Components

Component	GEF subtotal (USD)	Percent of GEF funding	Co-financing subtotal (USD)	Percent of co-financing
Component 1 Pride Campaigns	956,243	54%	1,160,806	65%
Component 2 Effectiveness Analysis	654,000	37%	516,190	29%
Component 3 Project Management	164,454	9%	104,515	6%
Total	1,775,000	100%	1,781,511	100%

## 7.2 Project Co-financing

The project co-financing (USD 1,781,511.00 or 50 percent of the total project cost) is supported by either in-kind or outside “donor” contributions. As part of Rare’s Pride campaign, Lead Agency Partners (LAP) commit in-kind co-financing. For this GEF project, the in-kind LAP contributions total USD 283,000 (i.e. USD 31,444/LAP x 9 Pride campaigns). This sub-total represents 16% of the total co-financing commitment and combines both in-kind and in-cash figures. The breakdown of the USD 283,000 LAP co-financing consists of USD 120,000 dedicated to barrier removal (ARA strategy), which is classed as cash, and USD 163,000 for Pride Campaign Managers’ salaries, benefits, and local travel costs, which can be labeled in-kind. Memorandums of Understanding (MOU’s) securing LAP co-financing commitments will be in place no later than January 1, 2010. Although national in-kind co-financing will also be provided by local groups such as municipal staff and community leaders supporting campaign activities, and by government representatives participating in the Advisory Committee or in other project activities, these indirect contributions—relating mostly to staff hours—will not be itemized as part of the project’s co-financing, due to the difficulty in predicting, standardizing and tallying such costs across up to 12 sites in five countries.

In addition to available donor contributions, Rare will raise funds with national and international partners of the lead agencies selected for campaigns to supply the remaining co-financing (USD 1,498,511 or 84 percent) for timely project implementation. Implementing partners for monitoring efforts will commit, at the time of the Inception Workshop, to in-kind support that will constitute part of the co-finance responsibility. However, Rare will continue its fundraising efforts to leverage GEF funds through access to the “donor” community. As it has for previous Pride campaigns, fundraising will draw from private individuals, foundations and corporations. Rare will conduct on-going fundraising for this project until 100% of the co-financing commitment is met. Rare considers donor contributions to Rare in support of these campaigns, which are destined for specific project staff, consultants and travel dedicated exclusively to the Andes AZE cohort (i.e. this project) to be “cash” co-financing. On the other hand, donor contributions in support of these campaigns that allow Rare to cover the costs of existing staff with at least 33% dedication to the Andes AZE campaigns (ie. not exclusive dedication to the project) are considered as “in-kind” contributions. The initial estimates of Rare’s co-financing total from fundraising efforts considers a 2:3 ratio for in kind vs in cash contributions. Throughout the project, semi-annual financial reports will document Rare’s co-financing match. For the record, Rare has conducted over 158 Pride campaigns with a 100 percent track record towards funding them.

For reference, Rare’s strategic funding reserves were recently (June, 2009) significantly replenished through a generous pledge of \$6.1 million made by a long-time conservation advocate and donor, with an additional 1:1 match by a retired Wall Street hedge-fund Manager. This reflects the nature and caliber of the fundraising efforts of which Rare staff are capable. Additional information is available in a recent press release “Sky’s the Limit for Philanthropic Opportunity Offered to Small, Global Environmental Non-Profit ‘Rare’: The Wilson Challenge”.<sup>8</sup>

### **7.3 Project Cost-Effectiveness**

Cost-effectiveness is the provision of an effective benefit in relation to the cost involved. In terms of direct costs, there is some critical thinking in the donor community that it is cost-effective to pay for conservation performance directly, in which the overall cost of conservation is reduced when incentives and/or payments are placed locally. Donors, national and local governments generally find direct payments more cost-effective and, despite the challenges, that direct payment incentives offer cost-savings relative to less direct approaches.<sup>9</sup> In terms of indirect opportunity cost, local communities have the capacity to impart knowledge and wisdom about local biodiversity, and as such their effective participation in biodiversity conservation programs generally results in more innovative and cost-effective conservation and management.

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<sup>8</sup> June 11, 2009; Link: <[http://www.rareconservation.org/cp/docs/RAREWILSONRELEASE\\_061109.pdf](http://www.rareconservation.org/cp/docs/RAREWILSONRELEASE_061109.pdf)>.

<sup>9</sup> Paul J. Ferraro, and R. David Simpson, The Cost-Effectiveness of Conservation Payment, *Land Economics* 78(3):339-353 (2002)

The project design described here was compared in terms of its cost effectiveness to alternative implementation models. Models in which AZE sites were selected globally would not be as cost effective in generating replication as one focused on the Andean region. Larger numbers of campaigns in the cohort were considered too large for Rare's capacity to control quality, and smaller numbers would be an inefficient use of staff, and incapable of valid hypothesis testing in Component 2. Designing campaigns around a heterogeneous collection of conservation strategies was discarded as unmanageable in providing technical support in the delivery of multiple sorts of incentive mechanisms. Building norms around a single incentive mechanism yields greater opportunities for learning and for network replication effects. The cultural resonance of reciprocal agreements in the Andes region is also a factor in reducing costs of uptake, relative to alternatives, as well as maximizing gains in both local and global benefits. The project model described makes Rare dependent upon -and vulnerable to- the delivery of lead agency partners but, when compared to alternatives, this is the least expensive means of building sustainability after completion of the project. This design builds on Rare's proven track record of building multi-tiered partnerships, with built-in feedback loops and transparent tools allowing the recording and sharing of best-practices.

The GEF Biodiversity Strategic Objective supports diversifying and generating revenue for protected area management costs. This effort can be more cost effective if other societal objectives like water management can absorb some of the costs of species protection, which would otherwise require revenues dedicated to a state owned nature reserve. Based on this premise, with a goal to conserve AZE biodiversity sites in the tropical Andes, the Rare Pride campaign social marketing approach enables the community to reduce costs of biodiversity conservation by supporting local involvement in valuing water resources that are jointly produced with AZE habitat protection. Building of norms for reciprocal agreements as a mechanism for compensation for ecosystem services and goods at AZE sites builds biodiversity protection costs into mainstream societal objectives. This is strategically important for targeted AZE sites that are not in designated protected areas.

The project management design is also innovative in that it protects AZE sites through outsourcing management responsibilities to communities; and integrates biodiversity conservation into community-based production sectors without necessarily establishing formal protected areas, through voluntary informal protected systems such as networks of villages/communities. Selecting a community considers a community's commitment to engage in the social marketing process and willingness to consider possible alternatives for delivering goods and services. Assigning responsibility for service provisions to communities permits greater social control and better response to local priorities. Local control is simpler and more cost-effective given that it facilitates demand-driven provision of services and fosters a greater willingness to pay for them.<sup>10</sup>

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<sup>10</sup> UNDP and the Department for Economic and Social Affairs (DESA). "Responding to citizens' needs: local governance and social services for all" (United Nations, 2-5 May 2000), p. 20.

Specifically, Component 2 will evaluate the effectiveness of the Pride methodology as a means to increase the impact of a strategy of reciprocal agreements. The impact of networked conservation campaigns using the same conservation strategy requires an evaluation of not just the change in species and habitat status, but also behavioral change and causal influence of the campaign and the barrier removal strategy. Component 2 outcomes will evaluate and attempt to confirm an enhanced rate of measurable uptake of best practices in conservation incentives that strengthen protected area networks. Rare hypothesizes that the uptake of reciprocal agreements at sites with Pride campaigns will be sooner and more extensive than at randomized control sites without Pride campaigns. This effectiveness analysis attempts to put all relevant costs and benefits on a common temporal footing; not strictly in the context of monetary value, but mostly to include appropriate and plausible measures of the costs and benefits specific to the project design and objective.

PROJECT DOCUMENT APPENDICES  
Rare/UNEP Communities of Conservation: Safeguarding the World's Most Threatened Species

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### Appendix 1 & 2 GEF AZE Budget by Expense Category and by Year

		GEF AZE Budget Organized by GEF Line Items													
		Outcomes 1.1 - 1.3		Outcomes 2.1 - 2.3		Outcomes 3.1 - 3.2				All GEF	All Co-Finance	Total			
		Pride Campaign Capacity		Replicable Network Effects		Project Management									
UNEP BUDGET LINE/OBJECT OF EXPENDITURE		GEF	Co-finance	GEF	Co-finance	GEF -Technical	GEF M&E	GEF Admin	Co-finance						
PROJECT PERSONNEL COMPONENT															
1100	Project Personnel	300,043				108,104									
1101	Pride Program Managers: 1st Training, Planning, Support												300,043	0	300,043
1102	Latin America GEF Cohort Manager (Director LA)												108,104	0	108,104
1103	Latin America Regional Staff				271,200								271,200	0	271,200
1104	Rare Headquarters Financial, Monitoring and Reporting management (Global Admin and Management)	24,300		108,104						132,404	0	132,404			
1199	Sub-Total	324,343	0	379,304	0	108,104	0	0	0	811,750	0	811,750			
1200	International Consultants w/m														
1201	Cohort Reciprocal Agreement Technical Specialist	60,000								60,000	0	60,000			
Local Consultants															
1202	Lead Agency Campaign Managers		122,236							0	122,236	122,236			
1203	Lead Agency Reciprocal Agreement Extensionsts	120,000	120,000							120,000	120,000	240,000			
1204	Campaign Design and Quality control		152,647							0	152,647	152,647			
1205	Pride Capacity Building		190,492							0	190,492	190,492			
1206	Community of Practice Development				255,632					0	255,632	255,632			
1207	Network and Online Toolbox development				222,552					0	222,552	222,552			
1299	Sub-Total	180,000	585,375	0	478,184	0	0	0	0	180,000	1,063,559	1,243,559			
1300	Administrative support w/m (Show title/grade)														
1302	Cohort Regional Office Admin (RegOffCosts 9411)							12,150		12,150	0	12,150			
1399	Sub-Total	0	0	0	0	0	0	12,150	0	12,150	0	12,150			
1600	Travel on official business (above staff)														
1601	Regional staff PPM & Lead Agency Travel	48,000								48,000	0	48,000			
1602	ARA training meetings & travel	22,000								22,000	0	22,000			
1603	Campaign Managers in-kind		40,745							0	40,745	40,745			
1604	Curriculum Development Team Travel		63,497							0	63,497	63,497			
1605	Campaign Manager Travel (University Training)	88,722								88,722	0	88,722			
1606	Quality Control site visits		38,162							0	38,162	38,162			
1607	Recruitment and Alumni Network		190,027							0	190,027	190,027			
1608	Travel to Meetings to Support Replication			10,000						10,000	0	10,000			
1699	Sub-Total	158,722	332,432	10,000	0	0	0	0	0	168,722	332,432	501,154			
1999	Component Total	663,065	917,806	389,304	478,184	108,104	0	12,150	0	1,172,622	1,395,991	2,568,613			
SUB-CONTRACT COMPONENT															
2200	Sub-contracts (MoU's/LA's for non-profit supporting organizations)														
2201	Biological Indicators of Threat Reduction (baseline & change surveys)			120,000	*					120,000	0	120,000			
2202	Remote Sensing			35,000						35,000	0	35,000			
2203	Research and publications on Uptake of Best Practices			100,000	*					100,000	0	100,000			
2299	Sub-Total	0	0	255,000	0	0	0	0	0	255,000	0	255,000			
2999	Component Total	0	0	255,000	0	0	0	0	0	255,000	0	255,000			



<b>TRAINING COMPONENT</b>												
3100	Fellowships (total stipend/fees, travel costs, etc)											
3101	UTEP Matriculation 10,250 per Masters Degree		123,000							0	123,000	123,000
3199	Sub-Total		123,000	0	0	0	0	0	0	0	123,000	123,000
3200	Group training (study tours, field trips, workshops, seminars, etc) (give title)											
3201	Instructor fees		6,921							6,921	0	6,921
3202	Internet (University Training)		2,457							2,457	0	2,457
3203	Adaptation of curriculum (Regional)		2,250							2,250	0	2,250
3299	Sub-Total		11,628	0	0	0	0	0	0	11,628	0	11,628
3300	Meetings/conferences (give title)											
3301	Replication Communication Meetings			10,000						10,000	0	10,000
3302	AZE Cohort Initiation, Return, Graduation Meetings		30,000							30,000	0	30,000
3399	Sub-Total		30,000	0	10,000	0	0	0	0	40,000	0	40,000
3999	Component Total		41,628	123,000	10,000	0	0	0	0	51,628	123,000	174,628
<b>EQUIPMENT &amp; PREMISES COMPONENT</b>												
4100	Expendable equipment (under(\$1,500 each)											
4101	Course materials (University Training)		5,400							5,400	0	5,400
4102	Campaign materials (Core Funds)		180,000							180,000	0	180,000
4103	Reciprocal Agreement payments			120,000						0	120,000	120,000
4104	Office supplies/equipments		28,350							28,350	0	28,350
4105	Digital Cameras and Printer		18,900							18,900	0	18,900
4199	Sub-Total		232,650	120,000	0	0	0	0	0	232,650	120,000	352,650
4200	Non-expendable equipment (items above US\$ 1500 each)											
4202	Laptop computers, Survey Pro software		18,900							18,900	0	18,900
4299	Sub-Total		18,900	0	0	0	0	0	0	18,900	0	18,900
4300	Premises (office rent, maintenance of premises, etc)											
4301	Offices rent - Site and other office 9411							6,200		6,200	0	6,200
4399	Sub-Total							6,200		6,200	0	6,200
4999	Component Total		251,550	120,000	0	0	0	0	6,200	257,750	120,000	377,750
<b>MISCELLANEOUS COMPONENT</b>												
5100	Operation and maintenance of equip. (example shown below)											
5101	IT equipment maintenance and operation					38,005				57,008	0	95,014
5199	Sub-Total		0	0	0	38,005	0	0	0	57,008	0	95,014
5200	Reporting costs (publications, maps, newsletters, printing, etc)											
5201	GEF Reports and Dissemination publications							8,000		8,000	0	8,000
5299	Sub-Total		0	0	0	0	0	8,000	0	8,000	0	8,000
5300	Sundry (communications, postage, freight, clearance charges, etc.)											
5301	Office Communication costs									37,507	0	37,507
5399	Sub-Total									37,507	0	37,507
5500	Evaluation (consultants fees/travel/ DSA, admin support, etc. internal projects)											
5501	Mid term evaluation							10,000		10,000	0	10,000
5502	Final evaluation							20,000		20,000	0	20,000
5503	External Audits								10,000	0	10,000	10,000
5599	Sub-Total							30,000	10,000	30,000	10,000	40,000
5999	Component Total		0	0	0	38,005	0	38,000	0	104,515	38,000	142,520
<b>TOTAL COSTS</b>												
			956,242	1,160,806	654,204	516,100	108,104	38,000	18,350	104,515	1,775,000	1,781,511
												3,556,511

		Expenditure by Calendar Year							
UNEP BUDGET LINE/OBJECT OF EXPENDITURE		2010		2011		2012		Total GEF	Total Co-finance
		GEF	Co-Fi	GEF	Co-Fi	GEF	Co-Fi		
<b>PROJECT PERSONNEL COMPONENT</b>									
1100	<b>Project Personnel</b>								
1102	Pride Program Managers: 1st Training, Planning, Support	165,024	0	105,015	0	30,004	0	300,043	0
1103	Latin America GEF Cohort Manager	43,241	0	48,647	0	5,405	0	108,104	0
1104	Latin America Regional Staff	149,160	0	94,920	0	27,120	0	271,200	0
1110	Rare Headquarters Financial, Monitoring and Reporting management	72,822	0	46,341	0	13,240	0	132,404	0
1199	<b>Sub-Total</b>	<b>446,463</b>	<b>0</b>	<b>284,113</b>	<b>0</b>	<b>81,175</b>	<b>0</b>	<b>811,750</b>	<b>0</b>
1200	<b>International Consultants w/m</b>								
1201	Cohort Reciprocal Agreement Technical Support	33,000	0	21,000	0	6,000	0	60,000	0
	<b>Local Consultants</b>								
1202	Lead Agency Campaign Managers	0	67,230	0	42,783	0	12,224	0	122,236
1203	Lead Agency Reciprocal Agreement Staff support	66,000	66,000	42,000	42,000	12,000	12,000	120,000	120,000
1204	Campaign Design and Quality control	0	83,956	0	53,427	0	15,265	0	152,647
1205	Pride Capacity Building	0	104,770	0	66,672	0	19,049	0	190,492
1206	Community of Practice Development	0	140,598	0	89,471	0	25,563	0	255,632
1207	Network and Online Toolbox development	0	122,404	0	77,893	0	22,255	0	222,552
1299	<b>Sub-Total</b>	<b>99,000</b>	<b>584,958</b>	<b>63,000</b>	<b>372,246</b>	<b>18,000</b>	<b>106,356</b>	<b>180,000</b>	<b>1,063,559</b>
1300	<b>Administrative support w/m</b>								
	(Show title/grade)								
1302	Cohort Regional Office Admin	6,683	0	4,253	0	1,215	0	12,150	0
1399	<b>Sub-Total</b>	<b>6,683</b>	<b>0</b>	<b>4,253</b>	<b>0</b>	<b>1,215</b>	<b>0</b>	<b>12,150</b>	<b>0</b>
1600	<b>Travel on official business (above staff)</b>								
1601	Regional staff PPM & Lead Agency Travel	26,400	0	16,800	0	4,800	0	48,000	0
1602	ARA training meetings & travel	12,100	0	7,700	0	2,200	0	22,000	0
1603	Campaign Managers in-kind	0	22,410	0	14,261	0	4,075	0	40,745
1604	Curriculum Development Team Travel	0	34,923	0	22,224	0	6,350	0	63,497
1605	Campaign Manager Travel (University Training)	48,797	0	31,053	0	8,872	0	88,722	0
1606	Quality Control site visits	0	20,989	0	13,357	0	3,816	0	38,162
1607	Recruitment and Alumni Network	0	104,515	0	66,510	0	19,003	0	190,027
1608	Travel to Meetings to Support Replication	1,000	0	3,500	0	5,500	0	10,000	0
1699	<b>Sub-Total</b>	<b>92,797</b>	<b>182,837</b>	<b>59,053</b>	<b>116,351</b>	<b>16,872</b>	<b>33,243</b>	<b>168,722</b>	<b>332,432</b>
1999	<b>Component Total</b>	<b>644,942</b>	<b>767,795</b>	<b>410,418</b>	<b>488,597</b>	<b>117,262</b>	<b>139,599</b>	<b>1,172,622</b>	<b>1,395,991</b>
<b>SUB-CONTRACT COMPONENT</b>									
2200	<b>Sub-contracts (MoU's/LA's for non-profit supporting organizations)</b>								
2201	Biological Indicators of Threat Reduction (baseline & change surveys)	24,000	0	48,000	0	48,000	0	120,000	0
2202	Remote Sensing	7,000	0	14,000	0	14,000	0	35,000	0
2203	Research and publications on Uptake of Best Practices	20,000	0	40,000	0	40,000	0	100,000	0
2299	<b>Sub-Total</b>	<b>51,000</b>	<b>0</b>	<b>102,000</b>	<b>0</b>	<b>102,000</b>	<b>0</b>	<b>255,000</b>	<b>0</b>
2999	<b>Component Total</b>	<b>51,000</b>	<b>0</b>	<b>102,000</b>	<b>0</b>	<b>102,000</b>	<b>0</b>	<b>255,000</b>	<b>0</b>

<b>TRAINING COMPONENT</b>									
3100	Fellowships (total stipend/fees, travel costs, etc)								
3101	UTEP Matriculation 10,250 per Masters Degree	0	73,800	0	24,600	0	24,600	0	123,000
3199	<b>Sub-Total</b>	<b>0</b>	<b>73,800</b>	<b>0</b>	<b>24,600</b>	<b>0</b>	<b>24,600</b>	<b>0</b>	<b>123,000</b>
3200	Group training (study tours, field trips, workshops, seminars, etc) (give title)								
3201	Instructor fees	5,537	0	1,384	0	0	0	6,921	0
3202	Internet (University Training)	1,966	0	491	0	0	0	2,457	0
3203	Adaptation of curriculum (Regional)	1,800	0	450	0	0	0	2,250	0
3299	<b>Sub-Total</b>	<b>9,302</b>	<b>0</b>	<b>2,326</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>11,628</b>	<b>0</b>
3300	Meetings/conferences (give title)								
3301	Replication Communication Meetings	5,000	0	5,000	0	0	0	10,000	0
3302	AZE Cohort Initiation, Return, Graduation Meetings	15,000	0	15,000	0	0	0	30,000	0
3399	<b>Sub-Total</b>	<b>20,000</b>	<b>0</b>	<b>20,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>40,000</b>	<b>0</b>
3999	<b>Component Total</b>	<b>29,302</b>	<b>73,800</b>	<b>22,326</b>	<b>24,600</b>	<b>0</b>	<b>24,600</b>	<b>51,628</b>	<b>123,000</b>
<b>EQUIPMENT &amp; PREMISES COMPONENT</b>									
4100	Expendable equipment (under \$1,500 each)								
4101	Course materials (University Training)	2,970	0	1,890	0	540	0	5,400	0
4102	Campaign materials (Core Funds)	99,000	0	63,000	0	18,000	0	180,000	0
4103	Reciprocal Agreement payments	0	66,000	0	42,000	0	12,000	0	120,000
4104	Office supplies/equipments	15,593	0	9,923	0	2,835	0	28,350	0
4105	Digital Cameras, Printers	18,900	0	0	0	0	0	18,900	0
4199	<b>Sub-Total</b>	<b>136,463</b>	<b>66,000</b>	<b>74,813</b>	<b>42,000</b>	<b>21,375</b>	<b>12,000</b>	<b>232,650</b>	<b>120,000</b>
4200	Non-expendable equipment (items above US\$ 1500 each)								
4202	Laptop Computers, Survey Pro software	18,900						18,900	0
4299	<b>Sub-Total</b>	<b>18,900</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>18,900</b>	<b>0</b>
4300	Premises (office rent, maintenance of premises, etc)								
4301	Offices rent - Site and other office 9411	3,410	0	2,170	0	620	0	6,200	0
4399	<b>Sub-Total</b>	<b>3,410</b>	<b>0</b>	<b>2,170</b>	<b>0</b>	<b>620</b>	<b>0</b>	<b>6,200</b>	<b>0</b>
4999	<b>Component Total</b>	<b>158,773</b>	<b>66,000</b>	<b>76,983</b>	<b>42,000</b>	<b>21,995</b>	<b>12,000</b>	<b>257,750</b>	<b>120,000</b>
<b>MISCELLANEOUS COMPONENT</b>									
5100	Operation and maintenance of equip. (example shown below)								
5101	IT operations and maintenance	0	52,257	0	33,255	0	9,501	0	95,014
5199	<b>Sub-Total</b>	<b>0</b>	<b>52,257</b>	<b>0</b>	<b>33,255</b>	<b>0</b>	<b>9,501</b>	<b>0</b>	<b>95,014</b>
5200	Reporting costs (publications, maps, newsletters, printing, etc)								
5201	GEF Reports and Dissemination Publications	800	0	2,800	0	4,400	0	8,000	0
5299	<b>Sub-Total</b>	<b>800</b>	<b>0</b>	<b>2,800</b>	<b>0</b>	<b>4,400</b>	<b>0</b>	<b>8,000</b>	<b>0</b>
5300	Sundry (communications, postage, freight, clearance charges, etc.)								
5301	Office Communication costs	0	16,878	0	16,878	0	3,751	0	37,507
5399	<b>Sub-Total</b>	<b>0</b>	<b>16,878</b>	<b>0</b>	<b>16,878</b>	<b>0</b>	<b>3,751</b>	<b>0</b>	<b>37,507</b>
5500	Evaluation (consultants fees/travel/ DSA, admin support, etc. internal projects)								
5501	Mid term review			10,000				10,000	0
5502	Terminal evaluation					20,000		20,000	0
5503	External Audits						10,000		10,000
5599	<b>Sub-Total</b>	<b>0</b>	<b>0</b>	<b>10,000</b>	<b>0</b>	<b>20,000</b>	<b>10,000</b>	<b>30,000</b>	<b>10,000</b>
5999	<b>Component Total</b>	<b>800</b>	<b>69,136</b>	<b>12,800</b>	<b>50,133</b>	<b>24,400</b>	<b>23,252</b>	<b>38,000</b>	<b>142,520</b>
<b>TOTAL COSTS</b>		<b>884,817</b>	<b>976,730</b>	<b>624,526</b>	<b>605,330</b>	<b>265,657</b>	<b>199,451</b>	<b>1,775,000</b>	<b>1,781,511</b>

### Appendix 3: Incremental Reasoning

#### *Context and broad development goals*

*Conserving biologically diverse regions requires awareness.* The Tropical Andes is the richest and most diverse region on Earth; it contains, for example, about one-sixth of all plant species in less than 1% of the world's land area. This region also maintains the largest variety of amphibians in the world, with 664 distinct species, almost 450 of which are listed as threatened on the 2008 IUCN Red List. The eastern slopes comprise about 13% of the Amazon basin, but the expansive and highly productive white-water floodplains of the Amazon are largely the products of forces originating from them. The Amazon itself has been shaped by the influx of sediment and energy from the Andes over the last 10 million years; between 90% and 95% of the suspended sediment load of the mainstream Amazon is derived from the Andean tributaries, most especially the Ucayali, Marañon and Madeira. The Andean tributaries form productive corridors extending across the vast Amazonian lowlands; they sustain the fertility of the *várzeas* and the Amazon fisheries, even extending into the less productive black- and clear-water tributaries, through annual fish migrations which distribute the Andean-dependant energy and nutrient resources. Forest loss in the Andes impacts not just the Andean ecosystems but the geochemistry, the productivity, and fluvial dynamics of the entire Amazon basin.

There are over 120 AZE sites in the Tropical Andes. In the communities living adjacent to most AZE sites in the Andes there is little or no awareness of the role that natural habitat plays in preventing extinctions or in providing ecosystem services, including fresh water provision. Because AZE sites are areas with species under the highest risk of extinction, and because the species occur nowhere else it is only at these sites that they can be saved. A project which provides some guarantee for their survival signifies a solid and tangible increment in global benefit, the GEF's primordial goal. AZE sites in the Tropical Andes are mostly associated with cloud forest ecosystems, making them valuable conservation targets beyond the spatial reach of the habitats to which the threatened species belong. At the national level however, benefits from the conservation of these species are considered modest, since they are frequently little-known and mostly lacking in charisma. Their tiny geographic ranges mean that their extinction would be rapid unless safeguards are put in place. Without GEF investment, these sites would be unlikely to attract support for national or cross-national networks of conservation effort. Deforestation by small landholders proceeds unchecked, and barriers exist to the adoption of appropriate alternative economic practices.

The global importance of biodiversity of the Tropical Andes is recognized internationally. Section 2 details the global significance of the Andes, while also defining the threats and their root causes. The preceding sub-sections of Section 3 detail the project's goal, objective and strategic approach; this project is designed to at minimum support the AZE agenda, but it has a broader global objective to leverage GEF funds to turn the tide of habitat loss and species extinction at a suite of AZE sites, using a network that can be sustainably replicated.

#### *Baseline Scenario*

The baseline situation is one in which the Andes are recognized as one of the most biologically diverse ecosystems in the world and with their young lithology, a major force in the geochemistry that determines the productivity and extraordinary biological diversity of the Amazon ecosystems as we know them today. The FAO projects that deforestation rates in the Andes region will accelerate with habitat fragmentation, soil degradation and biodiversity loss. Although there is a global recognition by the international community that indeed these regions are important and threatened, global concern is largely disconnected from the local realities. Protecting ecosystems while promoting sustainability—balancing the environment with social and economic benefits—remains the challenge. Currently, at the mid-altitude sites where AZE species are concentrated, deforestation provides revenues to local communities. The externalities in biodiversity loss and degradation of water services produced by these activities are not incorporated in the costs of production. While there is growing conflict between upstream land use and downstream water needs, there is little acknowledgement that institutions to

manage landscapes for multiple environmental services can offer lower cost treatment of externalities than engineered remediation infrastructure.

Baseline conditions for environmental NGOs are that they have limited capacity to generate buy-in to sustainable alternatives. Local constituency support for conservation expenditures is mostly absent. Potential partner NGOs in this project would not focus their efforts on AZE sites were it not for the technical support and window of opportunity this project can provide. Without this project, neither direct funding nor actions targeted at AZE sites would materialize beyond the basal surveillance of zones associated with pre-existing protected areas. Protected area and landscape management by national governments remains chronically underfunded; actions are often circumscribed to core areas, leaving buffer zones unattended. At most, a small number of local municipalities may search for solutions to nascent water problems in communities where scarcity or poor quality have made the water-forest link visible, but where alternatives to deforestation imply barriers to behavior change too onerous to overcome or sustain. Scarce resources for the scientific study of sustainable alternatives mean that there have been no studies estimating the effect of alternative interventions on deforestation rates using randomly selected control sites.

Although the five Andean countries, Bolivia, Colombia, Ecuador, Peru and Venezuela, maintain a number of multinational and bilateral agreements with commitments to biodiversity objectives, few address targeted efforts to change human behavior with respect to endangered species outcomes. Few are even aware of the presence of AZE sites in their territory though in recent years some Andean countries have updated their “red lists” of endangered species and stressed the vulnerability of native species to environmental degradation in national policies and action plans. Though as a growing alliance the AZE has joined many conservation organizations to support a common agenda, the activities of this network have just begun. At this time, there is no support network for these sites regarding mechanisms to gain protected status for AZE habitats, or for building local constituency pride toward their continued protection.

#### GEF Alternative

Rare and its partners specialize in and provide leadership for social marketing—a method for changing attitudes and behaviors for biodiversity conservation. Rare trains and supports community leaders to strengthen community level actions and increase conservation successes. Working primarily in the developing tropics, Rare has a proven model for changing awareness, attitudes and behaviors toward conservation at the constituency level through its Pride campaign. Rarely, however, have such local effects been capitalized at a global level. By selecting a cohort of cloud forest sites facing similar threats to biodiversity and developing common intervention strategies to abate those threats, and combining this with learning and replication mechanisms, with GEF involvement Rare will be able to accelerate and augment the extent to which global benefits can be derived from local actions.

