



UNDP – PIMS Project N ° 5152 - GEF ID 5080  
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Terminal Evaluation Report of the Project:

**Transforming Management of Protected  
Area/Landscape Complexes to Strengthen  
Ecosystem Resilience - Resilient Amazon'  
(PIMS # 5152)**

**Consultant: Eduardo Durand - IC-352-2021**

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*The evaluation team expresses its satisfaction for having collaborated, through this evaluation, to disseminate the findings and assessments collected on its relevance and usefulness, as well as to respond to the various expectations it has generated for future actions and new initiatives that will benefit and promote progress in the areas of sustainable development based on the availability and resilience of conserved ecosystem services.*

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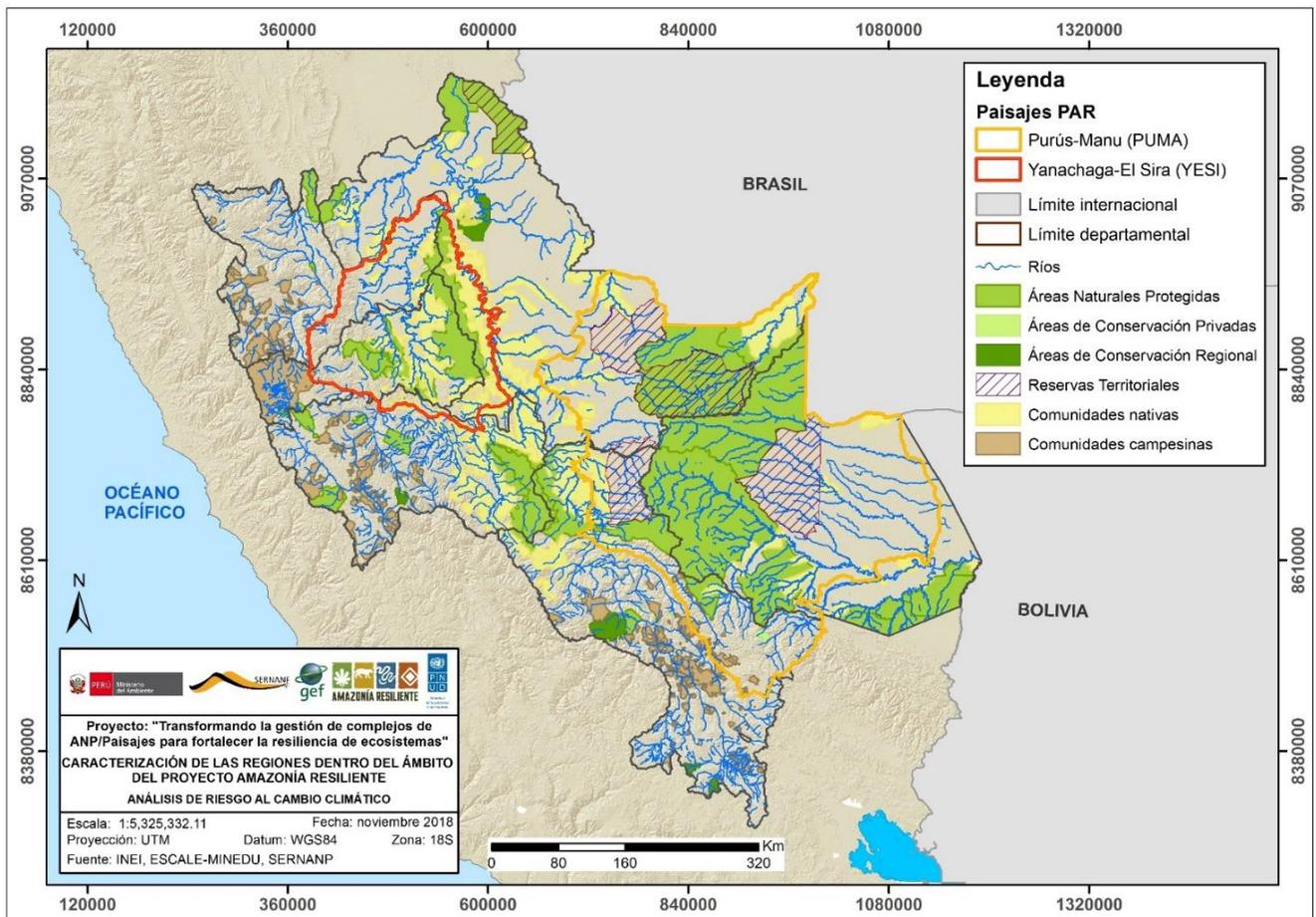
## ii. Acronyms and abbreviations