This project aims to ensure protection of AZE sites and sustainable conservation and use of resources. By working with the Rare methodology, not only will the project seek to protect ecosystem services and biodiversity by boosting local awareness of the forest-water link and ensuring constancy in a community's commitment to conservation, but will also build on the success of Rare Pride campaigns at AZE sites to create a network of sites and a community of practice, while also extracting synergies from other projects in the region. Thus GEF involvement will be two-fold. First, it will permit the launch of a site-based strategy that gets at the root of these threats. Starting with 9-12 sites, the project will raise awareness, shift attitudes, and change behavior among local communities while generating quantifiable human benefits through the provision and promotion of sustainable livelihood alternatives. The results will be a measurable reduction in threats to biodiversity at each site and measured conservation success. Second, because the project methodology is designed to be replicable on the one hand, and will be refined on the other, the successes achieved in the 12 sites can later be reproduced at other AZE sites throughout the tropical Andes and beyond, with a new-and-improved Rare method and AZE in the spotlight; GEF funds will also be used to leverage additional donor support to build the network of support for this level of effort.

Compared to the baseline scenario, GEF involvement with this project will allow Rare to leverage its funds beyond just 1 or 2 implementations of this methodology, to carry out campaigns across the region, achieving more global benefits and sooner, than if there was no GEF support. This should be considered a double asset considering target sites are on the brink of a species extinction threshold, and a slower response could come too late. With GEF support, Rare will be able to use funds that it leverages to cover the start-up costs of ARA, while GEF resources are focused on building capacity, awareness and outreach, scientific demonstration of campaign impact, and replicability. Taking on a cohort and networked approach adds value to Rare's usual interventions by promoting the successes and best practice of ARA as a conservation strategy and prioritizing actions aimed at AZE.

The proposed project is closely aligned with the mission of UNEP through its emphasis on partnership and building the capacity of local communities to improve their quality of life through the conservation of their resource base and the generation of alternative livelihood solutions. "Education, awareness raising and training are essential to UNEP fulfilling its mandate of Inspiring, Informing and Enabling nations and peoples to achieve sustainable development" (UNEP). Project design is focused on the development of tools, including testing them in pilot sites, one of UNEP's comparative advantages, together with its experience in working with scientific and technical communities, undertaking assessment and monitoring activities, its links to environment ministries and other conservations partners, and its ability to serve as a broker in multi-stakeholder consultations. The project is also consistent with UNEP's Ecosystem Management Program to assist developing countries to conserve their ecosystem services through the testing of a variety of tools, and responds to GEF's Strategy for Programming in GEF4, which includes payment for ecosystem services and the generation of evidence-based best practices that will inform GEF policies and programs.

#### Incremental Benefit

From the baseline level of effort, the activities of this GEF project have been designed to harness Rare's expertise to target an array of AZE priorities to begin to tackle the global challenges in tropical ecosystem conservation. Specifically, the GEF funds will enable Rare to expand the Pride Campaign process to take on 9-12 sites using the same conservation strategy simultaneously. This will promote synergies and regional collaboration, and build critical momentum for local outreach and community engagement while also leveraging funds from additional donors. GEF involvement will also permit the inclusion of sufficient treatment and control sites to enable "implementation science" to be applied to both confirm project impacts and make methodological improvements. The GEF intervention will allow for faster and simultaneous impacts (shorter response times at "sister" sites). Local impacts, which can be catalytic by themselves, will become globally replicable and gain demonstrative value. Without GEF support, Rare would not be able to find this quantity of qualified partner organizations, all willing to work on a common incentive strategy in a single region in Latin America, or target the same number of local representatives for bona fide training. It would instead require a geographically more diverse and strategically heterogeneous group of campaigns, for which the learning synergies, proof of concept demonstration, and opportunity for spillover replication through a common community of practice would be much reduced. In addition, the refinements to, and proof of, the Rare methodology will optimize future interventions using Pride, globally.

GEF funding will be used for core funding the individual Pride Campaigns, technical consultations for the barrier removal, technical support to evaluate the effectiveness of the Pride Campaigns, and travel for coordination and training purposes. The impact of a networked cohort of conservation campaigns using the same conservation strategy requires evaluation for behavioral change, change in species and habitat status, and causal influence of the campaign and the barrier removal strategy compared to control sites; this is a key step to identify the impact of GEF funded activities. Importantly, the co-financing provided by Rare is also incremental in as far as accruing global environmental benefits can be attributed to both GEF, vital for allowing project impacts to reach further-a-field than the sites actually targeted by the project, and to Rare, responsible for mobilizing the necessary technical and human resources to build capacity in a transcendent way. The project's contribution to global environmental benefits is reflected in the choice of impact indicators and targets in the project logframe, which demonstrates the extent to which the baseline investment ("business-as-usual") is minimal and would barely attain local benefits without GEF, Rare and local partner involvement.

Component/Outcome	Baseline	Alternative	Incremental Costs
<b>Component 1</b>			
<b>Outcome 1.1:</b> Community-based constituency's capacity is built to achieve beneficial conservation results	<ul style="list-style-type: none"> <li>-Unknown levels of constituency support for the role of reciprocal agreements as a local institution to conserve both species and water services</li> <li>-Varying local community attitudes towards advantages of adopting reciprocal agreements</li> <li>-Disaggregated communications at local- and national-level in regards to reciprocal agreements and their contribution to sustainability</li> </ul>	<ul style="list-style-type: none"> <li>-Demonstrate measurable behavioral change and increased public awareness of reciprocal agreements</li> <li>-Acquisition of favorable attitudes towards reciprocal agreements and the belief that the advantages of adopting reciprocal agreements outweigh any disadvantages</li> <li>-Generate and diffuse a sense of community acceptance of a new social norm around these schemes</li> </ul>	<b>Component 1</b> (Outcomes 1.1 to 1.4)  Estimated baseline investment: \$ 541,278  Cost of alternative: \$ 2,117,049  <b>Increment: \$ 1,575,771</b>  <b>Project investment:</b> GEF: US\$ 956,243 Co-financing: US\$ 1,160,806
<b>Outcome 1.2:</b> Improved management capacity at AZE sites	<ul style="list-style-type: none"> <li>-Lack of a local conservation constituency for the most threatened species in the Andes</li> <li>-No reciprocal agreements in place at AZE sites</li> <li>-Most governments in Latin America have more urgent priorities than biodiversity conservation, and simply cannot afford, economically or politically, to increase public revenue investments to expand protected areas for the conservation of threatened species</li> </ul>	<ul style="list-style-type: none"> <li>-Develop new generation of conservation leaders and increased organization capacity to develop and coalesce communities around effective reciprocal agreements</li> <li>-Strengthen local and regional Andean expertise in designing and implementing strategies to set up reciprocal agreements in communities</li> <li>-Demonstrate reduced deforestation caused by agricultural activities in the Tropical Andes and help conserve the habitat of endangered species</li> </ul>	
<b>Outcome 1.3:</b> Improved protected area status in up to 12 AZE sites (public or private), where up to 50% of these sites contribute to unmet objectives of existing protected areas.	<ul style="list-style-type: none"> <li>-Deforestation is the main cause of habitat loss in or around AZE sites</li> <li>-Among the terrestrial AZE sites in the Andes, 56 of 123 are recorded on the IUCN Red List as not occurring in any protected areas</li> <li>-Lack of sustainable finance for private lands conservation</li> </ul>	<ul style="list-style-type: none"> <li>-Reduction in net habitat loss relative to baseline and increased uptake of new landholders enrolled in reciprocal agreements</li> <li>-Strengthened protected area networks with programs providing incentives for conservation on private and community lands through contracting for easements on private land</li> <li>-Watershed services will build a community of practice and replicable approaches for AZE sites worldwide</li> </ul>	

Component/Outcome	Baseline	Alternative	Incremental Costs
<b>Outcome 1.4:</b> Reciprocal agreements (ARA) are established and being tested, with the objective of providing economic social benefits in each AZE community	-Unsustainable practices and evidence of ecosystem service depletion  -Most water users would prefer their water supply to be free, and most upstream land managers would prefer their activities to be unrestricted	-Rural Andean communities will preserve through ecosystem services the natural resource based upon which their livelihoods depend  -Increased understanding by participating communities implementing reciprocal agreements (ARA) of clear link between conservation and socioeconomic benefits	
<b>Component 2</b>			
<b>Outcome 2.1:</b> Measurable expansion in network of support for AZE sites	-No network of AZE sites currently exists  -Alliance for Zero Extinction has no support mechanisms (to facilitate the exchange of information, management tools or lessons learnt) for groups working to reduce threats at AZE sites  -Almost all Andean PAs are chronically underfunded, and require additional financial support and training for their staff	-Initiation of designs for new reciprocal agreements at other AZE sites in Latin America  -Additional funding channeled to project and non-project AZE sites  -Sustainable financial support in ARAs would significantly help conservation efforts at these and other AZE sites, and that the training provided by Rare's existing Master's program in communications would support training needs at these sites	<b>Component 2</b> (Outcomes 2.1 to 2.3)  Estimated baseline investment: \$ 118,000  Cost of alternative: \$1,170,493  <b>Increment:</b> <b>\$ 1,052,493</b>  <b>Project investment:</b> GEF: US\$ 654,304 Co-financing: US\$ 516,190
<b>Outcome 2.2:</b> Measurable uptake of best practices in social marketing of incentives that strengthen terrestrial protected area networks	-ARA have certainly never been developed focused on AZE sites or in a networked approach  -ARA have been designed and implemented locally for generations, but only recently with a biodiversity conservation objective	-Develop evidence suggesting that ARA can help protect AZEs and evaluate networked approach with a randomized control group to definitively connect ARA to conservation results  -Uptake of reciprocal agreements at sites with Pride campaigns is sooner than at randomized control sites without Pride campaigns	
<b>Outcome 2.3:</b> Pride campaigns achieve positive results on biological indicators of threat reduction and ecosystem integrity at a network of AZE sites	-Rare Pride programs are managed as individual conservation campaigns without a networked approach  -Diminished water quantity and quality as a result poor	-Forest conservation will contribute incrementally to global biodiversity conservation as well as help provide local municipal water supplies  -Forest conservation proves to be	



Component/Outcome	Baseline	Alternative	Incremental Costs
	maintenance of native vegetation in the upper reaches of Andean watersheds, a mid-altitude range area where many AZE sites are located	the intervention with the greatest potential for providing environmental and socioeconomic benefits	
<b>Component 3</b>			
<b>Outcome 3.1:</b> Effective project management results in the Project completed in a timely and cost-effective manner	No Rare project is implemented and managed as a cohort of sites with a common biodiversity threat to allow for TOC/Pride refinement, nor do any Rare projects take place in the tropical Andes over the next 3 years with measurable conservation results	<p>-Rare approaches conservation in a networked fashion, managing conservation campaigns with high replication potential</p> <p>- Community-managed Rare Pride campaigns benefit from being linked to formal and informal networks of Andean conservationists, working for the conservation of AZE species around a common Theory of Change</p> <p>-Uptake of reciprocal agreements at sites with Pride campaigns is sooner than at randomized control sites without Pride campaigns, demonstrated by the end of the project</p> <p>- Reinforced project supervision, administration, evaluation and adaptive management will create stronger effects to maximize ROI</p>	<p><b>Component 3</b></p> <p>Estimated baseline investment: \$ 0</p> <p>Cost of alternative: \$ 211,961</p> <p><b>Increment: \$ 268,968</b></p> <p><b>Project investment:</b> GEF: US\$ 164,454 Co-financing: US\$ 104,515</p>
Aggregate Totals	Baseline Costs: US\$ 659,278	Alternative Costs: US\$ 3,556,511	Increment: US\$
	Project: GEF: US\$1,775,000 Co-financing: US\$1,781,511		2,897,233

#### Appendix 4: Logframe/Results Framework

Vertical Hierarchy	Intervention Logic	Project Outcome Indicators /Targets	Baseline Conditions	Means of verification	Assumption /Risks and Constraints
GEF Global Objective	To turn the tide of habitat loss and species extinction at a suite of AZE sites in the Andes	<ul style="list-style-type: none"> <li>- By the end of the project, there will be 127,000 (target) hectares of habitat for globally endangered species under more effective protection</li> <li>- A local approach for threat reduction for AZE habitats is refined, replicated, expanding, and building a new constituency for AZE habitat conservation.</li> </ul>	<ul style="list-style-type: none"> <li>- The Alliance for Zero Extinction has pinpointed global epicenters of imminent extinction, but they are not protected or recognized in local protected area management strategies</li> </ul>	<ul style="list-style-type: none"> <li>- Habitat assessments at each site</li> <li>- Satellite imagery</li> <li>- Biological monitoring program at each site</li> <li>- Documentation of new conservation agreements signed</li> <li>- Local recognition of AZE designation as a conservation strategy</li> <li>- Funding at AZE sites</li> <li>- Data from RarePlanet.org</li> </ul>	<ul style="list-style-type: none"> <li>- Local social and economic conditions do not change dramatically</li> <li>- The selected AZE sites have a cumulative benefit to global biodiversity</li> </ul>
Project Goal	Conserve AZE biodiversity sites in the tropical Andes				

Project (Intermediate) Objective	Strengthen effective protection of habitats populated by species that are globally critically endangered and endangered within the terrestrial protected area networks of the Tropical Andean countries of Peru, Bolivia, Ecuador, Colombia and Venezuela.	<ul style="list-style-type: none"> <li>- Accelerated take-up of Pride-catalyzed reciprocal agreements (ARA) for habitat protection of previously unprotected forests in all project countries by the end of the project</li> <li>- Improved AZE site conservation through application and refinement of Rare's Theory of Change (ToC) by the end of the project</li> </ul>	<ul style="list-style-type: none"> <li>- Zero (0) reciprocal agreements undertaken globally by Rare Pride campaigns</li> <li>- To date no randomized control study evaluating Pride success in accelerating uptake of conservation solutions</li> <li>- Selected AZE sites are currently under no protection measure for conservation</li> </ul>	<ul style="list-style-type: none"> <li>- Comparing site measures where reciprocal agreements are implemented with and without Pride</li> <li>- Documented reciprocal agreements (i.e. stakeholder agreements, land agreements etc)</li> <li>- Scientifically validated data to attribute causal effect of the ToC</li> <li>- Assessments and decisions to optimize ToC</li> </ul>	<ul style="list-style-type: none"> <li>- Project stakeholders are committed to successfully implement project activities</li> <li>- Viable reciprocal agreements are appropriate at AZE sites</li> <li>- Rare identifies a sufficient number of viable AZE sites with potential for incentives strategies</li> <li>- An adequate number and quality of control sites</li> </ul>
Component-level Outcomes	Component-level Outcome/Result	Verifiable Achievement [Performance Indicators /Targets]	Baseline Conditions	Means of verification	Assumption /Risks and Constraints
Component 1: Pride campaigns for capacity building and public awareness at a model network of AZE sites					

Outcome 1.1	Community-based constituency's capacity and knowledge is built to achieve beneficial conservation results	<ul style="list-style-type: none"> <li>- By project completion, at up to 12 project sites, measurable behavioral changes (&gt;10%) and increased public awareness (&gt;25%) in favor of conservation.</li> <li>- Follow up campaigns at % of sites (target: 9) initiated in year 3 with minimal support from Rare and with strong support from &gt;1 community leader or local organization</li> </ul>	<ul style="list-style-type: none"> <li>- Selection of project sites with potential for ARA and Pride campaigns.</li> <li>- Current levels of attitude of local constituency are unknown</li> <li>- Unknown level of public awareness of AZE species/sites, or of water-forest link.</li> </ul>	<ul style="list-style-type: none"> <li>- Pre- and post-Rare community survey data as compared to control sites in final campaign report</li> <li>- Comprehensive campaign plans for each site available on RarePlanet.org</li> <li>- Project-site related campaign creative briefs and operational plans posted on RarePlanet.org</li> <li>- Follow up campaign proposals and implementation plans with allocated funding</li> <li>- Written manifestations of support or interest from local actors for follow up campaigns</li> </ul>	<ul style="list-style-type: none"> <li>- Sufficient incentives developed for communities' willingness to participate and engage in behavior change</li> </ul>
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Outcome 1.2	Improved management capacity at project AZE sites	<ul style="list-style-type: none"> <li>- By the end of the project, up to 12 conservation agreements (ARAs) are in affect (signed) at project sites</li> <li>-Adoption of AZE as a conservation strategy for protected areas at the local level by the end of the project</li> <li>- By project year 3, community representatives who complete the training program obtain a validated Masters degree and a % propose follow up campaigns that are programmed for implementation by their organization.</li> </ul>	<ul style="list-style-type: none"> <li>- No reciprocal agreements in place at AZE sites</li> <li>- Validated conservation management and communications training program for community leaders available through University of Texas (El Paso) and Rare</li> </ul>	<ul style="list-style-type: none"> <li>-- Documentation of final reciprocal agreements (signed and authenticated)</li> <li>- Documentation showing local adoption of AZE as a conservation strategy (municipal decrees, management plans, etc).</li> <li>- Master's Degree(s) awarded to each campaign manager</li> <li>- Passing grades submitted to University of Texas (El Paso)</li> <li>- Frequency of contact with reciprocal agreement technical expert during the project, and expert's site visit reports documenting progress on reciprocal agreement strategy</li> <li>- Rare mentoring trip reports</li> <li>- Final campaign reports on RarePlanet.org</li> <li>- Benefit for conservation provided by each agreement recorded for 12 sites through the GEF SO-2 Tracking Tool.</li> </ul>	<ul style="list-style-type: none"> <li>- Community representatives have commitment to remain and engage in their communities</li> <li>- Campaign manager has an undergraduate degree to receive a Master's degree</li> <li>- AZE is understood as a habitat prioritization tool</li> </ul>
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Outcome 1.3	Improved protected status in 10 out of 12 AZE sites (public or private) and mainstreaming of protection incentives	<ul style="list-style-type: none"> <li>- Net habitat loss avoided (X hectares) relative to baseline (pre-project rates of habitat change and local control sites) in ten (10) out of twelve (12) sites by the end of the project</li> <li>- Numbers of hectares signed up under reciprocal agreements (ARA) by the end of the project</li> <li>- Number of new landholders per year at each site enrolled in reciprocal agreements (ARA) by the end of the project</li> <li>- Government recognition of AZE site conservation planning and inclusion of local AZE sites amongst buffer area conservation priorities;</li> <li>- ARA schemes adopted by governmental or private land managers as a conservation tool.</li> </ul>	<ul style="list-style-type: none"> <li>- Alliance for Zero Extinction has pinpointed epicenters of imminent extinction in the Andes</li> <li>- A definition of each sites' trigger species and habitat status will be adopted during first 6 months of the project to measure area and rates of habitat change</li> <li>- Deforestation is the main cause of habitat loss in or around AZE sites</li> <li>- Zero hectares currently signed up to reciprocal agreements at selected sites</li> </ul>	<ul style="list-style-type: none"> <li>- Monitoring report from rapid assessment along transects</li> <li>- Reciprocal agreement contract uptake data (eg. enrollments per year)</li> <li>- Pre- and post-campaign survey data as compared to control sites</li> <li>- Land manager agreements on new protected status</li> <li>- Monitoring reports for ARA compliance in enrolled areas.</li> <li>- Maps showing AZE sites and protected areas</li> <li>- Management plans for either government or private lands (including protected areas)</li> </ul>	<ul style="list-style-type: none"> <li>- Rare can identify a sufficient number of viable AZE sites with potential for incentive strategies</li> <li>- It is possible to establish definition of habitat associated with AZE-site definition</li> </ul>
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Outcome 1.4	Reciprocal agreements (ARA) are established and being tested with the objective of providing economic assistance contingent on verified conservation behavior in each AZE community	<ul style="list-style-type: none"> <li>- Number of participating communities implementing reciprocal agreements (ARA) by the end of the project (target: 12)</li> <li>- Inclusion of reciprocal agreements (ARA) at AZE sites within broader ecosystem service policy institutions (eg. Min of Environment or regional/provincial governments) by the end of the project.</li> <li>- Number of municipalities (target: 12) contributing and level of commitment to ARA funding by project end.</li> </ul>	<ul style="list-style-type: none"> <li>- Options identified and available for community-based reciprocal agreements (ARA)</li> <li>- Unsustainable practices and evidence of ecosystem service depletion</li> <li>- No reciprocal agreements currently in place in candidate sites; all sites have high potential for ARA</li> <li>- Candidate communities for ARA at each site include upstream and downstream residents</li> </ul>	<ul style="list-style-type: none"> <li>- Documentation of agreements to implement incentive schemes</li> <li>- Monitoring reports for ARA compliance in enrolled areas</li> <li>- Official documentation of inclusion of ARA in national or regional/provincial government plans, strategies or initiatives</li> <li>- Minutes from Advisory Committee meetings</li> <li>- Formal communications to and from government authorities</li> <li>- Economic assistance provided by each agreement estimated for 12 sites through the GEF SO-2 Tracking Tool.</li> </ul>	<ul style="list-style-type: none"> <li>- Economic assistance proves to be economically feasible to local communities at AZE sites</li> <li>- Reciprocal agreements are understood by the local constituency</li> </ul>
Component 1: Outputs		Component 1 – Outputs			
OUTCOME 1.1  See Activities 1.1.1 to 1.1.4		<i>Output 1.1.1:</i> Behavior change surveys designed for each site campaign at planning stage <i>Output 1.1.2:</i> Stakeholder characterizations <i>Output 1.1.3:</i> Focus groups and stakeholder meetings carried out at each project site <i>Output 1.1.4:</i> Survey data collected pre-campaign and post-campaign <i>Output 1.1.5:</i> Analysis to demonstrate local behavior and attitude changes in favor of conservation <i>Output 1.1.6:</i> Analysis to demonstrate increased awareness of AZE trigger or flagship species			

<p>OUTCOME 1.2</p> <p>See Activities 1.2.1 to 1.2.13</p>	<p><i>Output 1.2.1:</i> MoUs between Rare and up to 12 selected lead agency partners, detailing respective rights and obligations</p> <p><i>Output 1.2.2:</i> Up to 12 campaign managers enrolled in the Pride program (1st phase: Guadalajara)</p> <p><i>Output 1.2.3:</i> Site baseline conditions study and accompanying research reports, for Pride and control sites.</p> <p><i>Output 1.2.4:</i> Campaign plans (draft or final) for up to 12 Rare Pride campaigns</p> <p><i>Output 1.2.5:</i> ARA options analysis (for up to 12-sites)</p> <p><i>Output 1.2.6:</i> Site visit reports of ARA technical specialist</p> <p><i>Output 1.2.7:</i> ARA Extensionist training program design and materials</p> <p><i>Output 1.2.8:</i> Evaluations of personal development plan for each campaign manager</p> <p><i>Output 1.2.9:</i> Rare mentoring trip reports</p> <p><i>Output 1.2.10:</i> Master's Degrees (up to 12) awarded to community representatives (from project site localities)</p> <p><i>Output 1.2.11:</i> Signed and authenticated reciprocal agreements (up to 12)</p> <p><i>Output 1.2.12:</i> Final campaign reports</p>
<p>OUTCOME 1.3</p> <p>See Activities 1.3.1 to 1.3.5</p>	<p><i>Output 1.3.1:</i> ARA technical support for on-site assessments and progress reports filed</p> <p><i>Output 1.3.2:</i> Working definition to correlate AZE site and habitat in terms of surface area</p> <p><i>Output 1.3.3:</i> Analysis of Pre- and post-Rare survey data</p> <p><i>Output 1.3.4:</i> Rapid transect assessment reports (biodiversity monitoring results for baseline, mid-term and at completion)</p> <p><i>Output 1.3.5:</i> Reciprocal agreement contract uptake data (ARA and control sites)</p> <p><i>Output 1.3.6:</i> Specific n° of forest hectares per reciprocal agreement are declared under protection</p> <p><i>Output 1.3.7:</i> Monitoring reports for ARA compliance in enrolled areas</p> <p><i>Output 1.3.8:</i> Maps showing AZE sites, protected areas, and ARA-enrolled landholders</p> <p><i>Output 1.3.9:</i> Revised land management planning documents</p>
<p>OUTCOME 1.4</p> <p>See Activities 1.4.1 to 1.4.5</p>	<p><i>Output 1.4.1:</i> Land manager agreements signed for reciprocal arrangements in exchange for forest protection</p> <p><i>Output 1.4.2:</i> Formal contacts established with government authorities (regional/provincial or national level)</p> <p><i>Output 1.4.3:</i> Decisions from Advisory Committee for mainstreaming ARA and/or AZE</p> <p><i>Output 1.4.4:</i> Local outreach strategies</p> <p><i>Output 1.4.5:</i> Revised management goals, plans, strategies or initiatives of government institutions (regional/provincial or national level) that promote ARA as an AZE conservation incentive scheme</p> <p><i>Output 1.4.6:</i> Municipal budgets or legal commitments (actual or planned) that specify funding for project ARA schemes.</p>



Component-level Outcomes	[Intermediate Outcome/Result]	Verifiable Achievement [Performance Indicators]	Baseline Conditions	Means of verification	Assumption /Risks and Constraints
<b>Component 2: Evaluate replicable network effects of using Pride methodology to boost the impact of a strategy of reciprocal agreements</b>					
<b>Outcome 2.1</b>	Measurable expansion in network of support for AZE sites	<ul style="list-style-type: none"> <li>- Registration and downloads of the online toolbox for reciprocal agreements, including curricula, monitoring protocols, and best practices (targets: at least 6 new tools by PY2 and 12 (total) new tools by PY3).</li> <li>- Number of members who join and number of hits on RarePlanet.org AZE group (% increase)</li> <li>- Additional funding channeled to project and non-project AZE sites</li> <li>- Initiation of designs for new reciprocal agreements at other AZE sites in Latin America by the project's end</li> </ul>	<ul style="list-style-type: none"> <li>- No network of AZE sites currently exists</li> <li>- Funding for AZE sites is low and unsteady, if existent, and has not been quantified for project sites, regionally or globally.</li> <li>- Alliance for Zero Extinction has no support mechanisms (to facilitate the exchange of information, management tools or lessons learnt) for groups working to reduce threats at AZE sites.</li> <li>- RarePlanet has x members and x hits for AZE group at <i>[tbd at project inception workshop]</i>.</li> </ul>	<ul style="list-style-type: none"> <li>- Number of new tools created and shared on RarePlanet.org</li> <li>- RarePlanet.org user data compiled by Rare</li> <li>- Media coverage of project and non-project AZE sites</li> <li>- New conservation actions catalyzed at project sites, showing either expansion in surface or number of actions or innovation.</li> <li>- Institutional correspondence concerning project and non-project AZE sites</li> </ul>	<ul style="list-style-type: none"> <li>- Sites derive benefits from participating in a network</li> <li>- The project is able to have a catalytic effect on non-project AZE sites</li> </ul>

outcome 2.2	Measurable uptake of best practices in social marketing of incentives that strengthen terrestrial protected area networks	<ul style="list-style-type: none"> <li>- Uptake of reciprocal agreements at sites with Pride campaigns is sooner than at randomized control sites without Pride campaigns, demonstrated by the end of the project</li> <li>- By the end of the project, research results identify the refinements needed in Rare's Theory of Change that links: a). changes in knowledge, attitude and social interaction with; b). an incentive scheme, with; c). behavior change, leading to conservation results</li> <li>- Refinements to Theory of Change are applied to Pride campaign methodology by the end of the project</li> </ul>	<ul style="list-style-type: none"> <li>-No randomized comparison has been undertaken to confirm effects of Rare Pride campaigns in treatment areas versus controlled sites</li> </ul>	<ul style="list-style-type: none"> <li>- Report on Pride campaign areas compared to randomized control sites</li> <li>- Report including multi-variance statistical techniques</li> <li>- Report on qualitative interviews to assess the impact of Pride campaign effects</li> <li>- Rare Executive Board decisions and meeting minutes</li> <li>- Updated curricula and training materials</li> </ul>	<ul style="list-style-type: none"> <li>- An adequate number and quality of control sites are available</li> </ul>
Outcome 2.3	Pride campaigns achieve positive results on biological indicators of results for globally endangered and critically endangered species restricted to one site	<ul style="list-style-type: none"> <li>- Improved status of indicator species or proxy indicators by the end of the project</li> <li>- Improved habitat conservation status by the end of the project</li> </ul>	<ul style="list-style-type: none"> <li>- IUCN conservation status of AZE trigger species or proxy species (local baseline to be determined in first 6 months of the project)</li> <li>- Rates of deforestation exist for each project site</li> </ul>	<ul style="list-style-type: none"> <li>- Reports from fixed transect biological monitoring and remote sensing (3x during the project)</li> <li>- Satellite imagery</li> </ul>	<ul style="list-style-type: none"> <li>- That even with behavior change, threat reduction linked to biological indicators will be measurable in the timeframe of the project</li> </ul>

Component 2: Outputs		Component 2 – Outputs			
<p>OUTCOME 2.1</p> <p>See Activities 2.1.1 to 2.1.4</p>		<p><i>Output 2.1.1:</i> Online toolbox for reciprocal agreements, including tools such as promotional materials, templates for agreements, monitoring protocols with a check list and self assessment tool, curricula, and best practices</p> <p><i>Output 2.2.2:</i> Community of practice for campaign managers, supervisors, and technical experts in reciprocal agreements</p> <p><i>Output 2.2.3:</i> Outreach and communications plan to disseminate results of the AZE network</p> <p><i>Output 2.2.4:</i> Expanded AZE group and AZE information on RarePlanet.org</p> <p><i>Output 2.2.5:</i> Further conservation actions at project sites</p>			
<p>OUTCOME 2.2</p> <p>See Activities 2.2.1 to 2.2.6</p>		<p><i>Output 2.2.1:</i> Qualitative interviews at a subset of sites + control sites to assess the impact of Pride campaign effects</p> <p><i>Output 2.2.2:</i> Survey data analysis and report for Pride campaign treatment areas vs. randomized control sites</p> <p><i>Output 2.2.3:</i> Multi-variance statistical analysis and report to assess the campaign's Theory of Change</p> <p><i>Output 2.2.4:</i> Publications to document and disseminate best practices in Pride and reciprocal agreements</p> <p><i>Output 2.2.5:</i> Rare Executive Board decisions concerning refinement of Theory of Change and Pride methodology</p> <p><i>Output 2.2.6:</i> Updated curricula and training materials with refined Theory of Change in future Pride campaign</p>			
<p>OUTCOME 2.3</p> <p>See Activities 2.3.1 to 2.3.7</p>		<p><i>Output 2.3.1:</i> Habitat and species monitoring data and analyses (at up to 12 AZE sites)</p> <p><i>Output 2.3.2:</i> Remote sensing data (baseline and post campaign) and summary of findings</p> <p><i>Output 2.3.3:</i> Monitoring protocols and selected biological indicators (for threat reduction) published on RarePlanet.org</p> <p><i>Output 2.3.4:</i> Site monitoring reports (3x during the project)</p> <p><i>Output 2.3.5:</i> Annual campaign reports published on RarePlanet.org</p> <p><i>Output 2.3.6:</i> Report on conservation results for AZE sites on the basis of reduced threat (rate of deforestation) and improved conservation status (proxy indicator)</p>			
Component-level Outcomes	[Intermediate Outcome/Result]	Verifiable Achievement [Performance Indicators]	Baseline Conditions	Means of verification	Assumption /Risks and Constraints
Component 3 - Project Management and M&E		Component 3 Outputs			

<p><b>For indicator and targets, refer to M&amp;E plan (Appendix 7)</b></p>	<p>Cohort /project inception: <i>Outputs:</i> Cohort proposal launched and project inception report; Finalized logframe, M&amp;E plan, and procurement plan.</p> <p>Project supervision, administration, evaluation and adaptive management: <i>Outputs:</i> Project management documents (eg. progress and financial reports, cash advance requests); Equipment inventory; Advisory Committee meeting minutes and reports; M&amp;E reports (eg. PIRs, GEF tracking tool); Annual workplan reviews; Annual budget reviews; UNEP oversight mission reports; Rare site visit reports; Response to Mid-Term Evaluation /Review; Terminal reports.</p> <p>Fiduciary standards: <i>Outputs:</i> Project filing system; TORs for all contracts; Annual and final audit reports</p>
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## Appendix 5 & 6: Workplan & Timetable and Key Deliverables & Benchmarks

		weeks	12	24	36	48	60	72	84	96	108	120	132	144
Activity	Benchmarks & Key Deliverables	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
Component 1: Rare Pride Campaigns														
Outcome 1.1:														
Actv. 1.1.1 Campaign planning + survey design														
Actv. 1.1.2 Focus groups + meetings														
Actv. 1.1.3 Data collection and analysis														
Actv. 1.1.4 Campaign plan completion	Campaign strategy and creative brief													
Outcome 1.2:														
Actv. 1.2.1: Sites selected for AZE cohort														
Actv. 1.2.2: MoU signing	Project site commitments													
Actv. 1.2.3: University enrollment	Academic commitments													
Actv. 1.2.4: Univ. phase 1 (Guadalajara)	Initial training													
Actv. 1.2.5: Field phase 1	Formative research + site baseline													
Actv. 1.2.6: Campaign planning														
Actv. 1.2.7: Univ. phase 2 (Guadalajara)	Academic training													
Actv. 1.2.8: Field phase 2	Campaign implementation													
Actv. 1.2.9: ARA Extentionist training	Specialist training ( + M&E)													
Actv. 1.2.10: Mentor’s 1° and 2° site visit	One-to-one mentoring (+ M&E)													
Actv. 1.2.11: Reporting (RarePlanet)														
Actv. 1.2.12: Univ. phase 3 (Guadalajara)	Final academic presentation													
Actv. 1.2.13: Reciprocal agreement signing	Community events													
Outcome 1.3:														
Actv. 1.3.1: ARA planning	On-site assessments													
Actv. 1.3.2: Rapid transect assessments	Biodiversity monitoring													
Actv. 1.3.3: Data processing + analysis														
Actv. 1.3.4: Technical meetings														
Actv. 1.3.5: Site monitoring + reporting	“Effective” protection is verified													
Outcome 1.4:														
Actv. 1.4.1: Outreach to authorities	Means to mainstream AZE and/or													

		weeks	12	24	36	48	60	72	84	96	108	120	132	144
Activity	Benchmarks & Key Deliverables	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
Actv. 1.4.2: Political meetings	ARA into national or regional /provincial initiatives													
Actv. 1.4.3: Advisory Committee meetings														
Actv. 1.4.4: Municipality meetings	Commitments to ARA funding													
Actv. 1.4.5: Coordination														
Component 2: Evaluate replicable network effects														
Outcome 2.1:														
Actv. 2.1.1: Online toolbox preparation	Expansion of AZE and ARA community of practice													
Actv. 2.1.2: Establish + build community of practice														
Actv. 2.1.3: Preparing outreach + communication plan														
Actv. 2.1.4: Disseminate results of AZE network														
Outcome 2.2:														
Actv. 2.2.1: Qualitative interviews	Proof that Pride campaigns achieve conservation results													
Actv. 2.2.2: Survey data collection and analysis														
Actv. 2.2.3: Statistical analysis and assessment of Theory of Change														
Actv. 2.2.4: Rare Executive Board meeting	Decision to refine TOC and Pride													
Actv. 2.2.5: Updating curricula and training materials														
Actv. 2.2.6: Publications prepared	Best practice is disseminated													
Outcome 2.3:														
Actv. 2.3.1: Establishing monitoring protocols	Agreements with ABC and Birdlife Interntl. on monitoring protocols													
Actv. 2.3.2: Training and equipping local partners for data collection														
Actv. 2.3.3: Applying habitat and species monitoring protocols at project sites														
Actv. 2.3.4: Publishing monitoring protocol indicators on RarePlanet.org														
Actv. 2.3.5: Acquiring remote sensing (pre and post campaign)	Remote sensing maps													
Actv. 2.3.6: Preparing pre and post campaign reports (site monitoring; remote sensing; annual reports)														
Actv. 2.3.7: Publishing reports on RarePlanet.org														

		weeks	12	24	36	48	60	72	84	96	108	120	132	144
Activity	Benchmarks & Key Deliverables		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
<b>Component 3: Project Management</b>														
Inception Workshop	Inception Report													
Programmatic reporting to UNEP (half-yearly)	Project reports													
Advisory Committee meetings (half-yearly)	Project check-points													
Rare audio/tele-conferences (management team)	Coordination													
Science/monitoring group virtual meetings														
Reporting project progress to national authorities	Participation													
Co-finance reporting to UNEP (annually)	Co-finance materialization													
Project Implementation Reviews (annually according to GEF FY)	PIR ratings													
Financial audits (annually)	Annual and Final audit reports													
Mid-term Review /Evaluation	Mid-term recommendations and responses													
Terminal Evaluation	Closing assessment of performance													

## Appendix 7: Costed Monitoring and Evaluation Work Plan Summary

### 1. Monitoring Framework and Budget <sup>1</sup>

Objective / Outcome <sup>2</sup>	Outcome / objective level indicator <sup>3</sup>	Baseline Conditions <sup>4</sup>	Means of Verification <sup>5</sup>	Mid point Target <sup>6</sup> as relevant	End of Project Target	Monitoring / sampling (frequency / size) <sup>7</sup>	Location / Group	Responsibility for verification	Time frame <sup>8</sup>	Budget (Object of expenditure & cost) <sup>9</sup>
<b>Objective:</b> Strengthen effective protection of habitats populated by species that are globally critically endangered and endangered within the terrestrial	- Accelerated take-up of Pride-catalyzed reciprocal agreements (ARA) for habitat protection of previously unprotected forests in all project countries by the end of the project  - Improved AZE site habitat conservation through application of Rare's Theory of	- Zero (0) reciprocal agreements undertaken globally by Rare Pride campaigns  - To date no randomized control study evaluating Pride success in accelerating uptake of conservation	- Comparing site measures where reciprocal agreements are implemented with and without Pride  - Documented reciprocal agreements (i.e. stakeholder agreements, land agreements etc)  - Scientifically validated data to attribute causal affect of the Theory of Change	Pride campaigns have initiated at up to 12 sites; options for reciprocal agreements have been documented at Pride and control sites.  Baseline deforestation rates have been measured by end of PY1 at up to 12 sites.	Take-up of Pride-catalyzed reciprocal agreements is demonstrated to occur sooner at sites with a Pride campaign than at sites without.  Rates of deforestation have decreased by a statistically significant extent at sites with a	Up to 12 project sites; up to 150,000 people at each site; randomized control group to measure acceleration; data for deforestation rates pre- and post-project	Up to 12 project sites in potentially 5 Andean countries	Reciprocal agreement extensionist; Campaign managers	Mid point and final	ARA technical advisor, \$60,000; Biological indicators of threat reduction, 120,000KAP study, 100,000; Remote sensing 35,000

<sup>1</sup> Detailed monitoring plan should be included in the M&E project section. This table is primarily intended to reflect how the outcome level indicators will be tracked to facilitate monitoring of **results** (as opposed to monitoring of project implementation progress). The implementation of the Results-based Monitoring Framework will be assessed at mid point and at end of project (through the Mid-Term review and Terminal Evaluation processes). The quality of M&E implementation will be rated with the Project Implementation Review (PIR). The contents of this table should be validated and agreed upon at the project inception meeting.

<sup>2</sup> All project outcomes should be included in this column. The objective here is to provide the means to monitor progress in achieving the results set for the life of the project. Goals and long term impact indicators should not be included in this section, but may be discussed in other sections of the project document and M&E plan.

<sup>3</sup> Only key indicators should be included (not more than 2 or 3 per outcome). Appropriate selection of outcome indicators is essential to assess progress in achieving project results.

<sup>4</sup> Please note that if no baseline information for a particular indicator exists it is difficult to justify the targets. Also, please note that baseline data should be collected during the project preparation phase (PPG). If essential baseline data is not complete at the time of Work Program entry (for FSP) or CEO approval (for MSPs) the end of the first year of project implementation is the deadline for collecting the necessary data. The plan for the collection of such baseline data should be added in the next section along with its associated cost.

<sup>5</sup> The means of verification is the source of data that the project team will use to track the indicator (e.g., if the indicator is "forest cover diversity", the means of verification could be "field surveys data" and "satellite imagery"). Reviewing of project reports alone is insufficient.

<sup>6</sup> The mid point target will be reviewed at the Mid-Term Review along with validation of other focal area Tracking Tools. It is acknowledged that mid-point targets may not be relevant to all projects or all project outcomes. Flexibility will be applied.

<sup>7</sup> This column should describe for each indicator the size (e.g., whether entire protected area or only a fraction, or, for example, in the case of a survey, how many people would be covered). The frequency (e.g., once in the lifetime of the project, quarterly during the first year, yearly, etc.)

<sup>8</sup> Expected date (month/year) in which the monitoring activity will take place

<sup>9</sup> For example, 15 satellite images @ \$1,000 each = \$15,000, or 4 field sampling trips by 2 staff @ \$300 each= \$1,200



Objective / Outcome <sup>2</sup>	Outcome / objective level indicator <sup>3</sup>	Baseline Conditions <sup>4</sup>	Means of Verification <sup>5</sup>	Mid point Target <sup>6</sup> as relevant	End of Project Target	Monitoring / sampling (frequency / size) <sup>7</sup>	Location / Group	Responsibility for verification	Time frame <sup>8</sup>	Budget (Object of expenditure & cost) <sup>9</sup>
protected area networks of the Tropical Andean countries of Peru, Bolivia, Ecuador, Colombia and Venezuela.	Change (ToC) by the end of the project	solutions	- Assessments and decisions to optimize ToC		Pride campaign than at sites without					
<b>Outcome 1.1:</b> Community-based constituency's capacity built to achieve beneficial conservation results	By project completion, at up to 12 project sites, measurable behavioral changes (>10%) and increased public awareness (>25%) in favor of conservation.  - Follow up campaigns at % of sites (target: 9) initiated in year 3 with minimal support from Rare and with strong support from >1 community leader or local organization.	- Selection of project sites with potential for ARA and Pride campaigns - Current levels of attitude of local constituency are unknown - Unknown level of public awareness of AZE species/sites, or of water-forest link	- Pre- and post-Rare community survey data as compared to control sites in final campaign report - Comprehensive campaign plans for each site available on RarePlanet.org - Project-site related campaign creative briefs and operational plans posted on RarePlanet.org - Follow up campaign proposals and implementation plans with allocated funding - Written manifestations of support or interest from local actors for follow up campaigns	Behavior change surveys have been designed and stakeholder characterizations are available for up to 12 sites.	>10% behavior change and >25% knowledge and attitude change have been measured at up to 12 sites.  Follow up campaigns at up to 9 sites are initiated with minimal support from Rare and with strong support from >1 community leader or local organization.	Pre and post campaign surveys with 95% confidence level and interval of 3 at each project site  (See Appendix 16 –monitoring protocol)	Target audience at each project site; potentially 5 Andean countries	Campaign managers collect the data; Rare Pride Program Managers review and document	Pre (PY1) and Post (PY3) campaign	Each survey is estimated to cost 1,500 USD and is included in campaign costs in Outcome 1

Objective / Outcome <sup>2</sup>	Outcome / objective level indicator <sup>3</sup>	Baseline Conditions <sup>4</sup>	Means of Verification <sup>5</sup>	Mid point Target <sup>6</sup> as relevant	End of Project Target	Monitoring / sampling (frequency / size) <sup>7</sup>	Location / Group	Responsibility for verification	Time frame <sup>8</sup>	Budget (Object of expenditure & cost) <sup>9</sup>
<b>Outcome 1.2:</b> Improved management capacity at AZE sites	<ul style="list-style-type: none"> <li>- By the end of the project, up to 12 conservation agreements (ARAs) are in affect (signed) at project sites</li> <li>-Adoption of AZE as a conservation strategy for protected areas at the local level by the end of the project</li> <li>- By project year 3, community representatives who complete the training program obtain a validated Masters degree and a % propose follow up campaigns (target: 9) that are programmed for implementation by their organization.</li> </ul>	<ul style="list-style-type: none"> <li>- Validated conservation management and communications training program for community leaders available through University of Texas (El Paso) and Rare</li> <li>- No reciprocal agreements in place at AZE sites</li> </ul>	<ul style="list-style-type: none"> <li>- Documentation of final reciprocal agreements (signed and authenticated)</li> <li>- Documentation showing local adoption of AZE as a conservation strategy (municipal decrees, management plans, etc).</li> <li>- Master's Degree(s) awarded to each campaign manager</li> <li>- Passing grades submitted to University of Texas (El Paso)</li> <li>- Frequency of contact with reciprocal agreement technical expert during the project, and expert's site visit reports documenting progress on reciprocal agreement strategy</li> <li>- Rare mentoring trip reports</li> <li>- Final campaign reports on RarePlanet.org</li> <li>- Benefit for conservation provided by each agreement recorded for 12 sites</li> </ul>	<ul style="list-style-type: none"> <li>Up to 12 community representatives have completed University Phase 2 of the training course</li> <li>At least 9 campaign managers are implementing Pride campaigns</li> </ul>	<ul style="list-style-type: none"> <li>Up to 12 community representatives obtain MA degrees</li> <li>Up to 12 functioning (signed) reciprocal agreements are documented; up to 12 Pride campaigns have been completed and follow-up plans prepared; up to 12 campaign managers have received advice from a reciprocal agreement expert</li> <li>Up to 9 follow up campaigns have been programmed for implementation by local partner organizations</li> </ul>	<ul style="list-style-type: none"> <li>Timing of Rare mentoring visits; reciprocal agreements expert visits; and academic exams and milestones.</li> </ul>	12 project sites in potentially 5 Andean countries; 12 community representative s	Rare Pride Program Managers	Project completion	Costs included in Component 1, 100%

Objective / Outcome <sup>2</sup>	Outcome / objective level indicator <sup>3</sup>	Baseline Conditions <sup>4</sup>	Means of Verification <sup>5</sup>	Mid point Target <sup>6</sup> as relevant	End of Project Target	Monitoring / sampling (frequency / size) <sup>7</sup>	Location / Group	Responsibility for verification	Time frame <sup>8</sup>	Budget (Object of expenditure & cost) <sup>9</sup>
			through the GEF SO-2 Tracking Tool.							
<b>Outcome 1.3:</b> Improved protected status in 10 out of 12 AZE sites and mainstreaming of protection incentives.	- Net habitat loss avoided (X hectares) relative to baseline (pre-project rates of habitat change and local control sites) in ten (10) out of twelve (12) sites by the end of the project - Numbers of hectares signed up under reciprocal agreements (ARA) by the end of the project - Number of new landholders per year at each site enrolled in reciprocal agreements (ARA) by the end of the project - Government recognition of AZE site conservation planning and inclusion of local AZE sites amongst buffer area conservation priorities; - ARA schemes adopted by governmental or private land managers as a conservation tool.	- Alliance for Zero Extinction has pinpointed epicenters of imminent extinction in the Andes - A definition of <i>habitat</i> needs to be adopted in relation to AZE sites to allow measures of area and rates of habitat change. - Deforestation is the main cause of habitat loss in or around AZE sites - At least 6 AZE sites are within a protected area buffer zone - Zero hectares currently signed up to reciprocal agreements at candidate sites	- Monitoring report from rapid assessment along transects - Reciprocal agreement contract uptake data (eg. enrollments per year) - Pre- and post-campaign survey data as compared to control sites - Land manager agreements on new protected status - Monitoring reports for ARA compliance in enrolled areas. - Maps showing AZE sites and protected areas - Management plans for either government or private lands (including protected areas)	(Process indicator to be used to measure progress towards predicted outcome)  Rapid transects for biodiversity monitoring and tally of enrolled areas and landholders are carried out for midterm data collection  At least two (2) public or private land management plans incorporate either local AZE site amongst buffer areas conservation priorities or ARA schemes as a conservation tool	(Target 127,000 to be confirmed at project inception and baselining)  Avoided net habitat loss totals [X hectares] relative to baseline in 10 out of 12 sites.  A target of 127,000 hectares signed up under ARA  A total of [number] of new landholders per year enrolled in ARA	(Surface areas TBD for AZE sites and ARA land) Local residents: up to 150,000 per site  (See Appendix 16 - monitoring protocol)	Up to 12 Pride sites + control sites, in potentially 5 Andean countries	Rare Regional Director; campaign managers	Baseline: research phase (last half PY1); Midterm (mid PY2) and after campaigns (first half PY3)	\$35,000 USD for satellite imagery; \$120,000 for biological monitoring program

Objective / Outcome <sup>2</sup>	Outcome / objective level indicator <sup>3</sup>	Baseline Conditions <sup>4</sup>	Means of Verification <sup>5</sup>	Mid point Target <sup>6</sup> as relevant	End of Project Target	Monitoring / sampling (frequency / size) <sup>7</sup>	Location / Group	Responsibility for verification	Time frame <sup>8</sup>	Budget (Object of expenditure & cost) <sup>9</sup>
<b>Outcome 1.4:</b> Reciprocal agreements (ARA) are established and being tested, with the objective of providing economic assistance contingent on verified conservation behavior in each AZE community	- Number of participating communities implementing reciprocal agreements (ARA) by the end of the project (target: 12) - Inclusion of reciprocal agreements (ARA) at AZE sites within broader ecosystem service policy institutions (eg. Min of Environment or regional/provincial governments) by the end of the project. - Number of municipalities (target: 12) contributing and level of commitment to ARA funding by project end.	- Options identified and available for community-based reciprocal agreements (ARA) - Unsustainable practices and evidence of ecosystem service depletion - No reciprocal agreements currently in place - No reciprocal agreements currently in place in candidate sites; all sites have high potential for ARA. - Candidate communities for ARA at each site include upstream and downstream commoners	- Options identified and available for community-based reciprocal agreements (ARA) - Unsustainable practices and evidence of ecosystem service depletion - No reciprocal agreements currently in place in candidate sites; all sites have high potential for ARA - Candidate communities for ARA at each site include upstream and downstream residents	<i>(Progress indicators TBD by benchmarking the process of establishing ARAs at project inception wkshp)</i>	Up to 12 sites have signed up for ARA agreements between upstream and downstream users  The promotion of ARA as an AZE conservation incentive scheme is adopted as a management goal by at least 1 regional/ provincial or national government institution in each project country  Up to 12 municipalities are contributing funding -or have programmed funding- for project ARA schemes.	Up to 12 project sites; inception, mid-term, completion	Up to 12 project sites in potentially 5 Andean countries; national, regional /provincial and local institutions	Reciprocal agreement specialist; Regional Director; Recruitment manager	Benchmarks to be set at inception and measured at midterm (mid PY2) and at project completion (end PY3)	\$60,000
<b>Outcome 2.1:</b> Measurable expansion in network of support for AZE sites	- Registration and downloads of the online toolbox for reciprocal agreements, including curricula, monitoring protocols, and best practices (targets: at least 6 new tools by PY2 and 12 (total) new tools by	- No network of AZE sites currently exists - Funding for AZE sites is low and unsteady, if existent, and has not been quantified for	- Number of new tools created and shared on RarePlanet.org - RarePlanet.org user data compiled by Rare - Media coverage of project and non-project AZE sites	<i>(TBD or revised at project inception meeting following final site selection)</i>  Online toolbox (1) created and updated at least once, containing at least 6 new tools (curricula,	<i>(TBD or revised at project inception meeting)</i>  Online toolbox contains at least 12 new tools  In each project country: at least 1 new agreement is initiated at other	<i>(TBD at project inception meeting)</i>  number and location of other AZE sites; inception, mid-term, completion	Web information; project and non-project site information from potentially 5 Andean countries	Reciprocal agreements extensionists ; Regional Director	Quantifiable targets to be set at inception and measured at midterm (mid PY2) and at project completion (end PY3)	Included in Outcome 2

Objective / Outcome <sup>2</sup>	Outcome / objective level indicator <sup>3</sup>	Baseline Conditions <sup>4</sup>	Means of Verification <sup>5</sup>	Mid point Target <sup>6</sup> as relevant	End of Project Target	Monitoring / sampling (frequency / size) <sup>7</sup>	Location / Group	Responsibility for verification	Time frame <sup>8</sup>	Budget (Object of expenditure & cost) <sup>9</sup>
	PY3).  - Number of members who join and number of hits on RarePlanet.org AZE group (% increase)  - Additional funding channeled to project and non-project AZE sites  - Initiation of designs for new reciprocal agreements at other AZE sites in Latin America by the project's end	project sites, regionally or globally.  - Alliance for Zero Extinction has no support mechanisms (to facilitate the exchange of information, management tools or lessons learnt) for groups working to reduce threats at AZE sites.  - RarePlanet has [number] members and [number] hits for AZE group at [date of inception workshop].	- New conservation actions catalyzed at project sites, showing either expansion in surface or number of actions or innovation.  - Institutional correspondence concerning project and non-project AZE sites	monitoring protocols, and best practices)  Downloads of the online toolbox show a continuous rise  Number of members who join RarePlanet AZE group has increased by X % with respect to project start.  Number of hits on RarePlanet AZE group has increased by X % with respect to project start.	AZE site(s) or 1 existing agreement is expanded  In each project country: at least 1 project site or 1 non-project AZE site benefit from additional funding  Number of members who join RarePlanet AZE group has increased by X % with respect to project start.  Number of hits on RarePlanet AZE group has increased by X % with respect to project start.					
<b>Outcome 2.2:</b> Measurable uptake of best practices in social marketing of incentives that strengthen terrestrial protected area	- Uptake of reciprocal agreements at sites with Pride campaigns is sooner than at randomized control sites without Pride campaigns, demonstrated by the end of the project	No randomized comparison has been undertaken to confirm effects of Rare Pride campaigns in treatment areas versus controlled sites	- Report on Pride campaign areas compared to randomized control sites - Report including multi-variance statistical techniques - Report on qualitative interviews	<i>(Process indicators TBD by benchmarking the process of identifying the refinements needed in Rare's TOC, or by defining target dates for 3 report outputs /MOV)</i>	<i>(TBD at project inception meeting; following final site selection)</i>  Project sites with Pride campaigns complete (adopt) reciprocal agreements [number] months before control sites	<i>(See detailed research methodology: Appendix 16)</i>  3 randomized treatment and 3 randomized control areas, plus 9 non-randomized treatment and	<i>(See detailed research methodology: Appendix 16)</i>  Potentially 5 Andean countries	Reciprocal agreements extensionists ; Regional Director	Refinement process benchmarked at project start. Data collected PY2 and PY3. Decisions taken at end of	Included in Component 2 , \$100,000

Objective / Outcome <sup>2</sup>	Outcome / objective level indicator <sup>3</sup>	Baseline Conditions <sup>4</sup>	Means of Verification <sup>5</sup>	Mid point Target <sup>6</sup> as relevant	End of Project Target	Monitoring / sampling (frequency / size) <sup>7</sup>	Location / Group	Responsibility for verification	Time frame <sup>8</sup>	Budget (Object of expenditure & cost) <sup>9</sup>
networks	- By the end of the project, research results identify the refinements needed in Rare's Theory of Change that links: a). changes in knowledge, attitude and social interaction with; b). an incentive scheme, with; c). behavior change, leading to conservation results - Refinements to Theory of Change are applied to Pride campaign methodology by the end of the project		to assess the impact of Pride campaign effects - Rare Executive Board decisions and meeting minutes - Updated curricula and training materials		without Pride  Rare Executive Board adopts a decision to refine the Pride campaign methodology, based on research results.  Curricula and training materials are updated after PY2 to incorporate Rare's refined Theory of Change based on improved linkages between a). b). and c).	9 non-randomized control areas			project (PY3)	
<b>Outcome 2.3:</b> Pride campaigns achieve positive results on biological indicators of results for globally endangered and critically endangered species restricted to one site	- Improved status of indicator species or proxy indicators by the end of the project  - Improved habitat conservation status by the end of the project	( <b>TBD</b> at project inception or within 9 months of project start)	- Reports from fixed transect biological monitoring and remote sensing (3x during the project)  - Satellite imagery (pre campaign remote sensing findings)	( <i>Feasibility and adequacy as process indicators: to be reviewed at project inception meeting</i> )  Habitat and species monitoring protocol applied for collecting baseline data, and initiated for collecting mid-term data, at up to 12 AZE sites	( <b>TBD</b> at project inception or once baseline available for each site)	Fixed transects at treatment and control sites (see Appendix 16)	12 project sites, in potentially 5 Andean countries	Regional Director	Pre and post-campaigns (see workplan in Appendix 5&6), or inception, mid term and end of project.	Included in component 2, Remote Sensing \$35,000 and monitoring protocol, \$100,000

Objective / Outcome <sup>2</sup>	Outcome / objective level indicator <sup>3</sup>	Baseline Conditions <sup>4</sup>	Means of Verification <sup>5</sup>	Mid point Target <sup>6</sup> as relevant	End of Project Target	Monitoring / sampling (frequency / size) <sup>7</sup>	Location / Group	Responsibility for verification	Time frame <sup>8</sup>	Budget (Object of expenditure & cost) <sup>9</sup>
<b>Outcome 3.</b> Effective project management results in the Project completed in a timely and cost-effective manner	-The project at mid-term has, at minimum, a rating of satisfactory, and at project completion, at minimum, satisfactory.	Reporting formats will be made available by UNEP. External evaluations will be coordinated by UNEP	- Project Implementation Reviews (PIRs) and other project reports - Mid-Term Review/ Evaluation (MTR/E) and Terminal Evaluation (TE) reports	-All reports submitted to UNEP on time as per Appendix 8 - PIR for PY1 with a minimum rating of satisfactory	-All reports submitted to UNEP on time as per Appendix 8 - PIR for PY2 with a minimum rating of satisfactory - TE determines that MTR/E recommendations are followed satisfactorily	Semi annual reports		Rare Regional Director		reporting \$8,000; mid term rev/eval \$ 10,000; final eval \$20,000

## Appendix 8:

### Summary of reporting requirements and responsibilities

Report and Content	Set Format	Timing (Due)	Responsibility
Inception reports			
- Definitive procurement plan	None	2 weeks before inception workshop	Rare Regional Director
- A detailed implementation plan for project progress and monitoring	Agreed format allowing progress tracking	Within 1 month after inception workshop	Rare Regional Director
- A supervision plan			UNEP Task Manager
Semi Annual Progress reports			
- Progress and activities completed; - Progress against annual work plan; - Review of implementation plans, - Summary of problems and adaptive management; - Activity plans for the next semester; and - Project outputs for review	Annex 8 of UNEP legal instrument	Semi annually, within 15 days of each reporting period	Rare Regional Director (with Rare Pride Program Managers)
Semi Annual Financial reports			
- Project expenditures according to established project budget and allocations; - Budgetary plans for the next quarter; - Requests further cash transfers; - Requests budget revision as necessary; and - Inventory of non-expendable equipment, as and when procured for the project	Annexes 11, 7B and 6A of UNEP legal instrument	Semi annually, within 15 days of each reporting period	Rare Regional Director (with Rare Finance)
Annual Technical /M&E reports			
- Consolidated review of progress and outputs of project actions; - Review of annual work plan (revision if needed); - Best practices and lessons learnt; - Progress plans and budgetary requirements for the following reporting period; - Budget revision, as needed; - Minutes of Advisory Committee meetings		Annually	Rare Regional Director
- Mission reports as an “aide memoire” for executing agency		Within 2 weeks of mission end	UNEP Task Manager /FMO
- Project Implementation Review (PIR)		Annually (within 1 month of financial year end) <sup>10</sup>	Rare Regional Director, UNEP Task Manager and FMO



## Appendix 8:

### Summary of reporting requirements and responsibilities

Report and Content	Set Format	Timing (Due)	Responsibility
<b>Annual Financial reports</b>			
- Audit reports of project accounts and records	None	Annually (within 6 months of cal. year end)	Rare Finance
- Co-financing provided to the project, including additional leveraged funds; and - Co-financing inputs against GEF approved financing plan	Annex 12 of UNEP legal instrument	Annually (within 1 month of financial year end) <sup>10</sup>	Rare Development
<b>Mid-term Review<sup>11</sup></b>			
- Detailed independent evaluation of project management, results, actions; - Outputs and impacts at mid-term; - Recommendations for remedial action or revision; and work plans as appropriate	None	Quarter immediately following project mid-term	Rare Regional Director; UNEP: Task Manager, FMO and EOU
<b>Terminal and Closing Reports</b>			
- Terminal (Final) Report: project effectiveness; technical outputs; progress towards outcomes; lessons learned - Final inventory of non-expendable equipment - Equipment transfer letter	Annexes 10, 6B and 6A of UNEP legal instrument	Within 2 months of completion date	Rare Regional Director
- Final expenditure statement	Annex 11 of UNEP legal instrument	Within 3 months of completion date	Rare Regional Director (with Rare Finance)
- Final audited report for expenditures	None	Within 6 months of completion date	Rare Finance
<b>Terminal Evaluation<sup>12</sup></b>			
- Independent evaluation of project management, actions, outputs and impacts; - Sustainability analysis	None	At project completion	Rare Regional Director; UNEP: Task Manager, FMO and EOU

<sup>10</sup> For GEF projects: Financial year ends 30 June

<sup>11</sup> See Attachment 1 for criteria for a Mid-term Review vs. Evaluation

<sup>12</sup> See Project Document Appendix 8 for Terms of Reference

The following standard reporting formats will be available to the Executing Agency, at the time of signature of the legal instrument (Project Cooperation Agreement) with UNEP:

Expenditure report	Annex 11
Cash Advance request	Annex 7B
Progress report (Half-yearly)	Annex 8
Inventory of non-expendable equipment	Annex 6A
Co-financing report	Annex 12
Project implementation review (PIR) report	Annex 9
Final report	Annex 10
Equipment transfer letter	Annex 6B

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#### ATTACHMENT 1:

##### CRITERIA FOR A GEF PROJECT TO BE CONSIDERED FOR AN INDEPENDENT MID-TERM EVALUATION

Currently, the GEF Portfolio Manager decides whether a project undergo a mid-term review or mid term evaluation.

#### **Criteria**

EOU suggest that for a project to be considered for an independent mid-term evaluation the answer to the first question or second question and at least one of the remaining three questions should be 'yes'.

1. Has the project has been rated by the PIR system as being 'at risk'.
2. Is the project a 'high profile' project of key strategic importance to UNEP where potential 'operational improvements' stemming from the MTE can be captured by UNEP?
3. Is the project internally executed by UNEP?
4. Is the project being jointly implemented by two or more IA's, and / or implemented by UNEP and executed by another GEF Agency?
5. Are there known conflicts (and serious differences of opinion) between the Task Manager and the Project Manager with respect to the workplan and focus of the project, the progress achieved and / or the rating of project performance.

## Appendix 9: Standard Terminal Evaluation Terms of Reference

### TERMS OF REFERENCE TERMINAL EVALUATION

#### Communities of Conservation: Safeguarding the World's Most Threatened Species

##### A. BACKGROUND

###### Project rationale

The project for global biodiversity benefits will construct a network of community-based capacity and awareness building campaigns that will generate public support for locally managed reciprocal agreements for watershed services (ARA) which will improve the management and protected status of AZE species habitat in national systems of protected areas. The conservation results in hectares protected and species status improved at biologically irreplaceable sites will:

- Raise the profile of these “canary in the coalmine” sites for global biodiversity conservation within national biodiversity and ecosystem services policy frameworks.
- Generate networked learning among organizations about how to implement ARA at AZE sites and how to build local public support that recognizes and contributes to rewards for landholders that are contingent on their delivery of habitat and species conservation.
- Produce up to 12 trained conservation leaders with a Master’s degree in conservation communication embedded in organizations able to sustain the conservation strategy
- Support GEF SO1 SP3, "strengthening terrestrial protected area networks," by targeting some areas which fall under protected area status and others in under-represented terrestrial ecosystems that are prime candidates for inclusion in national protected area networks.

In addition to biodiversity benefits, this project sets out to identify and test a reciprocal agreements for watershed services strategy that benefits local populations at each pilot site. Additional funding streams to these sites will grow from national ecosystem service payments systems as a result of this project, as well as international NGO attention to the plight of AZE sites. The methodology and know-how developed here and disseminated through Rareplanet -- from the development of customized theories of change, to the design and marketing of a watershed payments program -- is likely to benefit scores of other AZE sites around the world. Finally, establishing AZE as a prioritization scheme and a community of practice is likely to engender greater commitment to this vastly underserved portfolio of endangered species, lending a voice to some of the most threatened species on earth.

###### *Objectives*

The global objective for which this project is to turn the tide of habitat loss and species extinction at a suite of AZE sites in the Tropical Andes using a networked and replicable community-based capacity building methodology.

The main objective of the Rare project was to Strengthen effective protection of habitats populated by species that are globally critically endangered and endangered within the terrestrial protected area networks of the Tropical Andean countries of Peru, Bolivia, Ecuador, Colombia and Venezuela.

The expected outcomes of the Rare Project include:

- Outcome 1.1: Community-based constituency's capacity built to achieve beneficial conservation results
- Outcome 1.2: Improved management capacity at AZE sites
- Outcome 1.3: Improved protected area status in up to 12 AZE sites (public or private), where up to 50% of these sites contribute to unmet objectives of existing protected areas.
- Outcome 1.4: Reciprocal agreements (ARA) are established and being tested, with the objective of providing economic social benefits in each AZE community Outcome 2.1 Measurable expansion in network of support for AZE sites.
- Outcome 2.2 Measurable uptake of best practices in social marketing of incentives that strengthen terrestrial protected area networks
- Outcome 2.3 Pride campaigns achieve positive results on biological indicators of threat reduction and ecosystem integrity at a network of AZE sites
- Outcome 3.1: Effective project management results in the Project completed in a timely and cost-effective manner

### ***Relevance to GEF Programmes***

The Rare project conforms to the GEF Operational Strategy and Operational Programmes 1, 2, 3 and 4 by producing a scientific baseline on global ecosystem function for the provision of goods and services which will allow improved evaluation of the impact of biodiversity and other ecosystem related projects.

### **Executing Arrangements**

The project was coordinated by UNEP in partnership with the Rare as the lead co-executing agency.

### ***Project Components and Activities***

The Project has three components, the Project Components and activities, and description of the approaches to the activities are detailed in Attachment 1:

- Component 1 Rare Pride Campaign for capacity building and public awareness at a model network of AZE sites
- Component 2: Impact and Effectiveness Analysis
- Component 3: Project Management

### ***Budget***

The total original project budget was US\$ 4,000,000, with US\$ 4,000,000 funded by the GEF Trust Fund. The co-financing funds were secured from a number of donors.<sup>13</sup>

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<sup>13</sup> Donors included: [TBD]

## B. SCOPE OF WORK FOR THE TERMINAL EVALUATION

### Objective and scope of the evaluation

The following three principles should be considered in the Terminal Evaluation:

- The evaluation should consider whether “*we did the right thing?*”(It should examine the rationale, the justification of the undertaking, make a reality check and look at the satisfaction of intended beneficiaries).
- The evaluation should also consider whether “*we did things right?*” (It should assess the effectiveness of achieving expected results. It should examine the efficiency of the use of inputs to yield results).
- The evaluation asks “*Are there better ways of achieving the results?*” (It should look at alternative ways, good practices and lessons learned).

The primary objective of this terminal evaluation is to establish project impact with reference to objectives and outcomes and evaluate implementation of planned project activities and outputs against actual results. The principal focus will be on the following questions:

- Has the methodology and approach used for conducting the Rare Pride campaign effectively built relevant capacity and stakeholder ownership at all levels?
- Was the methodology and approach used for evaluating effectiveness (Component 2) scientific sufficient and credible to effectively and adequately meet the information needs of users?
- To what extent have the Rare project outputs been used and to what extent has the Rare Pride process and outputs and the ARA led to change in ecosystem-related conventions and natural resource management?

The analysis of impact and outcomes achieved should include, *inter alia*, an assessment of the extent to which the project has (1) helped produce the best available information and knowledge on ecosystem goods and services *and the extent to which it has been utilized in policy and management decisions at global, regional, national and local levels*; and (2) strengthened capacity to undertake integrated ecosystem assessments and to implement action based on the assessments.

The “outcome” indicators and verifiers provided in the logframe of the project document should be used together with the evaluation parameters of sustainability, replicability, stakeholder participation, effectiveness and efficiency.

The evaluation shall make recommendations that may contribute to the assessment and development of GEF's portfolio of projects. Furthermore, the evaluation should highlight lessons learned - both the positive as well as the negative, from the standpoint of the design and implementation of the project geared towards enhancing planning and implementation of future GEF and UNEP programs and projects related to global assessments. The evaluation should also include a breakdown of final actual costs and co-financing for the project prepared in consultation with the relevant GEF Fund Management Officer of the project. The evaluation shall comment on financial management and co-financing arrangements.

The success of project implementation will be rated on a scale from ‘*highly unsatisfactory*’ to ‘*highly satisfactory*’. In particular the evaluation shall **assess and rate** the project with respect to the eleven categories defined below:

### 1. Attainment of objectives and planned results:

The evaluation should assess the extent to which the project's major relevant objectives were effectively and efficiently achieved, or are expected to be achieved, and their relevance.

- *Effectiveness*: Evaluate how, and to what extent, the stated project objectives have been met, taking into account the “achievement indicators” in the project logframe / project document. In particular, evaluate whether and to what extent the results of this project have been utilized in policy decisions at all levels and strengthened capacity to undertake integrated ecosystem assessments and to implement action based on the assessments.
- *Relevance*: In retrospect, were the project's outcomes consistent with the focal areas/operational program strategies? The evaluation should ascertain the nature and significance of the contribution of the project outcomes to the wider portfolio of GEF Operational Programmes no. 1, 2, 3 and 4.

### 2. Achievement of outputs and activities:

- Assess the scope, quality and usefulness of the project outputs in relation to its expected results.
- Assess the soundness and effectiveness of the methodologies used for undertaking integrated ecosystem assessment as well as their relevance for informing decision-makers and catalyzing action based on the findings of the assessments.
- Assess whether the Rare project approach / methods been used in other large environmental assessment initiatives
- Assess to what extent project outputs produced have the weight of scientific authority necessary to influence policy makers, particularly the GEF, its Implementing Agencies and other relevant stakeholders.

### 3. Cost-effectiveness:

- *Efficiency*: Cost-effectiveness assesses the achievement of the environmental and developmental objectives as well as the project's outputs in relation to the inputs, costs, and implementing time. Include an assessment of outcomes in relation to inputs, costs, and implementation times based on the following questions:

- (i) Was the project cost-effective?
- (ii) How does the cost-time vs. outcomes compare to other similar projects?
- (iii) Was the project implementation delayed?
- (iv) Was the project compliant in the application of the incremental cost concept?

The evaluation will:

- (i) Assess the cost-effectiveness the GEF funded activities of the project and whether these activities achieved the goals and objectives within planned and/or reasonable time and budget.
- (ii) How did the costs compare to the costs of similar projects in similar contexts?  
<http://www.gefweb.org/council/council7/c7inf5.htm>
- (iii) Assess the contribution of cash and in-kind co-financing to project implementation and to what extent the project leveraged additional resources.
- (iv) Determine the extent to which external scientific and technical information and knowledge have been incorporated and have influenced the execution of the project activities (i.e. consider whether the project effectively capitalized on pre-existing research investment).

#### 4. Financial Planning

Evaluation of financial planning includes assessment of actual project costs by activities compared to budget (variances), financial management (including disbursement issues), and co- financing, the scope of financial management includes decisions and processes of both implementing and the executing agencies. The evaluation should:

- Assess the strength and utility of (both IA and EA) financial controls, including reporting, and planning to allow the project management to make informed decisions regarding the budget and allow for a proper and timely flow of funds for the payment of satisfactory project deliverables.
- Present the major findings from the financial audit if one has been conducted.
- Identify and verify the sources of co- financing as well as leveraged and associated financing (in co-operation with the IA and EA).
- Review major financial report documents and assess whether the project has applied appropriate standards of due diligence in the management of funds. The evaluation should:
  - Establish whether the project was financially "closed" at the time of evaluation, and if not specify when this is anticipated.
  - Establish whether there any outstanding financial reports.
  - Establish whether the project can account for use of 100% of the project budget.
  - Review a summary of financial revisions made and their purposes and comment on whether these reflect sound financial management.

#### 5. Impact:

Evaluate the immediate impact of the project on scientific research and 'conventional wisdom'.

– Global: To what extent have Rare project findings and outputs been used by the scientific community and by institutions supporting scientific research to focus research support on questions that simultaneously exhibit great scientific uncertainty and significant policy ramifications, especially when it pertains to Component 2 analysis?

Evaluate the immediate impact of the project on policy development and decision-making at local, national, regional and global levels

– Global: To what extent have Rare project findings and outputs could be used or have been used by international institutions (including in particular the environmental conventions and the plans and strategies of the GEF) to:

- a) measure progress in achieving conservation and sustainable use (Prior to the Evaluation UNEP DGEF Fund Management Officers will provide: a) an up to date cofinancing table, b) a summary report on the projects financial management and expenditures during the life of the project - to date and c) a summary of financial revisions made to the project and their purpose. objectives?)
- b) help identify priorities for action? and,
- c) identify "best practices" for how to respond to degradation of ecosystem goods and services, i.e. ARA within this project?

– Global: To what extent have Rare project findings and outputs been used by the media and private sector as "the" source of scientific consensus on controversial issues regarding changes in ecosystems and their potential impacts on health, economics, and development?

– Sub-global: To what extent have the findings of the global assessment and catalytic sub-global assessments been used by national governments, the private sector, and civil society:

- a) to identify priorities for action,
- b) to identify best practices and
- c) as "the" source of scientific consensus on controversial issues regarding changes in ecosystems and their potential impacts?

– Sub-global: To what extent have findings and outputs been used by decision-makers at the scales and places where the assessments operated, to identify "best practices" for how to respond to degradation of ecosystem goods and services?

As far as possible, also assess the **potential longer-term impacts**, considering that the evaluation is taking place upon completion of the project and that longer term impact is expected to be seen in a few years time. Which will be the major 'channels' or 'pathways' for longer term impact? The evaluation should formulate recommendations that outline possible approaches and necessary actions to facilitate an impact assessment study for the Rare project in a few years time.

## 6. Sustainability:

Sustainability is understood as the probability of continued long-term project derived outcomes and impacts after the GEF project funding ends. The evaluation will identify and assess the key conditions or factors that are likely to contribute or undermine the persistence of benefits after the project ends.

Some of these factors might be outcomes of the project, i.e. stronger institutional capacities, legal frameworks, socio-economic incentives / or public awareness. Other factors will include contextual circumstances or developments that are not outcomes of the project but that are relevant to the sustainability of outcomes. The following five aspects of sustainability will be addressed: financial, socio political, institutional frameworks and governance, ecological (if applicable), and replication. The following questions provide guidance to assess if the components are met (in the context of this project some aspects of project sustainability may be more relevant than others):

- *Financial resources.* What is the likelihood that financial and economic resources will be available such that the project outcomes/benefits will be sustained once the GEF assistance ends (resources can be from multiple sources, such as the public and private sectors, income generating activities, and market trends that support the project's objectives)? Was the project successful in identifying and leveraging co-financing? Replication refers to repeatability of the project under quite similar contexts based on lessons and experience gained. Actions to foster replication include dissemination of results, seminars, training workshops, field visits to project sites, etc. *GEF Project Cycle, GEF/C.16/Inf.7, October 5, 2000*
- *Socio-political:* What is the likelihood that the level of stakeholder ownership will allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project?
- *Institutional framework and governance.* What is the likelihood that institutional and technical achievements, legal frameworks, policies and governance structures and processes will allow for the project outcomes/benefits to be sustained? While responding this question consider if the required systems for accountability and transparency and the required technical know how are in place.
- *Ecological.* The analysis of ecological sustainability may prove challenging. What is the likelihood that Rare project achievements will lead to sustained ecological benefits?



## **7. Stakeholder participation / public awareness:**

This consists of three related and often overlapping processes: information dissemination, consultation, and “stakeholder” participation. Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or stake in the outcome of the GEF- financed project. The term also applies to those potentially adversely affected by a project. The evaluation will specifically:

- Assess the mechanisms put in place by the project for identification and engagement of stakeholders and establish, in consultation with the stakeholders, whether this mechanism was successful, its strengths and weaknesses. Particular attention should be paid to the level of participation by international conventions, scientists and national government institutions/organizations, civil society, and the private sector.
- Assess the degree and effectiveness of collaboration/interactions between the various project partners and institutions during the course of implementation of the project.
- Assess the degree and effectiveness of the various public awareness activities that were undertaken during the course of implementation of the project.

## **8. Country ownership / driveness:**

This is the relevance of the project to; national development and environmental agendas, recipient countries) commitments, and regional and international agreements. The evaluation will:

- Assess the level of country ownership. Specifically, the evaluation should assess whether the project was relevant for national development and environmental agendas and to supporting effective implementation of ecosystem-related conventions and resource management.

## **9. Implementation approach:**

This includes an analysis of the project's management framework, adaptation to changing conditions (adaptive management), partnerships in implementation arrangements, changes in project design, and overall project management. The evaluation will:

- Ascertain to what extent the project implementation mechanisms outlined in the project document have been closely followed. In particular, assess the roles of the Board of the Rare project and the Executive Committee and whether the project document was sufficiently clear and realistic to enable effective and efficient implementation, whether the project was executed according to the plan and how well the management was able to adapt to changes during the life of the project.
- Did the Rare project Board define more specifically, within the broad array of users and potential users of the Rare project findings and process, issues and needs to be given highest priority? If so, were the selected components of the assessment targeted for a more detailed examination appropriate and strategic?
- Evaluate the effectiveness of project execution arrangements at all levels (1) policy decisions; Board/Advisory Committee of Rare project, ; (2) day to day project management and the Rare

Management for the Rare project. (3) The effectiveness of other partnership arrangements established for implementation of the project.

- Assess the effectiveness of supervision and administrative and financial support provided by UNEP/DGEF.
- Identify administrative, operational and/or technical problems and constraints that influenced the effective implementation of the project.

Assess whether the logical framework was used during implementation as a management tool and whether feedback from M&E activities more broadly was used for adaptive management.

#### **10. Replicability:**

*Replication and catalysis.* What examples are there of replication and catalytic outcomes that suggest increased likelihood of sustainability? Replication approach, in the context of GEF projects, is defined as lessons and experiences coming out of the project that are replicated or scaled up in the design and implementation of other projects. Replication can have two aspects, replication proper (lessons and experiences are replicated in different geographic areas) or scaling up (lessons and experiences are replicated within the same geographic area but funded by other sources).

- Assess whether the project has potential to be replicated, either in terms of expansion, extension or replication in other countries and/or regions and whether any steps have been taken by the project to do so and the relevance and feasibility of these steps.

#### **11. Monitoring and Evaluation:**

The evaluation shall include an assessment of the quality, application and effectiveness of project monitoring and evaluation plans and tools, including an assessment of risk management based on the assumptions and risks identified in the project document. The evaluation shall comment on how the monitoring mechanisms were employed throughout the project's lifetime, whether this allowed for tracking of progress towards project objectives and how the project responded to the challenges identified through these mechanisms. The tools used might include a baseline, clear and practical indicators progress monitoring and data analysis systems, or studies to assess results that were planned and carried out at specific times in the project.

The ratings will be summarized in the form of a table. Each of the eleven categories should be rated separately with brief justifications based on the findings of the main analysis. An overall rating for the project should also be given. The following rating system is to be applied:

HS = Highly Satisfactory  
S = Satisfactory  
MS = Moderately Satisfactory  
MU = Moderately Unsatisfactory  
U = Unsatisfactory  
HU = Highly Unsatisfactory

## C. METHODOLOGY

This terminal evaluation will be conducted as an in-depth evaluation using a participatory approach whereby the UNEP/GEF Task Manager, the UNEP/DEWA Chief of Assessment Branch and other relevant staff are kept informed and regularly consulted throughout the evaluation. The consultant will consult with the UNEP/EQU, the UNEP/DGEF Task Manager and the UNEP/DEWA Chief of Assessment Branch on any logistical and/or methodological issues to properly conduct the review in as independent a way as possible given the circumstances and resources offered.

The Lead Evaluator will be responsible for the design of the evaluation framework. It is suggested that the evaluation team consider grouping the subject matter of the TOR into three broad points of view (POVs) for purposes of data collection and analysis. This approach was adopted in GEF's OPS313 and allowed for a more focused and thematic approach to assessment of performance. The POVs suggested for the evaluation of the Rare project are the:

- *Cross-cutting point of view*, which includes issues concerning, among other things, the Rare project's role as a catalytic initiative, capacity development and similar issues that can be observed across the Rare project's operations, sustainability, contributions to global benefits, replicability, incremental cost, country-drivenness(individually in all 5 countries and collectively) etc.
- *Assessment-based point of view*, focusing on the quality and utility of the interlinked assessments undertaken at local, watershed, national, regional and global scales especially the Global, and Sub-global assessments.
- *Institutional point of view*, which includes the effectiveness of the Rare project structure, roles, and responsibilities and the core processes the Rare project used for conducting its work. In assessing the Rare project from these different perspectives, it is essential that the evaluators speak with as wide a range of people as possible including Board and Panel members, secretariat, convention bodies, sub-global users, authors, review editors etc. Opportunities to achieve this effectively and efficiently will involve telephone and email contact. Opportunities to meet a wide range of people associated with the Rare project also occur at convention meetings. COP 8 of the CBD14 provides an ideal opportunity for the evaluator to meet many individuals linked to the following:

<http://www.gefweb.org/MonitoringandEvaluation/MEOngoingEvaluations/MEOOPS3/meoops3.html>

Rare project and to interact with the global-level policy processes, this will also help the evaluation of policy impacts. The findings of the evaluation will be based on the following:

1. A desk review of project documents including, but not limited to:
  - a) The project documents, outputs, monitoring reports (such as progress and financial reports to UNEP and GEF annual Project Implementation Review reports) and relevant correspondence.
  - b) Review of specific products including computer software, publications in international journals, peer-reviewed books, regional synthesis papers, reports from regional workshops as well as national case studies, highlighting case studies, technical information, research results, methodological guidelines, strategies and recommendations related to wider application of the generic tools and methodological approach developed by the project;
  - c) Notes from the Advisory Committee of Rare project, and other relevant institutional players;

- d) Other material produced by the Rare project Secretariat, or Rare project partner organizations
- e) The project web site, [www.millenniumassessment.org](http://www.millenniumassessment.org)

2. Interviews with project management Advisory Committee and partners of the and Rare project
3. Interviews and Telephone interviews with other stakeholders in the different regions, which were involved with this project. As appropriate, these interviews could be combined with an email questionnaire;
4. The evaluation team shall approach representatives of key target audiences for the products developed by the project (e.g. donor agencies, representatives of UNF, World Bank, Convention Secretariats, Government and Non-Governmental organizations etc.). ***Examples and evidence of the use of project products by key target audiences shall be verified and reported wherever possible.***
5. Interviews with the UNEP/DGEF project task manager and Fund Management Officer, and other relevant staff in UNEP/DEWA and UNEP/DGEF as necessary.

#### **Evaluation report format review procedures**

The report should be brief, to the point and easy to understand. It must explain; the purpose of the evaluation, exactly what was evaluated and the methods used. The report must highlight any methodological limitations, identify key concerns and present evidence-based findings, consequent conclusions, recommendations and lessons. The report should be presented in a way that makes the information accessible and comprehensible and include an executive summary that encapsulates the essence of the information contained in the report to facilitate dissemination and distillation of lessons.

The evaluation will rate the overall implementation success of the project and provide individual ratings of the eleven implementation aspects as described in this TOR. The ratings will be presented in the format of a table with brief justifications based on the findings of the main analysis.

Evidence, findings, conclusions and recommendations should be presented in a complete and balanced manner. Dissident views in response to evaluation findings may be appended in an annex. The evaluation report shall be written in English, be of no more than 50 pages (excluding annexes), use numbered paragraphs and include:

- i) An **executive summary** (no more than 3 pages) providing a brief overview of the main conclusions and recommendations of the evaluation;
- ii) **Introduction and background** giving a brief overview of the evaluated project, for example, the objective and status of activities;
- iii) **Scope, objective and methods** presenting the evaluation's purpose, the evaluation criteria used and questions to be addressed;
- iv) **Project Performance and Impact** providing factual evidence relevant to the questions asked by the evaluator and interpretations of such evidence;
- v) **Conclusions and rating** of project implementation success giving the evaluator's concluding assessments and ratings of the project against given evaluation criteria and standards of performance. The conclusions should provide answers to questions about whether the project is considered good or bad, and whether the results are considered positive or negative;

- vi) **Lessons learned** presenting general conclusions, based on established good and bad practices, with a potential for wider application and use, the context in which lessons may be applied should be specified;
- vii) **Recommendations** suggesting *actionable* proposals regarding improvement of current or future projects. They may cover resource allocation, financing, planning, implementation, and monitoring and evaluation. They should always be specific in terms of who would do what and provide a timeframe;
- viii) **Annexes** include terms of reference, list of interviewees, and so on. Examples of UNEP GEF Terminal Evaluation Reports are available at [www.unep.org/eou](http://www.unep.org/eou)

Format for the report will conform to the following:

Acronyms and Abbreviations

Summary

1. Introduction

2. Major Findings

- (i) Attainment of objectives and planned results
- (ii) Achievement of outputs and activities
- (iii) Cost Effectiveness
- (iv) Financial Planning
- (v) Impact
- (vi) Sustainability
- (vii) Stakeholder Participation
- (viii) Country Ownership
- (ix) Implementation Approach
- (x) Replicability
- (xi) Monitoring and Evaluation

3. Conclusions, Recommendations and Lessons

Annexes

1. Evaluation Terms of Reference

2. Co-financing and Leveraged Resources Analysis

3. List of Interviewees

4. Report: 'Millennium Ecosystem Assessment: Survey of Initial Impacts'  
(in separate file)

5. Supporting Financial Information

## D. RESOURCES, SCHEDULE OF THE EVALUATION

### Resources

This final evaluation will be undertaken by an evaluation team of a lead evaluator and two supporting evaluators. The principal evaluator is responsible for coordinating the work of the evaluation team, leading the review of the global outputs and preparing the final evaluation report covering the Terms of Reference. The supporting evaluators are each responsible for preparing an in-depth evaluation of one of the sub-global assessments.

The contract for the lead evaluator will begin on Date [TBD] and end on Date [TBD]. With [TBD] working days spread over [X] weeks. The contract for the supporting evaluators will begin on [TBD] and end on [TBD] and include [TBD] spread over [TBD] weeks.

The lead evaluator will submit a draft report to EOU on [TBD], with a copy to the UNEP/GEF Task Manager, the UNEP/DEWA Chief of Assessment Branch and the Project Director for initial comments. Comments to the final draft report will be sent to the consultant by [TBD] the latest after which the consultant will submit the final report no later than [TBD].

In accordance with UNEP/GEF policy, all GEF projects are evaluated by independent evaluators contracted as consultants by the EOU. The evaluators should have the following qualifications and undertake the duties and travel described:

*Lead evaluator:*

The principal evaluator should not have been associated with the design and implementation of the project. The evaluator will work under the overall supervision of the Chief, Evaluation and Oversight Unit, UNEP. The evaluator should be an eminent international expert and have the following minimum qualifications: (i) experience on ecosystems and their management; (ii) experience with management and implementation of global projects and in particular with targeted assessment projects that generate policies/strategies, knowledge and information; (iii) experience with project evaluation. Knowledge of UNEP programmes and GEF activities is desirable. The lead evaluator will be responsible for the overall preparation, quality and delivery of the evaluation report. First and second supporting evaluators (sub-global assessments): The supporting evaluator conducting evaluations of a sub-global assessment should not have been associated with the design and implementation of the project. The evaluator will work under the overall supervision of the Lead Evaluator. The evaluator should have the following minimum qualifications: (i) experience on ecosystems and their management, in particular arid and semi-arid ecosystems; (ii) experience with project management and implementation and in particular with targeted assessment projects that generate policies/strategies, knowledge and information; (iii) experience with project evaluation. Knowledge of UNEP programmes and GEF activities, in particular biodiversity conservation is desirable. The supporting evaluators will work under the supervision of the lead evaluator, with the division of labour agreed among the team. Suggested field visits for the evaluation team

The evaluation team will travel and meet at the UNEP [TBD] at the beginning of the evaluation; and the review team will consult with staff from UNEP. The evaluation team will travel to the projects 5 (five) countries to conduct in-depth discussions with participating national scientists and collaborating institutions in relation to the Rare project and other related activities.

**Review of the Draft Evaluation Report**

Draft reports submitted to UNEP EOU are shared with the corresponding Programme or Project Officer and his or her supervisor for initial review and consultation. The DGEF staff and senior Executing Agency staff are allowed to comment on the draft evaluation report. They may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. The consultation also seeks agreement on the findings and recommendations. UNEP EOU collates the review comments and provides them to the evaluators for their consideration in preparing the final version of the report.

### Quality Assessment of the Evaluation Report

All UNEP GEF Terminal Evaluation Reports are, themselves, subject to quality assessments by the GEF independent Evaluation Office (GEF EO). UNEP EOU therefore applies these GEF EO quality assessment criteria and the GEF Minimum Requirements for Terminal Evaluations to the draft Terminal Report as a tool for providing structured feedback. The quality of the draft evaluation report will be assessed and rated against the following criteria:

Report Quality Criteria	UNEP EOU Assessment Notes	Rating
A. [TBD]		
B. [TBD]		
C. [TBD]		
D. [TBD]		
E. [TBD]		
F. [TBD]		

*A number rating 1-6 is used for each criterion: Highly Satisfactory=6, Satisfactory=5, Moderately Satisfactory=4, Moderately Unsatisfactory=3, Highly Unsatisfactory=1, and unable to assess=0*

The score for the quality of the terminal evaluation report is calculated by applying the GEF OE formula as follows:

$$\text{Quality of the TE report} = 3 \times (A+B) + 0.1(C+D+E+F)$$

The total is rounded and converted to the scale of HS to HU

General comments on the draft report with respect to compliance with these TOR will also be compiled and shared with the evaluation team.

### Submission of Final Terminal Evaluation Reports.

The final report shall be submitted in electronic form in MS Word format and should be sent to the following persons:

[TBD], Chief, Evaluation and Oversight Unit  
 UNEP, P.O. Box 30552  
 Nairobi, Kenya  
 Email: [TBD]@unep.org

With a copy to:  
 [TBD], Officer in Charge  
 UNEP/Division of GEF Coordination  
 P.O. Box 30552  
 Nairobi, Kenya  
 Email: [TBD]@unep.org

The evaluation report will be printed in hard copy and published on the Evaluation and Oversight Unit's web-site [www.unep.org/eou](http://www.unep.org/eou). Subsequently, the report will be sent to the GEF OME for their review and inclusion on the GEF website.

### **Schedule of payment**

The evaluators will receive an initial payment of 40% of the total amount due upon signature of the contract. Final payment of 60% will be made upon satisfactory completion of work. The fee is payable under the individual SSAs of the evaluator and is NOT inclusive of all expenses such as travel, accommodation and incidental expenses. Ticket and DSA will be paid separately.

The Terminal Evaluation will include a negotiable 16 person/weeks inclusive of Lead Evaluator and subcontractors not to exceed USD 40,000.

In case, the evaluator cannot provide the products in accordance with the TORs, the timeframe agreed, or his products are substandard, the payment to the evaluator could be withheld, until such a time the products are modified to meet UNEP's standard. In case the evaluator fails to submit a satisfactory final product to UNEP.



## Attachment 1: Project Component and Activities

### ***Project components and results indicators***

The Project will have three components, as detailed below:

- Component 1: Pride Campaign for capacity building and public awareness at a model network of AZE sites
- Component 2: Evaluate replicable network effects of using Pride methodology to boost the impact of a strategy of reciprocal agreements
- Component 3: Project Management

### **Component 1: Pride Campaign: Pride campaigns for capacity building and public awareness at a model network of AZE sites**

This component will be achieved through the recruitment and selection of 12 conservation leaders working with local organizations at 12 sites. These sites will be selected from among 24 applications scoring above a minimum on a multi- criteria analysis. This project recognizes that because of varying geography, and varying political, social, cultural, and economic contexts among AZE sites in the Andes, there will not be a single optimal strategy for barrier removal at all AZE sites. However, proven widespread interest and applicability of the reciprocal agreements for watershed services (ARA) approach, there is an opportunity to use the power of network learning effects among a cohort of sites by selecting from among only those sites where this strategy is, in fact, feasible and appropriate. Under the first project component, the expected outcomes and corresponding verifiable performance indicators include:

#### *Outcome 1.1: Community-based constituency's capacity built to achieve beneficial conservation results*

- By project completion, at up to 12 project sites, measurable behavioral changes (>10%) and increased public awareness (>25%), as measured by pre and post surveys of reported behavior.

#### *Outcome 1.2: Improved management capacity at AZE sites*

- By the end of the project, up to 12 community representatives successfully complete the Pride training program (validated by the University of Texas) with a Master's Degree in Conservation Communications to manage AZE sites; and
- Up to 12 local partners gain expertise in designing and implementing strategies to set up reciprocal agreements in their communities.

#### *Outcome 1.3: Improved protected area status in up to 12 AZE sites (public or private), where up to 50% of these sites contribute to unmet objectives of existing protected areas.*

- Net habitat loss avoided (*TBD* hectares) relative to baseline (pre-project rates of habitat change and local control sites) at up to twelve (12) sites, (where half of sites are located protected area buffer zones), by the end of the project;
- Numbers of hectares signed up under reciprocal agreements (ARA) by the end of the project; and
- Number of new landholders per year enrolled in reciprocal agreements (ARA) by the end of the project, and, Frequency of contact with reciprocal agreement technical expert during the project; and

- National or regional level inclusion of reciprocal agreements (ARA) at AZE sites within broader ecosystem service policy institutions by the end of the project.

*Outcome 1.4: Reciprocal agreements (ARA) provide economic and social benefits in each AZE community*

- At the end of the project, all participating communities are implementing reciprocal agreements (ARA)
- Number of municipalities contributing and level of commitment to ARA funding by project end.

#### *Component 1 Outputs and Activities*

The capacity building curriculum for strategic planning and implementation of a Pride campaign is built on a generic theory of change and a “theory of change” specific to each site. The generic theory of change for all campaigns in the AZE Andes cohort links three components: (i) changes in cognitive and affective attitudes toward behavior change (K + A + IC), (ii) a conservation strategy that removes barriers to behavior change (BR), and (iii) the conservation results which require specific reductions in threat from behavior change (BC → TR → CR), as illustrated in Table 7.

**Table 7 Theory of Change Framework**

(K Knowledge	+ A Attitudes	+ IC ) Interpersonal Communication	+ BR Barrier Removal	(→ BC Behavior Change	→TR Threat Reduction	→CR) Conservati on Results
Pride training and social marketing builds local recognition of benefits to water and global biodiversity by conserving natural habitat of AZE species in selected small scale watersheds of the Andes			A Reciprocal Agreements for Watershed Services (ARA) program reduces costs for landholder conservation commitment	Human behavior changes to protect biologically and hydrologically sensitive habitat and species, improving their status compared to baseline scenarios and change at control sites.		

*Source:* adapted by Rare Conservation

The curriculum for change agents in conservation begins with science tools to understand the needed conservation results and methods for monitoring impact. Capacity is built in the use of tools for analysis of each step backward through the causal chain, from concept modeling of threats, to identification of feasible change targets, to design of the ARA institutions, and the social marketing research including audience segmentation, in-depth and survey analysis of stakeholders.

Previous research on Pride campaign impact has shown, however, that careful recruitment and screening of candidate partner organizations and campaign managers is crucial to campaign impact. The criteria used in selecting campaign organizations and managers includes the following (i) Feasibility of conservation impact on target: AZE habitat, (ii) Qualification, preparation, and availability of campaign manager for 2 years full-time; (iii) Appropriateness and feasibility of the conservation strategy: in this case, the implementation of reciprocal agreements for watershed services, (iv) Availability of at least half-time PWS extensionist; and (v) Potential for campaign impact sustainability through national or regional absorption of local system of rewards for conserved areas .

Following this criteria, a set of recruiting and application steps have been developed to analyze the local

organizations with higher potential and interest to replicate the scheme. The key recruiting steps include:

- 1) *Experts meetings.* Meetings developed with experts on incentives schemes in AZE sites in the Andes Aims to gather from selected information on ongoing incentives projects in the region, perspectives on thematic incentives schemes that could be developed, along with key players, and relevant guidance for recruiting. For the AZE-Andes cohort experts meetings were held in March 10<sup>th</sup> in Quito, Ecuador; March 12<sup>th</sup> in Bogotá, Colombia; and March 17<sup>th</sup> in Lima, Peru; Workshop outputs have been reported as part of the PPG document
- 2) *Expression of interest.* Through an open call for applications, interested organizations submits electronically an expression of interest providing key basic information on their site and organization. Expressions of interests received are analyzed and a set of preselected candidates chosen to develop a more in-depth fit assessment. For the present cohort a specific call for applications on ARA projects was created by mid march 09, and published and distributed through key posting channels in 5 Andean countries.
- 3) *Fit assessment.* After submission of expression of interest, screened candidates are invited to participate in in-depth phone interviews. As part of this phase, a recruitment workshop is conducted, specially designed for decision makers and Directors of preselected organizations, who can directly interact with Rare staff for two and one-half days. Through specific exercises, study cases and structured discussions, participants acquire an in depth understanding of project scope, opportunities and challenges, developing a self-assessment of readiness and fit for the technical and financial commitments for conducting Pride campaign capacity around a reciprocal agreements strategy. Through these discussions, interactive exercises and personal interviews Rare obtains key information about every organization and its potential and commitment level towards the project. For the AZE Andes cohort, the Workshop was held in May 18-20 in Cartagena, Colombia and Workshop outputs have been reported as part of the PPG document
- 4) *Complete application.* Through workshop results analysis, highly scored institutions were invited to submit a complete application, through a specific format created for this purpose, on it, applicants provide details on the proposed site and its feasibility for the selected theme (i.e. ARA schemes), campaign manager candidate profile, and institutional capacity to provide the counterpart and support required. Information is then analyzed, identifying major strengths and concerns for each case.
- 5) *Interviews.* Based on applications information, in depth interviews are conducted with Director and campaign manager candidates to obtain more details on specific issues such as the financial counterpart, campaign manager availability, site appropriateness etc
- 6) *Final Selection.* Based on all the information already gathered, Rare's panel selection scores the applications and selects the 12 final approved campaigns.

For this project, for the AZE –Andes cohort steps 1 – 6 have been completed and through this process more than 150 organizations submitted an expression of interest. Of these, 27 organizations were pre-selected as high priority to develop further research and detailed evaluation. Derived from these, 21

organizations participated in the Recruiting workshop, and 24 completed applications or proposals for an ARA scheme through Pride, fulfilling Rare's recruitment requirements. Among these Rare feels confident about selecting the 12 final sites. Nonetheless step 5 and a final selection is still pending, based on the ability to finalize MOU's establishing technical and financial commitments between Rare and the local organization.

At project submission, due diligence was complete on 24 candidate partner organizations. For each partner organization candidate, capacity and human resources will be above minimum thresholds for an expected positive result from a Pride campaign matched to an ARA strategy. Candidate sites must all meet the qualification criteria for the feasibility and appropriateness of the ARA methodology. Past Pride campaign implementation has shown that a written MOU committing the implementation partner organization to cost-sharing personnel and implementation costs is a key determinant of campaign success. Final selection of the implementation partners for up to 12 AZE sites cannot be made until the approval of GEF resources permits Rare to enter into negotiations with each partner organization on the terms of an MOU. With 24 strong candidates to choose from, it will be possible to reconcile the goals of assembling a cohort of sites with matched control sites allowing for impact measurement. Negotiation of final agreements cannot occur before funding is assured, since only then is Rare able to offer contractual commitments to candidate organizations. Upon completion of multi-criteria analysis of 24 complete applications, 12 sites will be selected. An MOU will be completed between Rare and each organization establishing management roles and responsibilities and financial commitments. The MOU will orient partner organizations on their role in the governance structure of the GEF AZE cohort, and the authorities and responsibilities of the lead agency, the lead agency's associated conservation partners, and, Rare's training and cohort management teams. By January 1<sup>st</sup> 2010, MOU completion will allow the establishment of baseline status of protection at chosen sites using the GEF tracking tools and establish target levels of protection intended by campaign completion. Upon selection, partner organizations at AZE sites begin logistical and pre-learning activities, including acquisition of computers and other equipment. Each campaign will begin the process of developing a customized TOC for their site and a 2 year campaign strategy. Contacts with species and habitat monitoring consultants will establish a schedule for measurements establishing technical baselines. All campaign managers will then pass through 5 phases of training and campaign implementation.

The Component 1 activity is the Rare Pride Campaign, the component's sub-activities and outputs include the following:

- *Sub-activity 1.1: Network of pilot AZE site projects established.*  
*Outputs:* Sites selected and campaign managers are enrolled in the Pride program.
- *Sub-activity 1.2: First university training phase – (modules 1 & 2).*  
*Outputs:* Up to 12 Rare Pride campaign managers from AZE sites complete 9 weeks of initial training at Rare's training center in Guadalajara, Mexico, including workshops in public speaking, network development.
- *Sub-activity 1.3: Campaign planning.*  
*Outputs:* Campaign managers complete formative research, including a) site description, b) stakeholder meetings, c) concept models, d) risk and threat rankings, e) focus groups and surveys f) potential reciprocal agreement options identified, and g) final campaign plan for up to 12 Rare Pride campaigns, each targeting up to 150,000 inhabitants of a critically threatened AZE site.
- *Sub-activity 1.4: Second university training phase—(module 3).*  
*Outputs:* Up to 12 Rare Pride campaign managers complete 5 weeks of training at Rare's training center Guadalajara, Mexico, in social marketing messaging, campaign activities, and campaign design.
- *Sub-activity 1.5: Technical support for reciprocal agreements.*  
*Outputs:* Options identified and available for community-based reciprocal agreements a) up to twelve functioning reciprocal agreements documented at 12 AZE sites, b) site assessment

and incentive program design report and final report; diffusion of innovation curves produced for each site, c) quarterly reports from reciprocal agreement expert on progress made by each partner available on RarePlanet.org, d) household income survey administered to adopters and non-adopters of incentive agreements, pre and post campaign.

- *Sub-activity 1.6:* First campaign support visit.  
*Outputs:* Trip reports describes each campaign status after the first one week visit for 1-on-1 personalized support by their Rare mentor in the first quarter of campaign implementation.
- *Sub-activity 1.7:* Second campaign support visit and report.  
*Outputs:* Trip report documents the campaign site visited for the second one week of 1-on-1 personalized support by their Rare mentor in the third quarter of campaign implementation.
- *Sub-activity 1.8:* Third university training phase – (module 4).  
*Outputs:* Up to 12 Rare Pride campaign managers complete 4 weeks of final training at Rare's training center in Guadalajara, Mexico, in critical thinking and results analysis, designing a final presentation of results for different audiences, sharing knowledge among the network, and developing a follow up plan and final campaign report available on RarePlanet.org.

**Component 2: Effectiveness Analysis: Evaluate Replicable Network Effects of using Pride Methodology to boost the impact of a strategy of reciprocal agreements**

The impact of a networked cohort of conservation campaigns using the same conservation strategy requires evaluation for behavioral change, change in species and habitat status, and causal influence of the campaign and the barrier removal strategy compared to control sites. Component 2 of the project will demonstrate the replicable network effects of Pride and reciprocal payment schemes. Inherent in the development of a network of AZE sites replicating a successful conservation strategy is creating tools to disseminate best practices and the ability to provide solid evidence that the Pride method works and merits replication at other sites. Under Component 2, the expected outcomes and corresponding verifiable performance indicators include:

*Outcome 2.1 Measurable expansion in network of support for AZE sites.*

- Online toolbox for reciprocal agreements, including curricula, monitoring protocols, and best practices created and updated throughout the project.
- Initiation of designs for new reciprocal agreements at other AZE sites by the project's end

*Outcome 2.2 Measurable uptake of best practices in social marketing of incentives that strengthen terrestrial protected area networks*

- Uptake of reciprocal agreements at sites with Pride campaigns is sooner than at randomized control sites without Pride campaigns, demonstrated by the end of the project.
- Research results identify the refinements needed in Rare's theory of change that links: a. changes in knowledge, attitude and social interaction with; b. an incentive scheme, with; c. behavior change leading to conservation results by the end of the project.
- Refinements to theory of change are applied to Pride campaign methodology by the end of the project.

*Outcome 2.3 Pride campaigns achieve positive results on biological indicators of threat reduction and ecosystem integrity at a network of AZE sites*

- Improved status of indicator species or proxy indicator by the end of the project.
- Improved habitat conservation status by the end of the project.

### *Component 2 Outputs and Activities*

Pride campaigns are an effective and replicable method for conservation behavior change. With the support of contracted experts in reciprocal agreements, Rare will produce an online toolbox for reciprocal agreements that will include promotional materials, templates for agreements, as well as a checklist and self assessment tool. Rare cohort manager will also establish and build community of practice for campaign managers, supervisors, and technical experts in reciprocal agreements. Rare will develop an outreach and communications plan that will disseminate results of the AZE network more broadly and support the uptake of reciprocal agreements beyond the AZE tropical Andes sites.

In order to ensure that adaptive management principals are applied to Pride campaign methodology and ensure that Pride campaigns really accelerate the uptake of conservation strategies, Rare has designed a randomized control study. Qualitative interviews will be done at a subset of sites + control sites in month 12 of the campaign. Survey data will be analyzed from Pride campaign treatment areas and compared to randomized control sites. Multi-variance statistical techniques and qualitative interviews will be done to assess the campaign's Theory of Change, and publications prepared to document and disseminate best practices in Pride and reciprocal agreements. These activities have been designed to answer key questions, including: What is the decision making process of farmers/land-owners who adopt reciprocal agreements and those who do not? Where do bottlenecks in Rare's Theory of Change develop and why do they develop there? What is the role of (1) exposure to more or fewer Pride activities and (2) type of activities on amount of behavior change? What is the role of the campaign's flagship species (the campaign mascot) within the context of our Theory of Change? How is it interpreted by different audiences? What is the role of "pride" in local environment versus the role of demonstrated self-interest (economic, health, cultural) in the adoption of promoted behavior; do people need to see benefit to them? How much of the behavior change is explained by (1) level of income (2) source of income/livelihood, and (3) percent of income/livelihood from resource. How do members of the local population understand their relationship to the environment and their understanding of ecosystem services before and after the Pride campaign?

Rare will work with its partners including the University of Texas (El Paso), as well as experts contracted for survey design and analysis. Data will be collected during the campaign planning process by the campaign managers using both qualitative and quantitative data methods (focus groups, in depth interviews, and pre and post campaign surveys). An expert will be contracted in year 2 and 3 to analyze the data and produce a summary of results. Rare will be responsible for ensuring that all campaign formative research is stored and available on RarePlanet, and provided to the technical experts. The technical experts will be responsible for provided the results of their data analysis and all information on the progress of project indicators in their reports. A more detailed account of this study design is available in Annex x.

Pride campaigns achieve results linked to biological indicators of threat reduction and secure conservation results at a network of AZE sites. Key to the project's success is the ability to demonstrate threat reduction and conservation results with biological indicators, including species data and hectares of new habitat protected. Activities have been designed to answer the follow questions: How does the amount of land conversion (baseline to project completion) change over the course of the Pride campaign? How much habitat has protected status of some kind within target area? What is the change in percent natural habitat change? What is the change in water quality downstream from agricultural zones with reciprocal agreements and without reciprocal agreements? Are there any changes in key indicator species in the target area? How can each site be assessed following Birdlife's Pressure, State, Response model for monitoring?

To achieve this, Rare will work in partnership with Birdlife International and the National Audubon Society. The National Audubon Society will contribute to the design of a monitoring protocol that will meet the Open Standards for monitoring project success compiled by the Conservation Measures Partnership, and that will fit into other monitoring protocols being implemented across the region. Birdlife International, through its Regional Office for the Americas, will design specific monitoring protocol for each site that will fit into a regional framework for monitoring at AZE sites (including all 12 sites supported by this project, as well as other AZE sites outside of the scope of this project). Birdlife

International will design the protocol, train and equip local partners at each site, and collect baseline data at each site within the first six months of the project. A second round of data will be collected at each site at the end of the third year of the project. Birdlife International will also have access to imagery of habitat change collected by Rare for analysis, and will prepare yearly reports for the project management and advisory committees.

- *Sub-activity 2.1: Activities Measurable expansion of network of support for AZE sites*  
*Outputs:* (a) online toolbox for reciprocal agreements prepared, including promotional materials, templates for agreements, a checklist and self assessment tool, (b) establish and build community of practice for campaign managers, supervisors, and technical experts in reciprocal agreements, (c) outreach and communications plan prepared to disseminate results of the AZE network
- *Sub-activity 2.2: Activities measurable uptake of best practices*  
*Outputs:* (a) qualitative interviews done at a subset of sites + control sites in month 12 of the campaign, (b) survey data analyzed from Pride campaign treatment areas compared to randomized control sites, (c) multi-variance statistical techniques and qualitative interviews done to assess the campaign's Theory of Change, and (d) publications prepared to document and disseminate best practices in Pride and reciprocal agreements
- *Sub-Activity 2.3: Activities Pride campaigns achieve results linked to biological indicators of threat reduction and secure conservation results at a network of AZE sites*  
*Outputs* (a) habitat and species monitoring protocol established and applied at up to 12 AZE sites, (b) baseline remote sensing acquired pre and post campaign, (c) monitoring protocol designed and biological indicators established and published on RarePlanet.org, and (d) site monitoring reports prepared pre and post campaign; summary of remote sensing findings prepared pre and post campaign; and annual reports on RarePlanet.org.

### **Component 3 Project Management**

Component 3: Project Management. The project managers must organize an implementation, reporting and monitoring of process and conservation results in coordination with numerous stakeholders. Component 3, expected outcomes and verifiable indicators include:

- Outcome 3.1: Effective project management results in the Project completed in a timely and cost-effective manner
- Indicator: The project at mid-term has, at minimum, a rating of satisfactory at project completion, at minimum, satisfactory.

#### *Component 3 Outputs and Activities:*

Project management responsibilities include establishment of Supervision and coordination structures and implementation structures. These shall provide for communication mechanisms including a clearly established schedule of meetings for each of the five bodies responsible for management: Advisory council, Management Team, Implementation Team, Global support team, and the Campaign team. Roles and responsibilities need to be established and revisited on a regular schedule in the relationship between autonomous implementing partners, Rare staff, and the campaign manager and extensionist chosen for the campaign. Key engagements between the Management Team, Implementation team and the campaign team will occur at the project inception meeting in early 2010, and again at the 3<sup>rd</sup> university phase where campaign managers graduate and progress on sustainability is evaluated. Organizational structure is illustrated in Figure 1, institutional and implementation arrangements are detailed in section 2.4 above; report responsibilities are detailed in Appendix 8.

Rare staff must insure that the implementation regularly consults and informs the management teams, where AZE experts, species and habitat monitoring specialists, and randomized control management specialists must inform the content and schedule of decisions on measurement of campaign impact. Site visits by Rare staff supporting ARA, by monitoring specialists, and campaign training support require

scheduling to avoid occupying the campaign at strategic points requiring attention to community engagement. Component 3 sub-activities and outputs include the following:

- *Sub-activity 3.1:* Cohort launch proposal and cohort/project inception meeting

*Outputs:* Finalized logframe, M&E plan

- *Sub-activity 3.2:* Activities Project supervision

*Outputs:* Project management documents, M&E reports; Advisory Committee reports; Mid-term Report; Terminal Report

### **Intervention logic, key assumptions, risk analysis and risk mitigation measures**

Under component 1 of this project, we assume that it will be possible to select 9-12 sites in Andean countries where a Pride campaign manager and ARA extensionist can be trained and be able to implement a campaign to successfully recruit land owners to protect multiple-benefit habitat (biodiversity and water services) in return for a customized form of livelihood assistance. We also assume that the landowner incentives and community solidarity built by the campaign around reciprocal agreement norms will also induce municipalities to contribute resources to cover some of the costs of the livelihood assistance offered to landowners. Achievement of these outputs is expected to result in outcomes on local attitude and behavior change regarding habitat protection, increased local capacity to manage habitat in protected area buffer zones, reduced habitat loss and species decline in targeted micro-watersheds and enhanced livelihoods for participants. The cumulative effect of these outcomes is expected to achieve the goal of strengthening protected area networks in Andean countries, and lead to the sustainable conservation of AZE biodiversity sites in the region.

Under Component 2 of this project, the key assumptions are that a network of campaigns that build Pride capacity towards a common habitat protection tool (the ARA) will result in an online toolbox for learning and strategy implementation that generates local and regional replication of this strategy which favors AZE species conservation. We assume that, with research partners carefully measuring campaign techniques and campaign impacts on habitat and biodiversity relative to randomly and non-randomly selected control sites, it will be possible to establish whether Pride campaigns do or do not accelerate uptake of behavior change relative to sites offering only ARA incentives or in sites with neither incentives nor Pride campaigns. We assume that the “critical mass” created by this number (9-12) of campaigns using the same strategy will generate the volume of interaction on <Rareplanet.org> and in other forums where the measured effectiveness of this approach is reported, that its replication will be accelerated compared to other sites in the region.

In the PIF for this project, Rare described how we expected that we would need to develop campaigns around differentiated threat reduction incentives for AZE sites—social marketing interventions that would work with local communities to reduce the most important causes of deforestation in their local context. However, as the next section shows, by analyzing the range of all possible livelihood alternatives, from sustainable forestry to ecotourism, we have advanced greatly in our analysis of what threat reduction strategies are most likely to work in the Andes, and concluded that some strategies may be more effective than others.



The identification of ARA as the pre-determined conservation strategy for AZE sites, for which Pride social marketing capacity can boost uptake, replication and sustainability, is an adaptation to risks identified in the project planning phase. By identifying a conservation strategy and searching for partners according to their interest in this strategy before partnering starts, Rare is being pro-active in seeking partners with a shared commitment to the same conservation approach. Since the ARA approach requires little external policy support in its initial phases, partners are able to assume responsibility and control over the means of strategy implementation. This reduces the risk of discovering after partners are selected that the necessary conservation incentives are outside the realm of their influence, or that another strategy could be more effective.

The ARA approach will be new for many of the chosen partner organizations, and early disillusionment is possible. This risk will be minimized by bringing campaign managers and ARA extensionists together with the Directors of the partner organizations (who indeed nominate and supervise campaign managers) at each university phase, at which time the customized theory of change can be reviewed and discussed. The ARA specialist will be available and provision will be made for site visits to resolve critical uncertainties. Systematic monitoring of capacity to manage ARA implementation will be conducted through bi-weekly teleconferences between Rare Pride Program Managers (PPMs). Regular site visits will be conducted by PPMs. Weekly flash reports on <RarePlanet.org> will identify problem sites and the need or otherwise for intervention from the Regional Director and Vice President.

The sustainability of the ARA approach depends on the assumption of a growing local concern about the decline in water availability for irrigation or hydropower, and about sediment and pollutant free drinking water. Concerns about water availability and quality wax and wane depending on national security and economic issues. ARA cannot promise to solve all community water problems, but its reinforcement of modest norms of support for those upstream agriculturalists who can least afford the opportunity costs of conservation is also a strength. The relatively small costs needed to sustainably finance reciprocal agreements makes them sustainable even when environmental concerns are not at the top of the headlines.

Partner organizations may encounter community resistance to the ARA approach. In some regions ARA may be politicized by opponents as “water privatization.” Mitigation for this risk is through the engagement of a specialist ARA consultant who can advise the campaigns. Pride campaign planning includes stakeholder assessment and threat assessment processes that take politicization risks into account, and enable campaign messaging to be adapted accordingly.

Land ownership and land occupancy are issues which will demand particular attention. Given the ethnic origin of much of the Andean population, there is a high probability that the 12 ARA-Pride campaigns will involve indigenous groups with specific social and cultural norms. Indeed, indigenous groups have been attentive to the need to establish free, prior and informed consent for any agreements establishing land use easements. Rare's partners at Conservation International's Indigenous Initiative working in the Andes region have established best practices for the engagement of conservation organizations with indigenous groups, which will be incorporated into the university training for campaign managers. With migrants occupying lands of uncertain tenure, the establishment of agreements recognizing their responsibility for land stewardship may be valuable simply for the presumption of land tenure this creates. Large landholders, on the other hand, can use land easements as a form of insurance against land occupation. A premise of the ARA approach, however, is that rural Andean communities have always managed agreements over property use despite uncertain official land tenure. Important mitigation measures must nonetheless require that each organization review areas considered for contracts according to their vulnerability for rapid changes in tenural claims, and that they be aware of any use of the agreements as pretext to other tenural objectives.

Additional risks are related to the campaign managers in the partner organizations. This project assumes that the opportunity to obtain a Master's degree from a university in the United States is a powerful

incentive for campaign managers to be fully committed to the campaign. There is a risk that campaign manager candidates will lack the university degree qualifications needed to matriculate. Risk mitigation has been to pre-qualify sufficient partner organization candidates so that if a campaign manager cannot be identified at the time of MOU signing (October 2009), another qualified organization can be selected.

Campaign managers can also drop out of the training program before their 2-year training is complete, or they can be released for inadequate performance. A thorough vetting of relationships between campaign managers and directors of partner agencies for their compatibility will minimize this risk. Risks of organizational dysfunction and eventual dissolution are addressed through the thorough vetting of the financial status of the candidate organizations in the recruitment and selection phase. For these reasons, the pre-selection process for partner organizations places emphasis equally on institutional capacity and the identification of appropriate and committed campaign managers.

## Appendix 10: Organizational Chart and Decision Making Flowchart

The figure below is the organization chart which illustrates the relationships between partners in the project followed by the decision making flowchart will illustrated shows key decision points in the progress of the project..

At each site, Rare's implementation team, led by the local partner, will conduct stakeholder consultations about reciprocal agreement mechanisms involving local and national government officials. Many countries, including Ecuador and Peru, have recently passed legislation providing a juridical framework for payments for watershed services. Stakeholder meetings about reciprocal agreements are intended to discover juridical means to "nest" these grassroots mechanisms within the legal requirements of national and regional laws. Rare will report to the Advisory committee

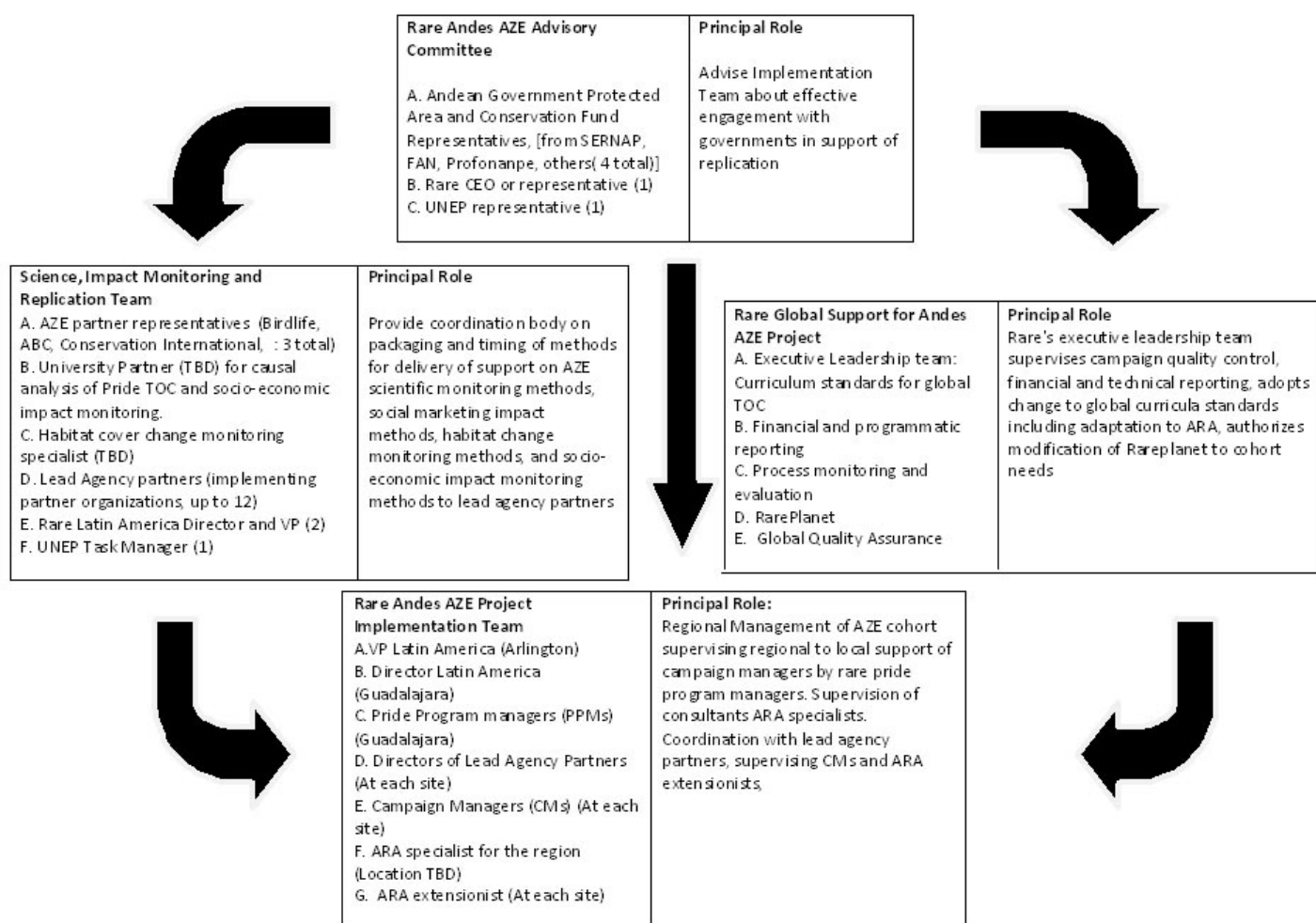
The project's primary operational unit in Rare is its Regional Office for Latin America, based in Guadalajara, Mexico. Primary line management functions are conducted by Rare's Pride PPMs in Latin America. They will mentor and supervise the implementation of training and technical support for Pride social marketing campaigns at AZE sites. Rare's regional Alumni Manager provides support to Pride campaign managers who have completed the program, keeping them engaged in the network, sharing lessons learned among sites, and connecting them to new opportunities. Figure 2 illustrates operational responsibilities.

Rare quality control, curriculum development staff, and <RarePlanet.org> staff will provide cross-cutting support to the implementation team as part of their responsibility for providing coherence in Rare global recruitment, training, and information dissemination. For this project these crosscutters are designated as the Rare Global Support for Andes AZE Project Team (Global Team). This Global Team also includes Rare's financial and project management staff responsible for supporting the Implementation Team in the timely delivery of financial reports. Under Rare's policy and procedures, the Andes AZE Implementation Team will hold monthly teleconference meetings with the Global Team reporting on progress and challenges to capacity building and campaign implementation. Flash reports on campaign status, including campaign rankings, financial status and progress on campaign documentation through <RarePlanet.org> are reviewed at these meetings. Rare's Executive Managers participate in the monthly teleconferences and retain authority to adjust practices of the implementation team. <RarePlanet.org> will be an important tool to provide open and transparent access to the project's progress.

Rare has also established key milestones at which campaign progress is evaluated, and the potential for conservation impact from the campaign is assessed. The continuation of campaign managers in the degree program is contingent upon successfully meeting quality criteria at these points. The first milestone is the university return approval, a decision taken three weeks before the second university training phase. At this point the quality of products, including stakeholder analysis, concept modeling, and conservation strategy feasibility analysis, are considered. Rare executive management for global programs has authority at these decision points to override regional management decisions based on data compiled from campaign status reports and progress. Consistency with degree requirements of The University of Texas (El Paso) are reviewed.

A meeting of the Science, Impact Monitoring and Replication Team will be convened at project approval by the GEF. This Team includes AZE partner representatives (BirdLife International, ABC, Conservation International), Lead Agency partners, and the Rare Latin America VP and Director. At this meeting a schedule for coordination of support to Component 2 activities by outside experts at campaign sites will be developed. At quarterly intervals during campaign planning and implementation, the VP for Latin

America will convene teleconferences with the Project Management Team to review the progress on the integration of biological and behavior change monitoring with campaign capacity building and the management of control sites. At the discretion of the Director for Latin America, one Pride Program Manager will be assigned the role of AZE Cohort Component Integration Manager to assure the day-to-day coordination of outside participants at partner sites. Outside participants include the monitoring specialists, behavior change specialists, and ARA specialist. The Science, Impact Monitoring and Replication Team has the responsibility of clarifying the standards for selecting and implementing control sites and reviewing the consistency of local implementation with scientific standards. This team will be asked to provide independent review of the status of objectives under Component 2 at mid-term and project termination.





Decision Making Process	12 wks	24	36	48	60	72	84	96	108	120	132	144	
Decision Points in Process	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
1 Signing of MOU with Lead Agencies													
2. Convening AZE Project Component Tracking Team													
3. PPMs assist CM matriculation													
4. Establish Baseline for Tracking Tools													
5. Inception Meeting and First Convening of Advisory Committee													
6. CMs begin 1st University Phase													
7. Monitoring baseline measurement and ARA extensionist Training													
8. Rare Implementation and Global Support Teams Evaluate Campaign Effectiveness													
9 2nd University Return													
10 Midterm and Terminal Project Assessment													
11 ARA specialist and PPM site visits													
12 Final University Return Phase													

## **Appendix 11: Terms of Reference(s)**

The Terms of Reference for the Project's key technical responsibilities and consultants include the following specialists:

1. Biological Monitoring (Subcontractor)
2. Reciprocal Agreement Technical Expert (Consultant)
3. Impact and Effectiveness Experts (Subcontractor)
4. Remote Sensing (Subcontractor)

## 1. Terms of Reference

### Biological Monitoring

#### Introduction to Rare

Rare is a fast growing, international environmental organization that runs social marketing campaigns in more than 40 countries. Named to Fast Company magazine's list of "Top Social Capitalists" for the last four years in a row, Rare is committed to bringing a spirit of entrepreneurship and creativity to solving one of this century's great challenges – building public support for conservation.

Rare is seeking the support of **Biological Monitoring Experts at Birdlife International** as part of the "Communities of Conservation: Safeguarding the World's Most Threatened Species" project. This project will be submitted to the United Nations Environment Programme (UNEP) represented by its Division of Global Environment Facility Coordination (UNEP/DGEF). The main objective of the project is to strengthen terrestrial protected area networks in Peru, Bolivia, Ecuador, Colombia and Venezuela to effectively conserve key sites in the tropical Andes, featuring Alliance for Zero Extinction (AZE) identified habitats populated by species that are globally critically endangered. The vision of this project is to turn the tide of habitat loss and species extinction at a "pilot" suite of AZE sites and in the process demonstrate a practical, replicable, networked, and scalable approach to community-based conservation that can be applied to other AZE sites around the world.

#### Specific Duties

The **Biological Monitoring Experts** will support Rare staff on a part-time contract basis throughout all phases of the project, for an estimated 3 year time frame beginning in January, 2010.

The **Biological Monitoring Experts** will possess the appropriate technical skills to study the biological impact of Pride at up to 12 project sites at Alliance for Zero Extinction sites in Venezuela, Colombia, Ecuador, Peru, and Bolivia. By conducting in-person and by long-distance research, the experts will support the review Rare's Theory of Change work by analyzing 1 key aspect of the program: How will we know that Pride campaigns achieve results linked to biological indicators of threat reduction and secure conservation results at a network of AZE sites?

To develop an effective, efficient and sustainable biological monitoring system for the "Communities of Conservation" project, Rare will partner with the BirdLife Secretariat-Audubon to conduct a dual approach to biological monitoring which will:

- Define site-specific monitoring protocols for each of the project sites (Rare Pride campaign sites) that align with the Pride campaign's objectives of reducing deforestation rates caused by agriculturalists.
- Adapt, as required, the IBA monitoring framework (taking into consideration the Open Standards for Conservation developed by the Conservation Measures Partnership) to ensure that it allows data to be effectively compiled from across all project sites, but at the same time fed-back as part of an adaptive management loop.

Duties of the **Biological Monitoring Experts** will encompass the following:



- Review site specific information (12 sites) - develop baseline assessment of existing monitoring data and needs
- Prepare overarching monitoring protocol/framework for all sites, then bring together w/ site specific protocols
- Train monitoring teams on application of monitoring framework and provide guidance on specific protocol
- Conduct Year One Monitoring
- Monitoring Coordination Meeting and Report Development
- Conduct Year Two Monitoring
- Monitoring Coordination Meeting and Report Development
- Conduct Year Three Monitoring
- Monitoring Coordination Meeting and Report Development

*Time Estimated: Part time throughout the life of the project*

*Reporting Structure: This **Biological Monitoring Experts** will report to the Director, Latin America*

**Additional requirements:**

- Fluent Spanish and English required

2.

## Terms of Reference

### Reciprocal Agreement Technical Expert

#### Introduction to Rare

Rare is a fast growing, international environmental organization that runs social marketing campaigns in more than 40 countries. Named to Fast Company magazine's list of "Top Social Capitalists" for the last four years in a row, Rare is committed to bringing a spirit of entrepreneurship and creativity to solving one of this century's great challenges – building public support for conservation.

Rare is seeking the support of a Technical Expert in Reciprocal Agreements as part of the "Communities of Conservation: Safeguarding the World's Most Threatened Species" project. This project will be submitted to the United National Environment Programme (UNEP) represented by its Division of Global Environment Facility Coordination (UNEP/DGEF).

The main objective of the project is to strengthen terrestrial protected area networks in Peru, Bolivia, Ecuador, Columbia and Venezuela to effectively conserve key sites in the tropical Andes, featuring Alliance for Zero Extinction (AZE) identified habitats populated by species that are globally critically endangered.

The vision of this project is to turn the tide of habitat loss and species extinction at a "pilot" suite of AZE sites and in the process demonstrate a practical, replicable, networked, and scalable approach to community-based conservation that can be applied to other AZE sites around the world.

#### Specific Duties

The **Reciprocal Agreement Technical Expert** will support Rare staff on a full time basis throughout all phases of the project, for an estimated 2 year time frame beginning in January, 2010.

The **Reciprocal Agreement Technical Expert** will possess the appropriate technical skills to support and mentor up to 12 partners working at Alliance for Zero Extinction sites in Venezuela, Colombia, Ecuador, Peru, and Bolivia. By conducting in-person site visits and by long-distance mentoring, the expert will work with a dedicated staff person within the partner agency to assess, design, implement, adapt, and monitor new reciprocal agreements. The specialist will work together with Rare staff, in conference with UNEP, to help define project collaboration, communications, and reporting processes, including stakeholder engagement processes. As part of the Project management team, the goal is to ensure project implementation in a seamless manner.

Duties of the specialist will encompass the following:

- **Develop a mentoring training plan for local extensionists:** The technical expert will work one-on-one with each extensionist and his/her supervisor to assess the extensionist skills, and design and monitor a personal development plan to him/her.
- **Assess:** The technical expert will design an assessment process to document the readiness for reciprocal agreements at each site, with the support of the local extensionists that identifies any risks and proposes a mitigation strategy.
- **Design:** Based on that assessment, the technical expert will assist the lead agency partners designing the reciprocal agreements at each site. The technical expert will ensure that the work of the extensionist and the Pride campaign manager is coordinated and provide feedback into the development of the Pride campaign implemented at each site.

- **Implement:** The technical expert will provide mentoring and support to the extensionist and the lead agency in the implementation of the agreement, and provide documentation (in writing, in photos, video, other communications media) of progress at each site.
- **Revise and Adapt:** During the implementation phase of the reciprocal agreements, the technical expert will design a feedback system to ensure that lessons learned are documented and incorporated into the methodology.
- **Monitor:** Monitoring will take place throughout the set up of the reciprocal agreements. The technical expert will participate as a member of the project management team and provide reporting on a regular basis.

*Time Estimated: Two Years, full time Rare contract position (paid monthly)*

*Reporting Structure: The position will report to the Director, Latin America*

**Additional requirements:**

- Fluent Spanish and English required
- Experience in mentoring and coaching preferred

3.

### Terms of Reference

#### Impact and Effectiveness Experts

##### Introduction to Rare

Rare is a fast growing, international environmental organization that runs social marketing campaigns in more than 40 countries. Named to Fast Company magazine's list of "Top Social Capitalists" for the last four years in a row, Rare is committed to bringing a spirit of entrepreneurship and creativity to solving one of this century's great challenges – building public support for conservation.

Rare is seeking the support of **Impact and Effectiveness Experts** as part of the "Communities of Conservation: Safeguarding the World's Most Threatened Species" project. This project will be submitted to the United National Environment Programme (UNEP) represented by its Division of Global Environment Facility Coordination (UNEP/DGEF). The main objective of the project is to strengthen terrestrial protected area networks in Peru, Bolivia, Ecuador, Columbia and Venezuela to effectively conserve key sites in the tropical Andes, featuring Alliance for Zero Extinction (AZE) identified habitats populated by species that are globally critically endangered. The vision of this project is to turn the tide of habitat loss and species extinction at a "pilot" suite of AZE sites and in the process demonstrate a practical, replicable, networked, and scalable approach to community-based conservation that can be applied to other AZE sites around the world.

##### Specific Duties

The **Impact and Effectiveness Experts** will support Rare staff on a part-time contract basis throughout all phases of the project, for an estimated 3 year time frame beginning in January, 2010.

The **Impact and Effectiveness Experts** will possess the appropriate technical skills to study the impact of Pride at up to 3 project sites at Alliance for Zero Extinction sites in Venezuela, Colombia, Ecuador, Peru, and Bolivia. By conducting in-person and by long-distance research, the experts will review Rare's Theory of Change work by analyzing 3 key aspects of the program: These research questions fall into 3 basic areas:

- 1) **Behavior Change:** How can we measure the extent and demonstrate the role of Pride campaigns in causing movement through the stages of our ToC?
- 2) **Theory of Change:** How can we ensure adaptive management principles are applied to the Pride campaign methodology and the ongoing refinement of Rare's social marketing strategy?
- 3) **Replicability:** How can we demonstrate that Pride campaigns, including Barrier Removal (BR) strategies like reciprocal agreements, can be replicated to a network of AZE sites to achieve biodiversity conservation?

Duties of the specialist will encompass the following:

<u>Person</u>	<u>Timing</u>	<u>Location</u>	<u>Task</u>	<u>Approximate amount of time</u>
Faculty-level	ASAP	UTEP/Arlington	Investigate how Pride costs are collected and reported by Rare to make sure that cost data are	1 week

<u>Person</u>	<u>Timing</u>	<u>Location</u>	<u>Task</u>	<u>Approximate amount of time</u>
			available for each campaign in a manner that can be clearly documented and used in cost-effectiveness study	
Faculty-level	Pre-1st survey	UTEP	Review & check 9-12 baseline survey questionnaires (Note, many if not most of the questions should be identical given the identical threats and BR tool) to check for question format and that all questions needed for multivariate analyses are included and standardized.	1 week
3 Graduate students	1st survey	Field: 3 campaigns	Help with creating sample frame, sample selection protocol, training of interviewers, overseeing of field work, data entry protocol @ 3 campaigns	1 month at each of the 3 campaign sites
Faculty-level	Post-1st survey	UTEP	Merge 9-12 <i>SurveyPro</i> data files into 1 SPSS database, do basic frequency analyses to make sure all the data imported correctly.	1 week
Faculty-level	Post-1st survey	UTEP	Write interim report that gives results of baseline surveys at 9- 12 sites comparing the sites on all independent variables to assess comparability of treatment and comparison/control sites both on a (1) paired basis (each treatment to its control) and (2) across the 12 sites.	2 weeks
Faculty-level & grad students	Mid-campaign	UTEP	Design qualitative research component and write up research plan. Including research questions, interview guides, focus group guides, list of who to interview, where to conduct interviews, when to do them	2 weeks
3 graduate	Late-	Field: 3-12	Implement qualitative research in	2 months per

UNEP Project Document Appendices

Rare/UNEP Communities of Conservation: Safeguarding the World's Most Threatened Species

<u>Person</u>	<u>Timing</u>	<u>Location</u>	<u>Task</u>	<u>Approximate amount of time</u>
students	campaign	campaigns	field including at both treatment and control/comparison areas	grad student
Faculty-level	Pre-2nd survey	UTEP	Review & check 9-12 post-campaign survey questionnaires to check for question format and that all questions needed for multivariate analyses are included and standardized.	1 week
3 Graduate students	2nd survey	Field: 3 campaigns	Help with creating sample frame, sample selection protocol, training of interviewers, overseeing of field work, data entry @ 3 campaigns	1 month at each of the 3 campaign sites
Faculty-level	Post-2nd survey	UTEP	Merge 9-12 post-campaign <i>SurveyPro</i> data files into the SPSS master database, Conduct multivariate statistical analyses and write papers/reports to answer questions outlined in KAP impact and ToC assessment tabs.	3 months
Faculty-level & grad students	Post-campaign	UTEP	Faculty-level oversees grad student analysis of qualitative data and write reports/papers	2 months/grad student; 1 week for Faculty-level
Faculty-level	Post-campaign	UTEP	Obtain cost data from Rare and analyze results from perspective of cost-benefit analysis	1 month
Faculty-level	Pre-3rd survey	UTEP	Review & check 3 post-campaign survey questionnaires to check for question format and that all questions needed for multivariate analyses are included and standardized.	1 day
3 Graduate students	3rd survey	Field: 3 Campaigns	Help with creating sample frame, sample selection protocol, training of interviewers, overseeing of field work, data entry @ 3 campaign sites	3 months per grad student
Faculty-level	Post-3rd survey	UTEP	Merge 3 post-campaign <i>SurveyPro</i> data files into the SPSS master database. Conduct multivariate	2 months

<u>Person</u>	<u>Timing</u>	<u>Location</u>	<u>Task</u>	<u>Approximate amount of time</u>
			statistical analyses and write papers/reports to answer questions outlined in KAP impact and ToC assessment tabs. Special focus on replication of previous findings and long-term impact of Pride.	

*Time Estimated: 19 weeks of Faculty-level work in qualitative analysis; 13 weeks of Faculty-level quantitative analysis; and 24 months of graduate student-level qualitative & quantitative analysis*

*Reporting Structure: This contractor will report to the Director, Latin America*

**Additional requirements:**

- Fluent Spanish and English required

4.

### Terms of Reference Remote Sensing Subcontract

#### Introduction to Rare

Rare is a fast growing, international environmental organization that runs social marketing campaigns in more than 40 countries. Named to Fast Company magazine's list of "Top Social Capitalists" for the last four years in a row, Rare is committed to bringing a spirit of entrepreneurship and creativity to solving one of this century's great challenges – building public support for conservation.

Rare is seeking the support of a Technical Expert in Reciprocal Agreements as part of the "Communities of Conservation: Safeguarding the World's Most Threatened Species" project. This project will be submitted to the United Nations Environment Programme (UNEP) represented by its Division of Global Environment Facility Coordination (UNEP/DGEF).

The main objective of the project is to strengthen terrestrial protected area networks in Peru, Bolivia, Ecuador, Colombia and Venezuela to effectively conserve key sites in the tropical Andes, featuring Alliance for Zero Extinction (AZE) identified habitats populated by species that are globally critically endangered.

The vision of this project is to turn the tide of habitat loss and species extinction at a "pilot" suite of AZE sites and in the process demonstrate a practical, replicable, networked, and scalable approach to community-based conservation that can be applied to other AZE sites around the world.

#### Specific Duties

The **Remote Sensing** specialists will use public domain satellite imagery to conduct a spatial analysis of land cover change trends at sites of Rare AZE Pride implementation and at control sites. Analysis will quantify

1. natural land cover trends over the previous 10 years at each site, using automated land cover classification methods.
2. a baseline for natural landcover at project inception at each implementation and control site.
3. a methodology for establishing land cover change trends from project baseline to end of third year of project implementation
4. change in natural land cover over period of project at all implementation and control sites

Specialists will design with Rare the scope of areas analyzed, and standards for acceptable error in land cover classification error.

Duties of the specialist will encompass the following:

- Acquire, classify and quantify land cover at up to 24 sites using best available public domain satellite imagery.
- Design a spatial data analysis methodology allowing change detection comparing change during project period with past land use change trends.
- **Report results, and provide project leaders with processed digital map data and statistical results of change detection analysis.**

*Time Estimated: Part time throughout life of the project*

*Reporting Structure: The position will report to the VP, Latin America*

#### Additional requirements:

- Spatial data analysis experience in multi-site applications



## Appendix 12: Co-Financing Summary

The project co-financing (USD 1,781,511.00 or 51 percent of the total project cost) is supported by either in-kind or outside “donor” contributions. As part of Rare’s Pride campaign Local Area Partners (LAP) commit in-kind co-financing contribution. For this GEF project the in-kind LAP contribution totals USD283,000 (i.e. approx USD 31,444/LAP x 9 Pride campaigns). This sub-total represents 16% of the total co-financing commitment. The breakdown of the \$283,000 LAP co-financing commitment consists of USD 120,000 dedicated to barrier removal and USD 163,000 to Pride Campaign Manager’s salary and benefits. Memorandum of Understanding’s (MOU’s) securing LAP co-financing commitments will be in place no later than January 1, 2010.

**The co-financing commitment letters for the 12 selected LAPs are attached - see separate file.**

Rare has available in its reserves the remaining co-financing (USD 1,498,511 or 84 percent) for timely project implementation. However, Rare will continue through Rare’s fundraising efforts to leverage GEF funds through access to the “donor” community. As it has for previous Pride campaigns, fundraising will draw from private individuals, foundations and corporations. Rare will conduct on-going fundraising for this project until 100% of the co-financing commitment is met. Semi-annual financial reports will document Rare’s match. For record, Rare has conducted over 158 Pride campaigns with a 100 percent track record towards funding Pride campaigns.

**Rare’s co-financing commitment letter for this project is also attached – see separate file.**

For reference, Rare’s strategic funding reserves were recently significantly replenished through a generous pledge for \$6.1 million made by long-time conservation advocate, the Rare Board Chair, with an additional 1:1 match by retired Wall Street Hedge-fund Manager. This reflects the nature and caliber of the fundraising efforts capable by Rare staff. Additional information, information is available in a recent press release “Sky’s the Limit for Philanthropic Opportunity Offered to Small, Global Environmental Non-Profit ‘Rare’: The Wilson Challenge<sup>14</sup>”

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<sup>14</sup> June 11, 2009; Link: [http://www.rareconservation.org/cp/docs/RAREWILSONRELEASE\\_061109.pdf](http://www.rareconservation.org/cp/docs/RAREWILSONRELEASE_061109.pdf).

### Appendix 13: National Endorsement and Ownership

Peru's voluntary endorsement of the proposal:



PERÚ

Ministerio  
del Ambiente

Secretaría General

*"Año de la Unión Nacional frente a la Crisis Externa"  
"Decenio de las Personas con Discapacidad en el Perú"*

Lima, 12 de Noviembre de 2009

Carta N° 067 -2009-SG-OCNI/MINAM

**Ms. Maryam Niamir-Fuller**  
Executive Coordinator UNEP-GEF  
UNEP  
Nairobi, Kenya

Asunto: Proyecto Comunidades de Conservación Salvaguardando las especies más amenazadas del mundo".

De mi consideración,

En mi capacidad de Punto Focal Operativo del Fondo para el Medio Ambiente Mundial en el Perú, confirmo el apoyo del Perú para el financiamiento de la actividad referida la cual (a) coincide con las prioridades nacionales del gobierno y los compromisos acordados por Perú ante la CBD y, (b) ha sido discutida con las partes relevantes, incluyendo el punto focal ante la CBD, conforme con las políticas del FMAM en cuanto a participación pública.

Por consiguiente, en mi calidad de Punto Focal Operativo por el Perú endoso la presente solicitud de financiamiento del Proyecto: **Comunidades de Conservación "Salvaguardando las especies más amenazadas del mundo"**, el cual tiene como agencia implementadora al PNUMA, con cuyos objetivos coincidimos ampliamente.

Se entiende que el proyecto será ejecutado en coordinación con las agencias nacionales relevantes, particularmente con el Servicio Nacional de Áreas Naturales Protegidas (SERNANP), organismo adscrito al Ministerio del Ambiente. Asimismo, el proyecto no hará uso de recursos provenientes del RAF de Diversidad Biológica asignado para el país.

Atentamente,

**Antonio González Norris**  
Director de la Oficina de  
Cooperación y Negociaciones Internacionales  
Punto Focal Operativo del FMAM para el Perú

Copias para:  
Punto Focal Nacional CBD  
Tea García-Huidobro, Oficina Regional PNUMA ([tea.garciahuidobro@pnuma.org](mailto:tea.garciahuidobro@pnuma.org))

[www.minam.gob.pe](http://www.minam.gob.pe)  
[webmaster@minam.gob.pe](mailto:webmaster@minam.gob.pe)

Ax Guardia Civil 205  
San Borja, Lima 41, Perú  
T: (511) 225 5370

#### Appendix 14: Draft Procurement Plan

Draft Procurement Plan for Non-Expendable Equipment over \$500

Item	Quantity	Estimated Unit Cost
Lap top computers	Up to 12	\$1500
Survey Software Program (Survey Pro from Apian, Inc.)	Up to 12	\$600

At up to 12 project sites with Rare Pride campaigns, Rare signs campaign agreements with our partners, and agrees on a process for financial disbursements and financial reporting schedules and formats.

## Appendix 15: GEF Biodiversity Tracking Tools



### Applying the GEF Tracking Tools in GEF-4

*Note: Given changes in the GEF's biodiversity strategy in GEF-4, a slightly modified Tracking Tool for this strategic objective has been developed. Please use this tool for all GEF-4 funded projects that fall under this strategic objective.*

**Objective:** To measure progress in achieving the impacts and outcomes established at the portfolio level under the biodiversity focal area. The following targets and indicators are being tracked for all GEF-4 projects submitted under Strategic Objective Two and the associated Strategic Programs

### Impact and Outcome Indicators for Strategic Objective Two and Associated Strategic Programs

Strategic Objective	Expected Long-Term Impacts	Indicators
To mainstream biodiversity conservation in production landscapes/seascapes and sectors	Conservation and sustainable use of biodiversity incorporated in the productive landscape and seascape	<ul style="list-style-type: none"> <li>• Number of hectares in production landscapes/seascapes under sustainable management but not yet certified<sup>15</sup></li> <li>• Number of hectares/production systems under certified production practices that meet sustainability and biodiversity standards</li> <li>• Extent (coverage: hectares, payments generated) of payment for environmental service schemes</li> </ul>
<b>Strategic Programs for GEF-4 under Strategic Objective Two</b>	<b>Expected Outcomes</b>	<b>Indicators</b>

<sup>15</sup> This indicator will measure the coverage of management systems in production landscapes and seascapes that are in a transition process to certified production practices.

4. Strengthening the policy and regulatory framework for mainstreaming biodiversity	<ul style="list-style-type: none"> <li>• Policy and regulatory frameworks governing sectors outside the environment sector incorporate measures to conserve and sustainably use biodiversity</li> </ul>	<ul style="list-style-type: none"> <li>• The degree to which policies and regulations governing sectoral activities include measures to conserve and sustainably use biodiversity as measured through the GEF tracking tool</li> </ul>
<b>Strategic Programs for GEF-4 under Strategic Objective Two</b>	<b>Expected Outcomes</b>	<b>Indicators</b>
5. Fostering markets for biodiversity goods and services	<ul style="list-style-type: none"> <li>• Markets created for environmental services</li> <li>• Global certification systems for goods produced in agriculture, fisheries, forestry, and other sectors include technically rigorous biodiversity standards</li> </ul>	<ul style="list-style-type: none"> <li>• Number and extent (coverage: hectares, payments generated) of new payments for environmental service schemes created</li> <li>• Published certification systems that include technically rigorous biodiversity standards</li> </ul>

**Rationale:** Project data from the GEF-4 project cohort will be aggregated for analysis of directional trends and patterns at a portfolio-wide level to inform the development of future GEF strategies and to report to GEF Council on portfolio-level performance in the biodiversity focal area.

**Structure of Tracking Tool:** Each tracking tool requests background and coverage information on the project and specific information required to track the indicator sets listed above.

**Guidance in Applying the Tracking Tool:** The tracking tools are applied three times: at CEO endorsement<sup>16</sup>, at project mid-term, and at project completion.

In GEF-4, we expect that projects which fall clearly within Strategic Objectives and support specific Strategic Programs under each Strategic Objective hence only one tracking tool will need to be completed.

On *very rare occasions*, projects make substantive contributions to more than one strategic objective. In these instances, the tracking tools for the relevant strategic objectives should be applied. It is important to keep in mind that the objective is to capture the full range of a project's contributions to delivering on the targets set for each of the strategic priorities. The GEF Implementing Agency/Executing Agency will guide the project teams in the choice of the tracking tools. Please submit all information on a single project as one package (even where more than one tracking tool is applied).

Multi-country projects may face unique circumstances in applying the tracking tools. The GEF requests that multi-country projects complete one tracking tool per country involved in the

<sup>16</sup> For Medium Sized Projects when they are submitted for CEO approval.

project, based on the project circumstances and activities in each respective country. The completed forms for each country should then be submitted as one package to the GEF. Global projects which do not have a country focus, but for which the tracking tool is applicable, should complete the tracking tool as comprehensively as possible.

*The tracking tool does not substitute or replace project level M&E processes, or GEF Implementing Agencies'/Executing Agencies' own monitoring processes.* Project proponents and managers will likely be the most appropriate individuals to complete the Tracking Tool, in collaboration with the project team, since they would be most knowledgeable about the project. Staff and consultants already working in the field could also provide assistance in filling out the Tracking Tool.

**Submission:** The finalized tracking tool will be cleared by the GEF Implementing Agencies and Executing Agencies before submission. The tracking tool is to be submitted to the GEF Secretariat at three points:

- 1.) With the project document at CEO endorsement<sup>17</sup>;
- 2.) Within 3 months of completion of the project's mid-term evaluation or report; and
- 3.) With the project's terminal evaluation or final completion report, and no later than 6 months after project closure.

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<sup>17</sup> For Medium Sized Projects when they are submitted for CEO approval.

## **I. Project General Information**

1. Project Name: Communities of Conservation: Safeguarding the World's Most Threatened Species
2. Project Type (MSP or FSP): FSP
3. Project ID (GEF): 3790
4. Project ID (IA):
5. Implementing Agency: UNEP
6. Country(ies): Regional (Venezuela, Colombia, Ecuador, Peru, Bolivia)

Name of reviewers completing tracking tool and completion dates:

	<b>Name</b>	<b>Title</b>	<b>Agency</b>
<b>CEO Endorsement</b>	Megan Hill	Senior Director	Rare
<b>Project Mid-term</b>			
<b>Final Evaluation/project completion</b>			

7. Project duration: **Planned** \_\_\_\_3\_\_\_\_ years    **Actual** \_\_\_\_\_ years

8. Lead Project Executing Agency (ies): Rare

9. GEF Strategic Program:

- ✓ Strengthening the policy and regulatory framework for mainstreaming biodiversity (SP 4) (secondary)
- ✓ Fostering markets for biodiversity goods and services (SP 5)

### **10. Production sectors and/or ecosystem services directly targeted by project:**

10. a. Please identify the main production sectors involved in the project. Please put “**P**” for sectors that are primarily and directly targeted by the project, and “**S**” for those that are secondary or incidentally affected by the project.

Agriculture \_\_\_\_P: *Agricultural and rural communities*

Fisheries \_\_\_\_\_

Forestry \_\_\_\_\_

Tourism \_\_\_\_\_

Mining \_\_\_\_\_

Oil \_\_\_\_\_

Transportation \_\_\_\_\_

Other (please specify) \_\_\_\_P: *Environment /Conservation policy* \_\_\_\_

## **II. Project Landscape/Seascape Coverage**

**11. a. What is the extent (in hectares) of the landscape or seascape where the project will directly or indirectly contribute to biodiversity conservation or sustainable use of its**

components? An example is provided in the table below.

Targets and Timeframe	Foreseen at project start	Achievement at Mid-term Evaluation of Project	Achievement at Final Evaluation of Project
<b>Project Coverage</b>			
<b>Landscape/seascape<sup>18</sup> area <u>directly</u><sup>19</sup> covered by the project (ha)</b>	E.g 200,000 hectares	120,000 hectares	185,000 hectares
<b>Landscape/seascape area <u>indirectly</u><sup>20</sup> covered by the project (ha)</b>			

Project Site	Direct/Indirect at Start	Mid term	Final
ETAPA Subwatershed Yanuncay River <b>Ecuador</b>	<b>Direct: 33,700</b> <b>Indirect: TBD</b>		
Instituto del Bien Común Pachitea Watershed, Yanachaga Chemillen National Park <b>Perú</b>	<b>Direct: 1,700</b> <b>Indirect: TBD</b>		
Naturaleza y Cultura Internacional San Andrés Watershed, Zamora Chinchipe <b>Ecuador</b>	<b>Direct: 8,000</b> <b>Indirect: 43,000</b>		
Unidad de Parques Nacionales de Colombia, Parque Farallones del Cali Anchicaya Watershed, Farallones del Cali <b>Colombia</b>	<b>Direct: 4,500</b> <b>Indirect: TBD</b>		
APECO Tilacancha Watershed, Chachapoyas <b>Peru</b>	<b>Direct: 7,000</b> <b>Indirect: TBD</b>		
CORPOGUAVIO Siecha Watershed, Cundinamarca <b>Colombia</b>	<b>Direct: 14,500</b> <b>Indirect: TBD</b>		
Caritas Jaen Quanda Watershed, Cajamarca <b>Peru</b>	<b>Direct: 2,500</b> <b>Indirect: TBD</b>		
Fundacion Natura - Colombia Watershed Las Cruces, Santander <b>Colombia</b>	<b>Direct: 1,600</b> <b>Indirect: TBD</b>		

<sup>18</sup> For projects working in seascapes (large marine ecosystems, fisheries etc.) please provide coverage figures and include explanatory text as necessary if reporting in hectares is not applicable or feasible.

<sup>19</sup> Direct coverage refers to the area that is targeted by the project's site intervention. For example, a project may be mainstreaming biodiversity into floodplain management in a pilot area of 1,000 hectares that is part of a much larger floodplain of 10,000 hectares.

<sup>20</sup> Using the example in footnote 5 above, the same project may, for example, "indirectly" cover or influence the remaining 9,000 hectares of the floodplain through promoting learning exchanges and training at the project site as part of an awareness raising and capacity building strategy for the rest of the floodplain. Please explain the basis for extrapolation of indirect coverage when completing this part of the table.



Fundacion Natura - Bolivia Comarapa, Alto Amboró, <b>Bolivia</b>	<b>Direct: 15,000</b> <b>Indirect: TBD</b>		
Fundacion Arcoiris Cantón Espíndola, <b>Ecuador</b>	<b>Direct: 51,000</b> <b>Indirect: TBD</b>		
Aves y Conservacion Watershed Rivers Alambi, Pichan y Cinto, Pichincha <b>Ecuador</b>	<b>Direct: 80,000</b> <b>Indirect: TBD</b>		
ProAves Roncesvalles, Tolima <b>Colombia</b>	<b>Direct: 34,800</b> <b>Indirect: TBD</b>		

**Explanation for indirect coverage numbers:** *Hectares given for direct coverage are hectares we anticipate under ARA agreements (reciprocal agreements for forest conservation). Indirect hectare size of the entire watershed will be ground-truthed and documented at project inception.*

**11. b. Are there Protected Areas within the landscape/seascape covered by the project? If so, names these PAs, their IUCN or national PA category, and their extent in hectares.**

Local partner	Site Name	AZE name	National Park or protected area
ETAPA	Subwatershed Yanuncay River <b>Ecuador</b>	Laguna La Toreadora	Around 60% of the targeted watershed (24.803has) belongs to the protected area ABVP Yanuncay Irquis, 10% (4.041has) to ABVP Yunguilla 15% (6.090has), to the National Park Cajas
Instituto del Bien Común	Pachitea Watershed, Yanachaga Chemillen National Park, <b>Perú</b>	Coordillera Yanachaga	Target watershed borders the south end of the National Park Yanachaga-Chemillén, currently under consideration for Biosphere Reserve decree
Naturaleza y Cultura Internacional	San Andrés Watershed, Zamora Chinchipe, <b>Ecuador</b>	Reserva Tapichalaca	Target site makes part of Biosphere Reserve Podocarpus-El Condor. The upstream lands of the watershed belongs to the Bosque Protector Colambo Yacuri recognized as an IBA (EC086) by Birdlife and inserted as part of the Binational Watershed Chinchipe-Mayo
Unidad de Parques Nacionales de Colombia, Parque Farallones del Cali	Anchicaya Watershed, Farallones del Cali <b>Colombia</b>	Farallones del Cali	Anchicaya watershed is currently under territorial planning process. Partially makes part of Farallones del Cali National Park and Reserva Forestal del Pacífico
APECO	Tilacancha Watershed, Chachapoyas <b>Perú</b>	Pomacochas	Two communities have recently declared a private conservation area still awaiting for national recognition.

Corpoguvio	Siecha Watershed, Cundinamarca <b>Colombia</b>	PNN Chingaza	Upper land of Siecha watershed makes part of 4 different protected areas Nationally recognized: • PNN Chingaza and • Reserva Forestal Protectora (RFP) Páramo Grande, Regionally recognized: • RFP Santa María de las Lagunas • RFP Cerros pionono y las Águilas (downstream)
Caritas Jaén	Quanda Watershed, Cajamarca <b>Perú</b>	Coordillera del Cóndor	Sn Jose de Lourdes Cloud forest is adjacent to the Coordillera del Condor, serving as a protector barrier against land clearing, expansion and as a corridor bridge to another important protected Area - Santuario Natural Tabaconas Namballe
Fundación Natura Colombia	Watershed Las Cruces, Santander <b>Colombia</b>	Reserva Natural Reinita Cerúlea	Site makes part of the buffer zone of the national Park Serranía de los Yariques
Fundación Natura Bolivia	Comarapa, Alto Amboró, <b>Bolivia</b>	Alto Amboro	Watershed Comarapa starts in Amboro National Park, recognized among the top 10 places of highest biodiversity in the world
Fundación Arcoiris	Cantón Espíndola, <b>Ecuador</b>	Abra de Zamora	The site goes along 2 different protected areas: Reserva de Biosfera Cóndor Podocarpus and Bosque Protector Colambo Yacuri.
Aves y Conservación	Watershed Rivers Alambi, Pichan y Cinto, Pichincha <b>Ecuador</b>	Estribaciones Occidentales del Pichincha	The site makes part (partially) of 3 IBA's been identified by birdlife: IBA EC043 Mindo y Estribaciones Occidentales del Volcán Pichincha, las IBAs EC041 Los Bancos – Milpe y EC 042 Maquipucuna
Fundación Pro Aves	Roncesvalles, Tolima <b>Colombia</b>	Reservas comunitarias Roncesvalles	The site doesn't hold any official protection status

**11. c. Within the landscape/seascape covered by the project, is the project implementing payment for environmental service schemes? If so, please complete the table below. An example is provided.**

Targets and Timeframe	Foreseen at Project Start		Achievement at Mid-term Evaluation		Achievement at Final Evaluation	
	Extent in hectares	Payments generated (US\$)	Extent in hectares	Payments generated (US\$)	Extent in hectares	Payments generated (US\$)
<b>Coverage</b>						
<b>Environmental Service</b>						
<i>Water provision for all the sites below:</i>		<i>Estimated value of exchanged services is \$10,000 at each site below Payments in the form of materials and tools are projected around \$ 3 per hectare</i>				
Subwatershed Yanuncay River (ETAPA)	33,700ha					
Subwatershed San Alberto, Esperanza (IBC)	1,700ha (upstream)					
Subwatershed San Andres (NCI)	Targeted Micro watershed is composed by 8000 ha out of a total of 43,000					

	ha in the whole watershed					
Watershed Anchicayá PN Farallones	8,000ha					
Tilacancha Watershed (APECO)	7000 ha					
Siecha Watershed (Corpoguvio)	14 500 ha (145km2)					
Quanda Watershed, Cajamarca (Caritas)	2500 ha					
Las Cruces Watershed Natura Colombia	1,600 ha					
Comarapa, Alto Amboró Natura Bolivia	15,000 ha					
Canton Espindola ArcoIris	51000ha					
Rivers Alambi, Pichán y Cinto	80,000ha					
Reservas Comunitarias Roncesvalles ProAves	38,400 ha					

### **III. Management Practices Applied**

**12. Within the scope and objectives of the project, please identify in the table below the management practices employed by project beneficiaries that integrate biodiversity considerations and the area of coverage of these management practices. Please also note if a certification system is being applied and identify the certification system being used.**

Note: this could range from farmers applying organic agricultural practices, forest management agencies managing forests per Forest Stewardship Council (FSC) guidelines or other forest certification schemes, artisanal fisherfolk practicing sustainable fisheries management, or industries satisfying other similar agreed international standards, etc. An example is provided in the table below.

<b>Specific management practices that integrate BD</b>	<b>Name of certification system being used (insert NA if no certification system is being applied)</b>	<b>Area of coverage foreseen at start of project</b>	<b>Achievement at Mid-term Evaluation of Project</b>	<b>Achievement at Final Evaluation of Project</b>
1. N/A				
2. N/A				
3. N/A				

### **IV. Market Transformation**

**13. For those projects that have identified market transformation as a project objective, please describe the project's ability to integrate biodiversity considerations into the mainstream economy by measuring the market changes to which the project contributed.**

**The sectors and subsectors and measures of impact in the table below are illustrative examples, only. Please complete per the objectives and specifics of the project.**

Name of the market that the project seeks to affect (sector and sub-sector)	Unit of measure of market impact	Market condition at the start of the project	Market condition at midterm evaluation of project	Market condition at final evaluation of the project
N/A				
N/A				

## **V. Policy and Regulatory frameworks**

**For those projects that have identified addressing policy, legislation, regulations, and their implementation as project objectives, please complete the following series of questions: 14a, 14b, 14c.**

**An example for a project that focused on the agriculture sector is provided in 14 a, b, and c.**

14. a. Please complete this table at **CEO endorsement for each sector** that is a primary or a secondary focus of the project. Please answer YES or NO to each statement under the sectors that are a focus of the project.

Sector  Statement: Please answer YES or NO for each sector that is a focus of the project.	Conservation policy			Other (please specify)
	Diagnosis at project start	Expected by project mid-term	Expected by project end	
Biodiversity considerations for AZE species are mentioned in sector policy <sup>(1)</sup>	NO	YES	YES	
Biodiversity considerations for AZE species are mentioned in sector policy through specific legislation	NO	YES	YES	
Regulations are in place to implement the legislation	NO	NO	YES	
The regulations are under implementation	NO	NO	YES	

The implementation of regulations is enforced	NO	NO	NO	
Enforcement of regulations is monitored	NO	NO	NO	

- (1) The project will promote the adoption of AZE site protection as a conservation strategy within national biodiversity conservation strategies. The target is therefore to mainstream AZE into conservation policies.

14. b . Please complete this table at **the project mid-term for each sector** that is a primary or a secondary focus of the project.

Please answer YES or NO to each statement under the sectors that are a focus of the project.

Sector	Agriculture	Fisheries	Forestry	Tourism	Other (please specify)	Other (please specify)
<b>Statement: Please answer YES or NO for each sector that is a focus of the project.</b>						
Biodiversity considerations are mentioned in sector policy						
Biodiversity considerations are mentioned in sector policy through specific legislation						
Regulations are in place to implement the legislation						
The regulations are under implementation						
The implementation of regulations is enforced						
Enforcement of regulations is monitored						

14. c. Please complete this table at **project closure for each sector** that is a primary or a secondary focus of the project.

Please answer YES or NO to each statement under the sectors that are a focus of the project.

Sector	Agriculture	Fisheries	Forestry	Tourism	Other (please specify)	Other (please specify)
<b>Statement: Please answer YES or NO for each sector that is a focus of the project.</b>						

Biodiversity considerations are mentioned in sector policy						
Biodiversity considerations are mentioned in sector policy through specific legislation						
Regulations are in place to implement the legislation						
The regulations are under implementation						
The implementation of regulations is enforced						
Enforcement of regulations is monitored						

All projects please complete this question at the project mid-term evaluation and at the final evaluation, if relevant:

**14. d. Within the scope and objectives of the project, has the private sector undertaken voluntary measures to incorporate biodiversity considerations in production? If yes, please provide brief explanation and specifically mention the sectors involved.**

***An example of this could be a mining company minimizing the impacts on biodiversity by using low-impact exploration techniques and by developing plans for restoration of biodiversity after exploration as part of the site management plan.***

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#### **VI. Other Impacts**

16. Please briefly summarize other impacts that the project has had on mainstreaming biodiversity that have not been recorded above.

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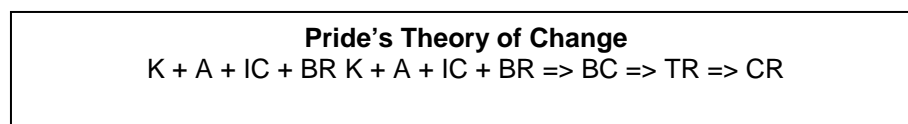


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## Appendix 16. Study Design for Communities of Conservation

Rare's 2010 – 2012 cohort of Pride campaigns in Latin America will focus on applying Rare's social marketing program at up to 12 sites to facilitate and promote the adoption of one discrete conservation solution—reciprocal agreements for watershed services (ARA) programs—to reduce the threat of deforestation caused by agriculturalists in the Tropical Andes.

Rare Pride utilizes a general Theory of Change (ToC) to illustrate how the stages of behavior change that individuals pass through while adopting new behaviors can lead to threat reduction and to a positive conservation result. This ToC is used to both inform Pride campaign messaging and to design the impact monitoring. Indicators can be developed and measured for each component of the ToC.



Where:

- Knowledge (K); in this case a cognitive awareness of, and specific accurate knowledge about, ARA programs
- Attitude (A); in this case favorable attitudes towards ARA and the belief that the advantages of adopting ARA outweigh any disadvantages of ARA
- Interpersonal Communication (IC); in this case discussions among key Pride campaign target groups (e.g. farmers) to validate their new attitudes and to help persuade individuals to try ARA. IC can also be used to generate and diffuse a sense of community acceptance of a new social norm around ARA schemes
- Barrier Removal strategy (BR); in this case the ARA scheme will be the barrier removal strategy.
- Behavior Change (BC); in this case the adoption of ARA by agriculturalists will be the primary behavior change objective
- Threat Reduction (TR) for a key biodiversity target; in this case it will be a reduction in the rate of forest clearing caused by agriculturalists that adopt ARA.
- Conservation Result (CR); in this case an improvement in the status of forest cover or in one or more indicator species.

The objectives of this first major study of a Pride cohort are to (1) measure Pride's effectiveness in achieving the specific objectives established for each component of the ToC from K through to the CR in each of the up to 12 Pride campaigns, and (2) further our understanding of how Pride causes individuals to move through the ToC. To accomplish the first objective, quantitative data will be collected including through personal interview surveys (to measure changes in knowledge (K), attitude (A), interpersonal communication (IC) and behavior (BC) indicators) and the measurement of biological indicators (to measure threat reduction (TR) and conservation result (CR) indicators). Indicators will also be developed and measured to assess the implementation and adoption of the ARA barrier removal (BR) strategy.

We have designed the study to explicitly include key elements of success, including:

- 1) Using a theory-informed proposal of what will happen at Pride campaign vs. non-Pride campaign sites (all 12 sites)
- 2) Using an experimental counterfactual (Ferraro, 2009a) against which to compare Pride impact by incorporating randomization of treatment application by randomizing site selection with 3 of the 12 lead agency partners (LAP) who will implement ARA at both treatment and control sites, and a Pride campaign at the treatment site. These LAPs will be eligible to implement a Pride alumni campaign at the control site after 2 years.

- 3) The participation of external, disinterested parties in the collection and analysis of both quantitative and qualitative research data (focus groups, in depth interviews, pre/post surveys, and biodiversity monitoring)
- 4) As recommended by the GEF Scientific and Technical Advisory Panel (Cunningham, 2008), we have included additional design features, including: 1) ensuring clarity and shared vision about the study with all partners; 2) providing adequate training and quality control throughout the study; and 2) ensuring that there is a separate budget for all study activities. The study has also been designed to account for potential risks, including: 1) selection bias; 2) treatment diffusion effects; 3) unintended behavioral responses; and 4) data quality.

#### **Study Design -- Behavior Change**

Rare will work with behavior change communications scholars at the University of Texas (El Paso) and independent experts to design a suite of field studies to answer key questions about the effectiveness of the Pride model and its Theory of Change.

These research questions fall into 4 basic areas:

- 4) **Behavior Change:** How can we measure the extent and demonstrate the role of Pride campaigns in causing movement through the stages of our ToC?
- 5) **Biological Impact:** How will we know that Pride campaigns achieve results linked to biological indicators of threat reduction and secure conservation results at a network of AZE sites?
- 6) **Theory of Change:** How can we ensure adaptive management principles are applied to the Pride campaign methodology and the ongoing refinement of Rare's social marketing strategy?
- 7) **Replicability:** How can we demonstrate that Pride campaigns, including Barrier Removal (BR) strategies like Reciprocal Agreements for Watershed Services (ARA), can be replicated to a network of AZE sites to achieve biodiversity conservation?

Rare will select up to 12 sites in the Tropical Andes at which to run Pride campaigns in collaboration with our LAPs using Rare's standardized selection criteria and process that is described elsewhere. ARA programs will be implemented at up to 12 Pride campaign sites. Nine of these campaigns will use comparison areas that are selected opportunistically following normal Pride methods; these comparison areas will be monitored, but will have neither Pride nor ARA implemented in them. Up to three lead agency partners will be invited to participate in a more rigorous field experimental design. These partners will submit applications for two sites where they would propose to run both a ARA program and a Pride campaign. For these lead agency partners, Rare will evaluate both submitted applications using its standard application procedures. Once both sites are ranked (and providing they prove eligible as per Rare's application scoring criteria), the site that will run a Pride campaign will be randomly selected by an independent party. The site that is not selected will receive ARA program but no Pride campaign, in order to serve as a control area to provide a rigorous counterfactual for what happens when a partner implements ARA in the absence of Pride. The design is shown in the figure below; dates are approximate.

The strength of this randomized control field experimental study design is that it allows for:

- Causal attribution of any Pride Campaign impact
- Assessment of replicability of impact when the Pride campaigns are implemented in the control areas
- Monitoring of Pride Campaign impact over a longer time period than has previously been possible using three rather than the usual two (pre-post) measurements
- Measurements at every component of Rare's ToC including TR and CR
- Independent, objective parties involved in the monitoring, data analysis, and reporting



For the three lead agency partners that participate in the randomized control study, Rare will support Pride + ARA schemes at the treatment site, whereas Rare would support only the ARA scheme at the control site for the first 2 years. After 2 years (approximately January, 2012), the 3 sites that served as randomized controls will become eligible for Pride alumni campaign support. This alumni support would allow the same Pride campaign manager who ran the campaign in the treatment area to run a second campaign in the former control area. Both treatment and controls at these sites will be monitored for a total of 3 years (2011 to 2013) providing the first-ever data on Pride campaigns over a time period longer than 2 years. Our basic hypothesis is that at each stage of our ToC, including ARA adoption, favorable change will be greater in areas that receive Pride than in the control areas without Pride. However, because there are likely to be time-lags between the Pride/ARA intervention and changes in some biological indicators, the 2-year time frame of the study may not allow for detection of changes at the level of CR.

Treatment and control sites for this experimental study will be matched to each other on key variables,

Research Design			
	2010		2012 - 2013
<b>Randomized Treatment Areas (3)</b>	Measurement #1: Survey measures of Behavior Change and Objective Measures of species and habitat	ARA + Pride	Measurement #2: Survey measures of Behavior Change and Objective Measures of species and habitat
<b>Randomized Control Areas (3)</b>	Measurement #1: Survey measures of Behavior Change and Objective Measures of species and habitat	ARA	Measurement #2: Survey measures of Behavior Change and Objective Measures of species and habitat
<b>Non-Randomized Treatment Areas (9)</b>	Measurement #1: Survey measures of Behavior Change and Objective Measures of habitat	ARA + Pride	Measurement #2: Survey measures of Behavior Change and Objective Measures of habitat
<b>Non-Randomized Control Areas (9)</b>	Measurement #1: Survey measures of Behavior Change and Objective Measures of habitat	Nothing	Measurement #2: Survey measures of Behavior Change and Objective Measures of habitat

including (1) the LAP, (2) status of PES implementation, (3) threat(s) at site, (4) ease of access to site, and (5) cultural and socio economic conditions at the site. Possible NGOs for consideration for experimental design include (1) ProAves (Colombia), (2) Ecociencia (Ecuador), (3) CIMA (Peru) (4) TNC-Colombia, and (5) others TBD.

The 3 sites included in the field experiment will have additional external and independent validation of the research methodology (questionnaire design, sample selection, field work, data entry, data analysis) supported by an impartial expert in quantitative survey design and implementation. All sites will receive a technical assistance package from Rare to support the set up process for ARA schemes, and the budget

will be closely monitored. Lead agency partners participating in the randomized control study will be instructed to support the ARA schemes at both sites equally, and without any bias toward either site<sup>21</sup>. ARA extensionists will be asked to keep logs of the technical support in ARA provided to each site so that the level of effort can be monitored. There will be external, professional post-campaign data analysis using sophisticated multivariate statistical techniques (including Propensity Score Matching (PSM) & logistic regression) on up to 12 sites to better establish a causal relationship between the Pride campaign and any measured outcomes.<sup>22</sup>

The following table shows the key research questions to be posed, as well as a preliminary list of indicators, means of collection, and timeline:

Research Area	Key Questions	Indicators	Means of Collection	Timeline
Behavior Change: How can we measure the extent and demonstrate the role of Pride campaign in causing movement through the stages of behavior change?	<p>KAP change:</p> <ul style="list-style-type: none"> <li>How has knowledge of, attitudes towards, and behavior changed with respect to ARA over the course of the Pride Campaign?</li> <li>Can we attribute that change to Pride?</li> <li>What is the level of exposure to each of the campaign activities for each of our target audiences?</li> </ul> <p>Barrier Removal:</p> <ul style="list-style-type: none"> <li>What is the level of adoption of ARA within the target area?</li> <li>How effective is the ARA program at supporting farmers?</li> <li>Has Rare's work on ARA changed national policies on supporting ARA at AZE and other biodiversity spots nationally?</li> </ul>	<p>K, A, IC, and BC survey questions specific to each campaign</p> <p>Number of farmers that are enrolled in ARA</p> <p>Activity recall at post campaign survey</p> <p>Number of hectares signed up under ARA in target area</p> <p>Number of new land holders per year enrolled in ARA schemes</p> <p>Level of interest in ARA among farmers and general population</p> <p>Frequency of contact with technical experts and time to get a response from them by target audiences</p> <p>National level adoption of ARA at AZE sites</p> <p>National level adoption of ARA at other high biodiversity sites (defined as WWF, Birdlife Intl, CI area targets)</p>	<p>Personal interview surveys conducted by Pride campaign managers, and contracted technical support</p> <p>ARA technical experts,</p>	Measurements 1, 2, & 3 (see figure above)

<sup>21</sup> It is not feasible to implement a true double-blind study in which the lead agency and research partners would not be aware of which site is receiving the treatment for both ethical and obvious logistical reasons.

<sup>22</sup> Multivariate analyses will be particularly important at those 9 sites that use opportunistic comparison areas, However, the sample size in our randomized controls (N = 3 sites) is so small that "the chances of 'randomizing out' any confounding differences between treated and control sites is also small" (Ferraro, 2009) meaning that such analyses may also be useful in controlling for differences among these sites as well.

Research Area	Key Questions	Indicators	Means of Collection	Timeline
		<p>National level adoption of ARA at other non-biodiversity sites</p> <p>Time from first contact with the community to first payment by NGO.</p> <p>Time from first contact with the community to first payment by public sector</p>		
<p>Biological Impact: How can we demonstrate that Pride campaigns achieve results linked to biological indicators of threat reduction and secure conservation results at a network of AZE sites?</p>	<ul style="list-style-type: none"> <li>How does the amount of land conversion (baseline to project completion) change over the course of the Pride campaign?</li> <li>How much habitat has protected status of some kind within target area?</li> <li>What is the change in percent natural habitat change?</li> <li>What is the change in water quality downstream from agricultural zones in PES and non-PES watersheds?</li> <li>Are there any changes in key indicator species in target area?</li> </ul> <p>How can each site be assessed following Birdlife's Pressure, State, Response model for monitoring?</p>	<p>Estimate of land conversion</p> <p>Number of protected Ha</p> <p>Species proxies determined by site; these may be either threatened species or other species that serve as proxies for change.</p>	<p>Rapid assessment at fixed transects; observation trend over time; satellite imagery; water quality monitoring</p>	<p>Measurements 1, 2, &amp; 3 (see figure above)</p>
<p>Theory of Change: How can we ensure adaptive management principles are applied to the Pride campaign methodology and the ongoing refinement of Rare's social marketing strategy?</p>	<p>What is the decision making process of farmers/land-owners who adopt PES and those who do not?</p> <p>Where do bottlenecks in Rare's Theory of Change develop and why do they develop there?</p> <p>What is the role of (1) exposure to more or fewer Pride activities and (2) type of activities on amount of behavior change?</p> <p>What is the role of the campaign's flagship species (the campaign mascot) within the context of our Theory of Change? How do different audiences interpret it?</p> <p>What is the role of "pride" in local environment versus the role of demonstrated self-interest (economic, health, cultural) in the adoption of promoted behavior; do people need to see benefit to them?</p>	<p>Qualitative responses to questions about decision making process</p> <p>Impact on KAP cross-tabulated by (1) number and (2) type of activities they are exposed to</p> <p>Impact on KAP cross-tabulated by (1) stage-of-behavior change and (2) type of activities they are exposed to.</p>	<p>Observation, pre/post survey data; diffusion curves compiled</p> <p>Focus groups</p> <p>In-depth interviews</p>	<p>Throughout the campaign</p>

Research Area	Key Questions	Indicators	Means of Collection	Timeline
	<p>How much of the behavior change is explained by (1) level of income (2) source of income/livelihood, and (3) percent of income/livelihood from resource?</p> <p>How do members of the local population understand their relationship to the environment and their understanding of ecosystem services before and after the Pride campaign?</p>			
<p>Replicability: How can we demonstrate that Pride campaigns demonstrate that Barrier Removal (BR) strategies including Payment for Ecosystem Services (PES) can be replicated to a network of AZE sites to achieve biodiversity conservation</p>	<p>What is the level of adoption of PES by local landholders?</p> <p>How well is the PES scheme financed and operated?</p> <p>Has the national government adopted the inclusion of high biodiversity within PES as a goal more broadly? Does Pride accelerate the adoption of PES schemes?</p> <p>What is the proportionate level of support by NGO, local municipalities, and local buyers?</p>		<p>Replication in the control areas in second phase of Pride campaign implementation.</p> <p>In depth interviews and other kinds of qualitative research methods; propensity score matching; regression analysis</p>	Post campaign

#### Study Implementation – KAP & Barrier Removal Monitoring

The table below lays out a proposed implementation schedule for the monitoring of the KAP variables and the barrier removal monitoring. “Faculty” and “Graduate students” refer to independent researchers at the University of Texas at El Paso (UTEP). The ARA technical expert will be a contracted employee of Rare who will be responsible for designing, implementing, and monitoring the ARA barrier removal intervention.

Person	Timing	Location	Task	Approx amount of time
Faculty	ASAP	UTEP/Arlington	Investigate how Pride costs are collected and reported by Rare to make sure that cost data are available for each campaign in a manner that can be clearly documented and used in cost-effectiveness study	1 week
ARA technical expert	Pre-1st survey	Field: 12 Campaigns	Write monitoring plan for ARA program to include (1) definition of watershed boundaries, (2) monitoring number of participant agriculturalists contacted & with signed contracts, (3) types of agreements they enter into, (4) how contract agreements will be validated/monitored, (5) money agreed to and paid, (6) mapping of participant's land, (7) Number of hectares enrolled in ARA, (8) local authorities extent of contribution to	2 weeks

Person	Timing	Location	Task	Approx amount of time
			ARA (money, personnel, etc), (9) size and cash flow of "water fund", (10) national-level indicators, such as adoption of ARA at non-GEF biodiversity sites, diffusion curves for adoption within each country, etc), and (11) rate of adoption of ARA in Pride and non-Pride sites.	
Faculty	Pre-1st survey	UTEP	Review & check 9-12 baseline survey questionnaires (Note, many if not most of the questions should be identical given the identical threats and BR tool) to check for question format and that all questions needed for multivariate analyses are included and standardized.	1 week
3 Graduate students	1st survey	Field: 3 campaigns	Help with creating sample frame, sample selection protocol, training of interviewers, overseeing of field work, data entry protocol @ 3 campaigns	1 month at each of the 3 campaign sites
12 PCM & enumerators	1st survey	Field: 12 Campaigns	Administer surveys in 9-12 treatment, 9-12 comparison and 3 control sites	2 months
12 PCM	1st survey	Field: 12 Campaigns	Data entry for treatment and comparison/control sites	
Faculty	Post-1st survey	UTEP	Merge 9-12 <i>SurveyPro</i> data files into 1 SPSS database, do basic frequency analyses to make sure all the data imported correctly.	1 week
Faculty	Post-1st survey	UTEP	Write interim report that gives results of baseline surveys at 9-12 sites comparing the sites on all independent variables to assess comparability of treatment and comparison/control sites both on a (1) paired basis (each treatment to its control) and (2) across the 9-12 sites.	2 weeks
12 PCM	Post-1st survey	Field: 12 Campaigns	Write project plan outlining SMART objectives, etc	
ARA technical expert	1st survey to post campaign	Field: 12 Campaigns	Implement ARA monitoring plan	Ongoing
Faculty & grad students	Mid-campaign	UTEP	Design qualitative research component and write up research plan. Including research questions, interview guides, focus group	2 weeks

Person	Timing	Location	Task	Approx amount of time
			guides, list of who to interview, where to conduct interviews, when to do them	
3 graduate students	Late-campaign	Field: 3-12 campaigns	Implement qualitative research in field including at both treatment and control/comparison areas	2 months per grad student
Faculty	Pre-2nd survey	UTEP	Review & check 9-12 post-campaign survey questionnaires to check for question format and that all questions needed for multivariate analyses are included and standardized.	1 week
3 Graduate students	2nd survey	Field: 3 campaigns	Help with creating sample frame, sample selection protocol, training of interviewers, overseeing of field work, data entry @ 3 campaigns	1 month at each of the 3 campaign sites
12 PCM & enumerators	2nd survey	Field: 12 campaigns	Administer surveys in 9-12 treatment, 9-12 comparison and 3 control sites	2 months
12 PCM	2nd survey	Field: 12 campaigns	Data entry	
Faculty	Post-2nd survey	UTEP	Merge 12 post-campaign <i>SurveyPro</i> data files into the SPSS master database, Conduct multivariate statistical analyses and write papers/reports to answer questions outlined in KAP impact and ToC assessment tabs.	3 months
Faculty & grad students	Post-campaign	UTEP	Faculty oversees grad student analysis of qualitative data and write reports/papers	2 months/grad student; 1 week for faculty
Faculty	Post-campaign	UTEP	Obtain cost data from Rare and analyze results from perspective of cost-benefit analysis	1 month
ARA technical expert	Post-campaign		Write research report on findings from ARA monitoring	1 month
Faculty	Pre-3rd survey	UTEP	Review & check 3 post-campaign survey questionnaires to check for question format and that all questions needed for multivariate analyses are included and standardized.	1 day
3 Graduate students	3rd survey	Field: 3 Campaigns	Help with creating sample frame, sample selection protocol, training of interviewers, overseeing of field work, data entry @ 3 campaign sites	3 months per grad student
3 PCM & enumerators	3rd survey	Field: 3 Campaigns	Administer surveys in 3 treatment and 3 control sites	

Person	Timing	Location	Task	Approx amount of time
3 PCM	3rd survey	Field: 3 Campaigns	Data entry	
Faculty	Post-3rd survey	UTEP	Merge 3 post-campaign <i>SurveyPro</i> data files into the SPSS master database. Conduct multivariate statistical analyses and write papers/reports to answer questions outlined in KAP impact and ToC assessment tabs. Special focus on replication of previous findings and long-term impact of Pride.	2 months

#### Study Design -- Biological Indicators

To develop an effective, efficient and sustainable monitoring system for the "Communities of Conservation" project, Rare will partner with the BirdLife Secretariat-Audubon to conduct a dual approach to biological monitoring which will:

- Define site-specific monitoring protocols for each of the project sites (Rare Pride campaign sites) that align with the Pride campaign's objectives of reducing deforestation rates caused by agriculturalists.
- Adapt, as required, the IBA monitoring framework (taking into consideration the Open Standards for Conservation developed by the Conservation Measures Partnership) to ensure that it allows data to be effectively compiled from across all project sites, but at the same time fed-back as part of an adaptive management loop.

Both the site-specific monitoring protocols and the overarching framework will focus on indicators within the Convention on Biological Diversity's "Pressure-State-Response" framework. These are indicators for the status of a site's biodiversity ('state'), threats ('pressure') and conservation actions ('response').

Once the project sites have been selected, BirdLife Secretariat-Audubon will work with local partners to identify the most appropriate site-specific indicators for each of these measures, and develop appropriate site-specific protocols, taking into consideration:

- Any existing monitoring activities at the site.
- Local stakeholders and their capacity (and willingness) to undertake monitoring (within and beyond the project timeframe).
- The feasibility of developing simple, practical and effectiveness monitoring of the key species at each site (those for which it qualifies as an AZE site), as opposed to more readily measured indicators (e.g. habitat cover) which can be linked back to the key species.
- The need for indicators to be scientifically credible, simple and easily understood, and to quantify information so that its significance is clear.
- The need for long-term monitoring which is not dependent on a significant investment of resources (after initial start-up).
- The need for indicators that are clearly linked to the Pride campaign's ToC.

In addition to close collaboration with local stakeholders, development of the site-specific monitoring protocols may require consultation with specialist groups that can provide guidance regarding appropriate monitoring protocols for specific indicators. This requirement can only be judged once the sites have been selected. Where possible, relevant expertise will be sought in-country through the corresponding BirdLife Partner organization or other contacts.

It is anticipated that the site-specific monitoring protocols will be developed during the initial project planning stage (the first six months of the project), during which time an initial visit will be made to each site to assess local stakeholders and the feasibility of different monitoring approaches. Once appropriate

monitoring protocols have been developed, additional visits will be required to each site to train the local people who will undertake the monitoring. The project timeframe (two years) is unlikely to be sufficient to enable the success of the Rare Pride campaigns, at least in terms of the populations of key species at each site. However, the project will establish a baseline and develop protocols that will enable success to be measured in the future. Data will be collected at 3 points in the project, including initial baseline; mid – point (after 2 years); and after the third year. Birdlife will be responsible for working with local partners to ensure quality control in following the protocol and in data collection and reporting.



**Attachment 1**

**Specific responses to the STAP comments on the Project Identification Form (PIF)**

STAP Comments (11/10/08 by David Cunningham)	How this study addresses the comment
2. "The STAP welcomes this innovative proposal by UNEP and partners. In particular, STAP congratulates the project proponents for taking seriously the need to test carefully the effectiveness of its interventions. The use of clear theories of change and control groups are critical project components that are virtually absent in the GEF investment portfolio. STAP strongly supports this project on scientific grounds, but has a few comments that we would like to see addressed in the PIF before CEO endorsement."	The current proposal retains the use of a theory of change (ToC) and control groups. Their "other comments" are addressed below.
3. "The project proposes using a nonequivalent control group field study.... The selection of control sites, however, is not clear. The PIF seems to imply that these sites will be selected after the treated sites are chosen (i.e., sites will be matched after treatment assignment is complete). STAP encourages the proponents to pre-match the sites based on the selection criteria and then select at random the sites for interventions."	We now propose that up to 3 lead agency partners (out of up to 12) submit applications for more than one site for a Pride campaign. All of their proposed sites will be evaluated using Rare's standardized campaign selection criteria to pre-match them. If a lead agency partner has more than 1 site that meets Rare's selection criteria, we will randomly assign 1 site to receive ARA only and 1 site to receive ARA + Pride thereby creating a randomized control, as STAP suggests, at up to 3 sites.
3 (cont). "It is absolutely critical to have the treated and control sites matched on criteria such as local demand for participation, viable conservation leadership, and potential for local and national government support."	Our method of using multiple sites proposed by LAPs controls for the variable of viable conservation leadership by having the same LAP implementing ARA at both control and treatment sites. Rare's selection process will control for the other variables STAP mentions.
3 (cont). "Of course, with a small sample, such biases are still possible, but the project should do everything it can to reduce the likely severity of such bias."	It is not feasible to do the randomized control group at more than 3 sites because of (1) the likelihood that more than 3 LAPs will have multiple comparable sites at which to implement ARA is small, and (2) the cost to Rare of implementing ARA at the control site is large. Rare's selection process should minimize site-selection biases.
3 (cont). "Ideally the sites would be selected by someone other than Rare Pride employees who are implementing the field intervention. Ideally, the sites would be selected by someone completely unrelated to the project to ensure that treatment sites are not selected because of characteristics positively associated with conservation outcome potential."	Rare will necessarily screen potential Pride sites using its standard site selection criteria because it is essential that any site where Pride be implemented meet both Rare's established criteria for success (strong local partner, competent campaign manager, biodiversity threats amenable to a Pride approach, etc) as well as the requirements of the funders (AZE site, etc). However, the site selection process will pre-match treatment and control at 3 campaign sites for their "conservation outcome potential", and then a non-Rare employee with no particular interest in the outcome of the campaigns or specific knowledge of the sites, will randomly assign the sites to treatment and control.
4. "The PIF is not clear if there will be three comparison sites per treated site, or three comparison sites total. The latter is inadequate and it is unclear why the project would take this approach. There should be at least one comparison group per treated unit."	There will be at least 9 Pride campaigns. At all 9 Pride campaign sites, Rare will implement both a ARA scheme and a Pride campaign.  At 3 of these campaign sites, the treatment and control areas will be pre-matched, as discussed above, and randomly assigned to treatment or control by a disinterested party. The treatment areas will receive Pride + ARA while the control sites will receive only ARA.

	<p>This design is a true field experiment.</p> <p>At the remaining 9 Pride campaign sites, the campaign managers will identify a nearby and similar area to serve as a comparison area. These 9 comparison areas will thus be chosen opportunistically and so are comparison, rather than true control areas; the study design at these sites is a quasi-experimental design. The treatment areas in these sites will receive Pride + ARA while the comparison areas will receive nothing other than monitoring.</p>
<p>5. "STAP requests that the full project proposal will indicate that the project will be measuring baseline outcome variables other than knowledge and attitudes. The PIF seems to imply that the project will do so, but is not clear. ... Such data would be very valuable and this opportunity should not be missed."</p>	<p>At least 9 Pride campaigns will develop a comprehensive ToC that provides a hypothesis about how the Pride campaign will cause impact on each of the following components: (1) Knowledge of ARA (K), (2) Attitudes towards ARA (A), (3) Interpersonal Communication about ARA (IC), (4) the implementation of the ARA Barrier Removal strategy (BR), (5) Behavioral Change and adoption of ARA by agriculturalists (BC), (6) threat reduction (decline of deforestation), and (7) conservation result (biodiversity indicators at individual and landscape levels). Baseline and post-project data will be collected for indicators for all of these. The survey data to measure K, A, IC, and BC will be collected by the campaign managers (with supervision by an external academic expert in 3 randomized control campaigns). A contracted ARA technical expert will collect the BR data. BirdLife Secretariat-Audubon and local partners will collect the TR and CR data.</p>
<p>6. "STAP encourages UNEP and its partners to either identify a suitably impartial in-house expert or to hire an outside consultant with expertise in quasi-experimental impact evaluations in order to (1) determine if the selection of controls and treatment sites conforms to the highest professional standards and (2) to conduct an end of project analysis of the project data."</p>	<p>Rare has consulted with Paul Ferraro during the refinement of the evaluation proposal (Ferraro, 2009b), resulting in a much stronger design. Further, Rare proposes to engage faculty and graduate students at the University of Texas at El Paso to (1) oversee and help implement the quantitative survey research at the 3 sites using randomized control groups, (2) do multivariate statistical analysis on survey data from all 12 sites including a meta-analysis of the impact data from all 12 sites. UTEP faculty and graduate students will also design and conduct the qualitative research component that is designed to assess our ToC. Biological monitoring will also be done by a disinterested 3<sup>rd</sup> party (BirdLife Secretariat-Audubon).</p>
<p>7. "A risk that should be considered is the longevity of the links between groups that influence the management of priority habitats and their tenure on the land as this can change over time."</p>	
<p><b>STAP Comments (3/3/09 by Guadalupe Duron)</b></p>	<p><b>How this study addresses the comment</b></p>
<p>2. "The use of control farmers is particularly innovative and desirable and the STAP encourages the project proponents to consider the selection of these control farmers carefully. Given that municipal-level capacity is also targeted, the project should also consider the selection of control municipalities, if feasible."</p>	<p>The control and comparison areas will be established at the "area" level, rather than at the level of individual farmers or municipalities. However, these areas will contain both farmers and municipalities.</p>
<p>2. (Cont.) "One weakness of the proposal is that its primary assumption about the barriers to PES is one of capacity, at both the farmer and the municipal level. The</p>	<p>Agreed, the purpose of the Pride campaign is to provide a means to persuade individuals to adopt the new behavior of utilizing the newly established ARA schemes. The</p>

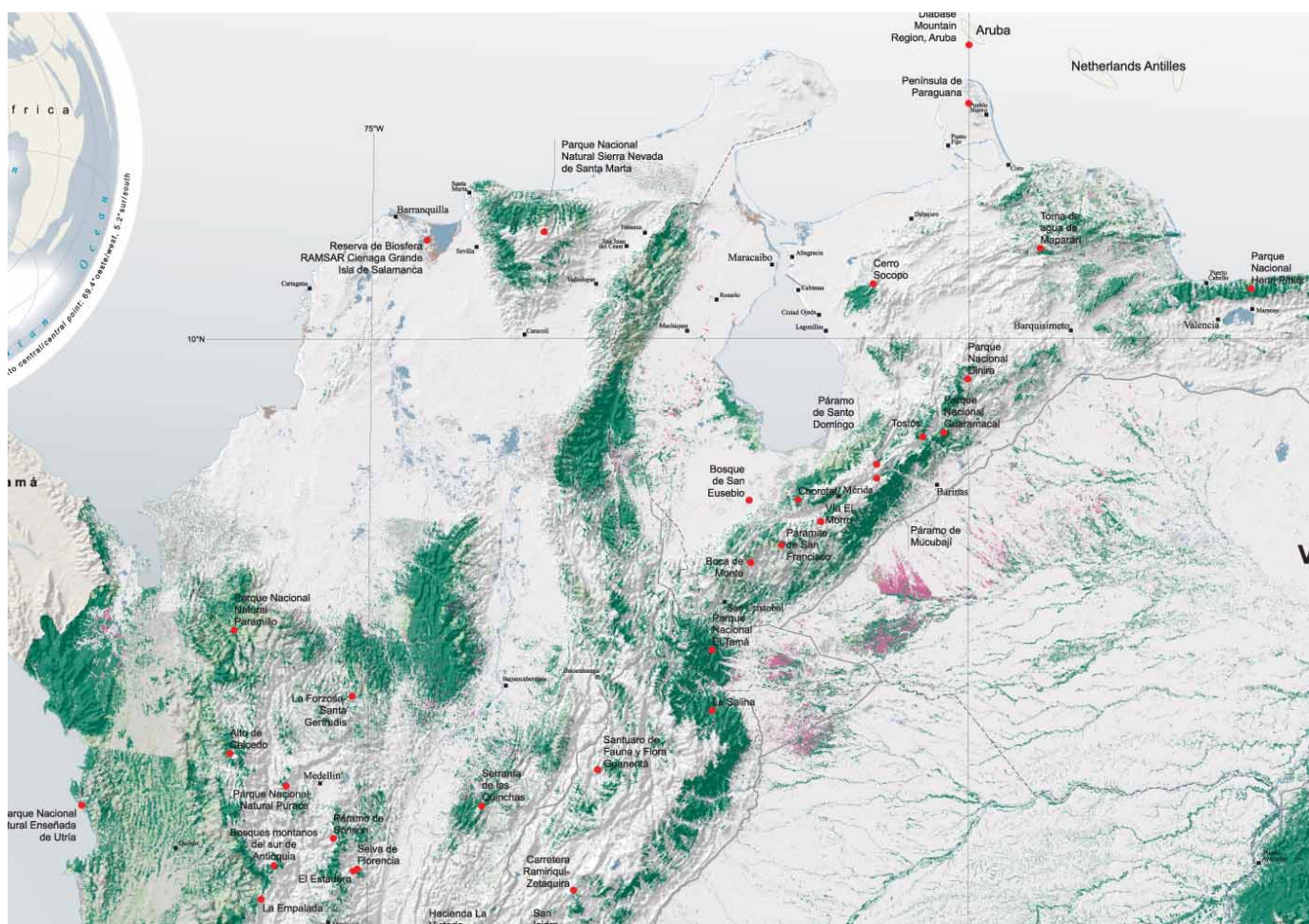
proposal implicitly assumes that should capacity be strengthened sufficiently, the incentives for making the payments exist to take advantage of that capacity. However, the assumption is testable and the project seems ready to test it formally."	proposed evaluation design is intended to test this hypothesis.
2. (Cont.) "A more significant weakness of this proposal (as with most PES proposals) is the failure to mention how the payment levels for any pilot PES program will be determined (e.g., bargaining, models of average returns, surveys, pilot incentive-compatible auctions, etc.).	It will be the province of the ARA technical expert, contracted to Rare, to devise how the payment levels are established at each site and to monitor how land use practices change as a result of the ARA scheme.
2.1 "Specify the methods the project will use to monitor the biodiversity benefits and carbon sequestration outcomes. At the moment, the methods and baselines are stated briefly as outputs to "strengthened capacities of municipalities to advance landscape based planning." However, STAP believes that further consideration needs to be given to defining a baseline and detailing further earlier on, and as part of the project design, proposed methodologies to measure and track global benefits."	Baseline monitoring protocols for biological indicators are outlined in the proposal and will be developed in detail at each of the 12 sites by BirdLife Secretariat-Audubon. Such monitoring will include species level indicators and landscape level indicators (e.g., percent forest cover). Current plans do not include carbon sequestration monitoring.
2.2 "On payment for ecosystem services, the proposal could be more clear about how these will be developed - accounting for the various social, economic and, potentially, political scenarios in the municipalities (and stakeholders), how the payments will be distributed to coffee farmers, and how the project's PES efforts will be tied to government policy and regulations on the use and management of water, land, forest, etc.	As discussed above, the ARA technical expert will devise how the payment schemes are established at each site and to monitor how land use practices change as a result of the ARA scheme.

#### References:

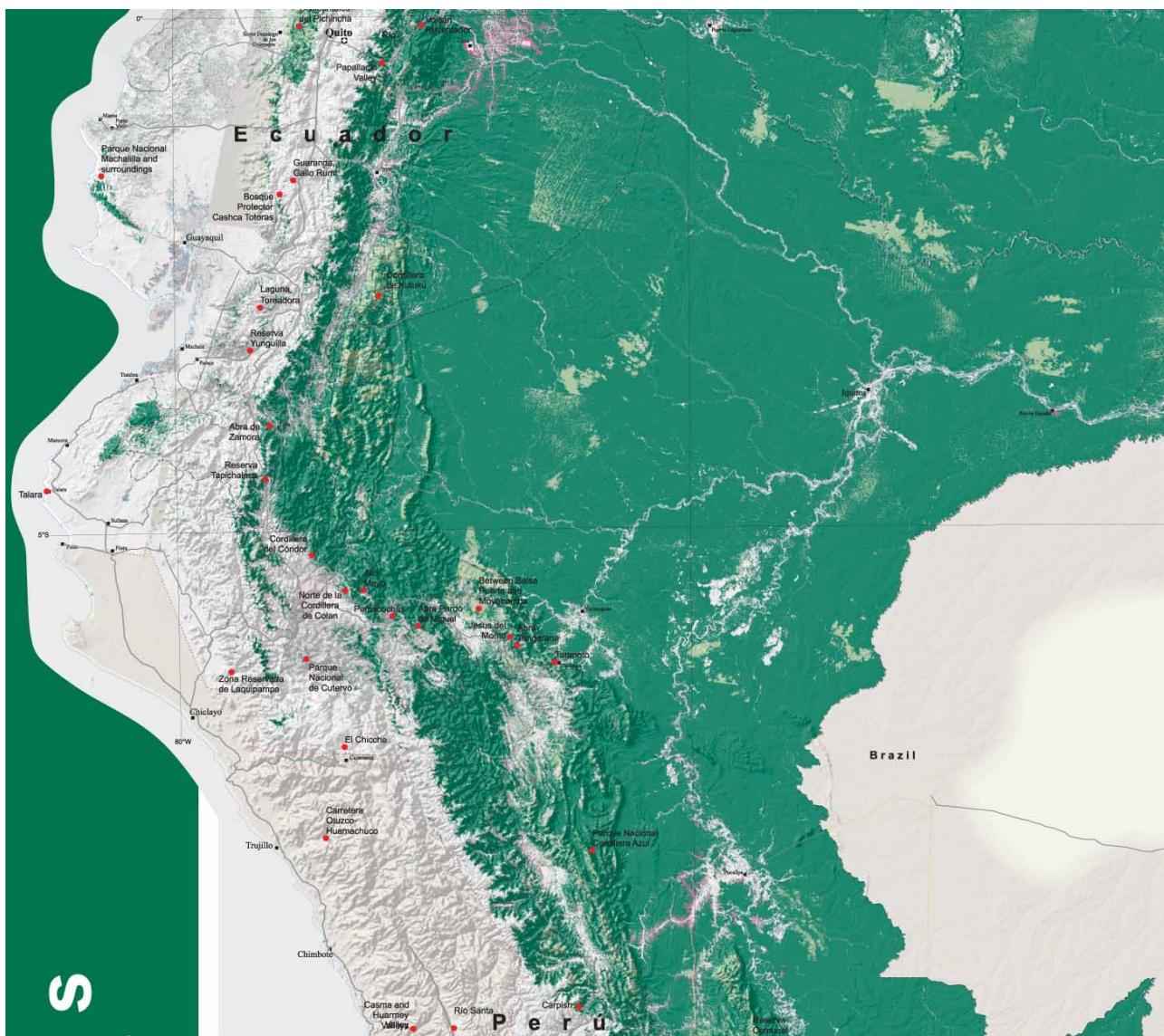
- Cunningham, D. 2008. STAP Scientific and Technical screening of the Project Identification Form (PIF), dated November 10, 2008. GEF & UNEP.
- Ferraro, P. J. (2009a) Counterfactual thinking and impact evaluation in environmental policy, Forthcoming in *Environmental Program and Policy Evaluation, New Direction in Evaluation*
- Ferraro, P. J. (2009b). Personal communication to Keith Alger in E-mail dated April 14, 2009.

## Appendix 17: Project Area Map

Andean Region showing Alliance for Zero Extinction Sites in Red, Forest in Green, and Deforestation in Purple









SITIO	PAIS	Populacion dentro de 10km	Populacion dentro de 25km	
Sítios de la Alianza para Extinción Zero (AZE) en Venezuela				
V1	Parque Nacional Península de Paria	Venezuela	1,294	43,748
V2	Cerro Turimiquire	Venezuela	4,675	69,283
V3	Parque Nacional Yapacana	Venezuela	0	103
V4	Parque Nacional Henri Pittier	Venezuela	142	650,745
V5	Toma de agua de Mapararí	Venezuela	2,126	41,115
V6	Península de Paraguana	Venezuela	15,114	46,834
V7	Parque Nacional Dinira	Venezuela	12,129	55,762
V8	Parque Nacional Guaramacal	Venezuela	38,511	67,452
V9	Tostós	Venezuela	6,864	132,556
V10	Páramo de Mucubají	Venezuela	13427	69,482
V11	Páramo de Santo Domingo	Venezuela	18,124	78,333
V12	Cerro Socopo	Venezuela	272	6,062
V13	Vía El Morro	Venezuela	1,223	355,850
V14	Chorotal	Venezuela	12,183	161,312
V15	Paramito de San Francisco	Venezuela	4,065	71,026
V16	Boca de Monte	Venezuela	7,774	119,661
V17	Bosque de San Eusebio	Venezuela	9,778	159,159
V18	Parque Nacional El Tamá	Venezuela	830	19,397

Sitios de la Alianza para Extinción Zero (AZE) en Colombia				
	Parque Nacional Natural Sierra Nevada de Santa Marta			
C1		Colombia	115	1,572
	Reserva de Biosfera RAMSAR Cienaga Grande Isla de Salamanca			
C2		Colombia	1,641	56,722
C3	Parque Nacional Natural Paramillo	Colombia	496	7,417
C4	La Forzosa-Santa Gertrudis	Colombia	12,030	41,373
C5	La Salina	Colombia	1,674	13,019
C6	Alto de Caicedo	Colombia	1,068	30,871
	Santuario de Fauna y Flora Guanentá			
C7		Colombia	18,529	118,601
C8	Parque Nacional Natural Purace	Colombia	852,354	3,100,120
	Parque Nacional Natural Enseñada de Utría			
C9		Colombia	2,275	8,803
C10	Serranía de las Quinchas	Colombia	7,026	26,615
C11	Páramo de Sonsón	Colombia	26,446	100,413
	Bosques montanos del sur de Antioquia			
C12		Colombia	23,550	203,065

C13	Selva de Florencia	Colombia	10,180	92,300
C14	El Estadero	Colombia	8673	76,469
C15	Carretera Ramiriqui-Zetaquirá	Colombia	20,362	206,200
C16	La Empalada	Colombia	54,163	230,585
C17	San Isidro	Colombia	16,114	125,847
	Hacienda La Victoria, Cordillera			
C18	Oriental	Colombia	17,265	262,991
C19	Albania	Colombia	7,264	697,024
C20	Alto de Oso	Colombia	164	15,656
C21	Granjas del Padre Luna	Colombia	909,870	7,421,000
C22	Parque Nacional Natural Chingaza	Colombia	4,334	41,237
C23	Fusagasuga	Colombia	60,245	3,695,830
C24	Parque Nacional Natural Sumapaz	Colombia	4,399	63,831
C25	Reservas Comunitarias Roncesvalles	Colombia	34,773	175,593
C26	Reserva Natural El Mirador	Colombia	3,051	49,240
C27	Villavicencio	Colombia	44,347	392,400
	Parque Nacional Natural Farallones			
C28	de Cali	Colombia	637	10,533
C29	Río Saija	Colombia	5,884	31,549
	Parque Nacional Natural Los			
C30	Picachos	Colombia	423	4,293
	Parque Nacional Natural			
C31	Munchique	Colombia	1,505	21,937
C32	Reserva Natural El Pangán	Colombia	1,735	20,396
C33	Asarrio	Colombia	14,917	90,442
C34	Valle de Sibundoy	Colombia	8,263	51,310
C35	Reserva Natural La Planada	Colombia	8,766	85,763

### Sitios de la Alianza para Extinción Zero (AZE) en Ecuador

E1	Cabacera del Río Baboso	Ecuador	2,528	13,065
E2	Pilaló	Ecuador	2,440	19,466
E3	Reserva Ecológica Los Illinizas	Ecuador	4,374	20,704
E4	Río Azuela	Ecuador	713	3,281
	Estribaciones Occidentales del			
E5	Pichincha	Ecuador	626	22,356
E6	Volcán Reventador	Ecuador	1,182	4,016
E7	Río Papallacta Valley	Ecuador	2,057	8,606
	Parque Nacional Machalilla and			
E8	surroundings	Ecuador	11,389	77,592
E9	Guaranda, Gallo Rumi	Ecuador	9,436	315,880
E10	Bosque Protector Cashca Totoras	Ecuador	20,903	124,236
E11	Cordillera de Kutuk	Ecuador	2,219	10,215
E12	Laguna Toreadora	Ecuador	4,791	405,516



E13	Reserva Yunguilla	Ecuador	14,288	59,696
E14	Abra de Zamora	Ecuador	2,573	149,893
E15	Reserva Tapichalaca	Ecuador	713	8,660

### Sitios de la Alianza para Extinción Zero (AZE) en Perú y Bolivia

P1	Talara	Peru	66,486	82,452
P2	Cordillera del Cóndor	Peru	5,177	65,789
P3	Alto Mayo	Peru	1,647	17,098
P4	Norte de la Cordillera de Colan Between Balsa Puerto and	Peru	6,859	89,165
P5	Moyabamba	Peru	20	4,501
P6	Pomacochas	Peru	3,976	28,103
P7	Abra Pardo de Miguel	Peru	6,041	39,589
P8	Jesus del Monte	Peru	4,568	59,212
P9	Abra Tangarana	Peru	3917	20,550
P10	Parque Nacional de Cutervo	Peru	11,030	119,188
P11	Tarapoto	Peru	8,780	176,519
P12	Zona Reservada de Laquipampa	Peru	4,278	36,211
P13	El Chicche	Peru	36,857	280,724
P14	Carretera Otuzco-Huamachuco	Peru	33,561	125,587
P15	Parque Nacional Cordillera Azul	Peru	1,369	8,043
P16	Carpish	Peru	8,392	59,281
P17	Casma and Huarmey Valleys	Peru	2,685	29,546
P18	Río Santa Valley	Peru	3,935	28,773
P19	Reserva Comunal El Sira	Peru	574	3,635
P20	Conchamarca, Ambo	Peru	13,163	58,833
P21	Llamaquiz- stream	Peru	644	9,314
P22	Cordillera Yanachaga	Peru	8,100	20,359
P23	Lago de Junín	Peru	2,465	34,038
P24	Marcapomacocha	Peru	4,245	33,796
P25	Río Mantaro-Cordillera Central	Peru	6,452	19,849
P26	Abra Tapuna	Peru	13,196	92,626
P27	Cosñipata Valley	Peru	1,020	4,707
P28	Abra Acjanacu	Peru	1,190	12,536
P29	Reserva Nacional de Paracas	Peru	22	259
B1	Zongo Valley	Bolivia	711	6,967
B2	Chaco in the Unduavi Valley	Bolivia	2,288	26,281
B3	Cuenca Cotacajes	Bolivia	6,794	28,918
B4	Parjacti	Bolivia	4,091	39,882
B5	Alto Carrasco	Bolivia	1,075	15,835
B6	Alto Amboró	Bolivia	191	2,018
B7	Río Huayllamarca	Bolivia	2,197	14,019