<b>Abbreviation</b>	<b>English meaning</b>	<b>Spanish Meaning</b>
AC	<i>Administration Contracts</i>	Contratos de administración
ACCA	<i>Association for the Amazon Basin Conservation</i>	Asociación para la Conservación de la Cuenca Amazónica.
AIDSESP	<i>Interethnic Association for the Development of the Peruvian Jungle</i>	Asociación Interétnica de desarrollo de la selva peruana
BD	<i>Biodiversity</i>	Biodiversidad
BZ	<i>Buffer Zone</i>	Zona de amortiguamiento
CC	<i>Climate change</i>	Cambio Climático
CD	<i>Management Committee</i>	Comité de Gestión
CEPLAN	<i>Center for Strategic National Planning</i>	Centro Estratégico de Planificación Nacional
CG	<i>Management Committee</i>	Comité de Gestión
COHARYIMA	<i>Harakmbut, Yine and Machiguenga Council</i>	Consejo Harakmbut, Yine y Machiguenga
COICA	<i>Coordinator of Indigenous Organizations of the Amazon Basin</i>	Coordinadora de las Organizaciones Indígenas de la Cuenca Amazónica
CONAP	<i>Confederation of Amazonian Nationalities of Peru</i>	Confederación de Nacionalidades Amazónicas del Perú
CPR	<i>Purús Communal Reserve</i>	Reserva Comunal Purús
DCF	<i>Directly collected funds</i>	Recursos directamente recaudados
EEZ	<i>Economic Ecological Zoning</i>	Zonificación ecológica económica
FECONAYA	<i>Yánesha Native Federation</i>	Federación de Comunidades Nativas Yánesha
FENAMAD	<i>Native Federation of Madre de Dios River and its Tributaries</i>	Federación Nativa del Río Madre de Dios and Afluentes
FP	<i>Permanent Heritage Trust Funds</i>	Fondos patrimoniales fiduciarios a perpetuidad
GEF	<i>Global Environment Facility</i>	Fondo para el Medio Ambiente Mundial (FMAM).
GHG	<i>Greenhouse gases</i>	Gases de Efecto Invernadero
GOREMAD	<i>Madre de Dios Regional Government</i>	Gobierno Regional de Madre de Dios
GSN	<i>Contributions of Sub-National Governments</i>	Aportes de los Gobiernos subnacionales
IBC	<i>Institute of Common Goods</i>	Instituto del Bien Común
IC	<i>International Cooperation</i>	Cooperación internacional
INEI	<i>National Institute for Statistics and Information</i>	Instituto Nacional de Estadística e Informática

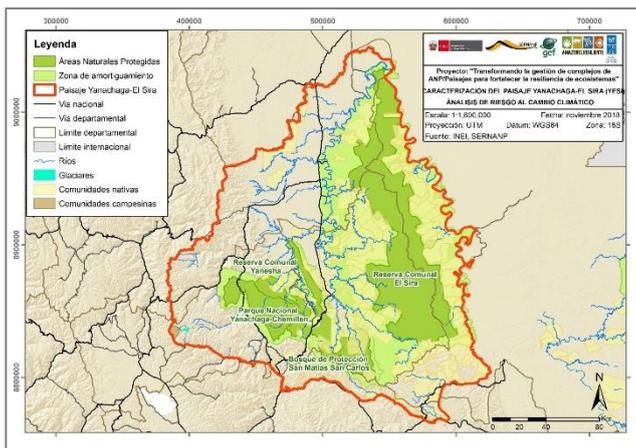
JBM	<i>Missouri Botanic Garden</i>	Jardín Botánico de Missouri
MEF	<i>Ministry of Economy and Finance</i>	Ministerio de Economía and Finanzas
MIDAGRI	<i>Ministry of Agricultural Development and Irrigation</i>	Ministerio de Desarrollo Agrario y Riego.
MIDIS	<i>Ministry of Development and Social Inclusion</i>	Ministerio de Desarrollo e Inclusión Social
MINAM	<i>Ministry of the Environment</i>	Ministerio del Ambiente.
NIM	<i>National Implementation Modality</i>	Modalidad de Implementación Nacional
NPS	<i>National private sector</i>	Sector privado nacional
OEFA	<i>Organism of Environmental Evaluation and Control</i>	Organismo de Evaluación and Fiscalización Ambiental
OSINFOR	<i>Organism Supervising Forestry and Wildlife Resources</i>	Organismo Supervisor de Recursos Forestales y de Fauna Silvestre
PA	<i>Protected Area</i>	Área Protegida (AP)
PF	<i>Protection Forest</i>	Bosque de Protección
PIF	<i>Project Identification Form</i>	Formulario de identificación de proyecto
PN	<i>National park</i>	Parque Nacional
PNA	<i>Protected Natural Area</i>	Área Natural Protegida (ANP)
PNAP	<i>Alto Purús National Park</i>	Parque Nacional Alto Purús
PNM	<i>Manu National Park</i>	Parque Nacional del Manu
PNYCh	<i>Yanachaga Chemillén National Park</i>	Parque Nacional Yanachaga Chemillén
PPG	<i>Project Preparation Grant</i>	Subvención para Preparación de Proyecto
ProDoc	<i>Project Document</i>	Documento de Proyecto.
PROFONANPE	<i>Fund for the Promotion of Natural Protected Areas in Peru</i>	Fondo de Promoción de las Áreas Naturales Protegidas del Perú
ProNaturaleza	<i>Peruvian Foundation for Nature Conservation</i>	Fundación Peruana para la Conservación de la Naturaleza
PSB	<i>Project Steering Committee</i>	Comité Directivo del Proyecto
RC	<i>Communal Reserve</i>	Reserva Comunal
RCA	<i>Amarakaeri Communal Reserve</i>	Reserva Comunal Amarakaeri
RCTs	<i>Executor of Administration Contracts of Communal Reserves</i>	Ejecutor de Contrato de Administración de Reservas Comunales
RCY	<i>Yánasha Communal Reserve</i>	Reserva Comunal Yánasha
REDD	<i>Reduction of Emissions from Deforestation and Degradation</i>	Reducción de emisiones por deforestación y degradación.
RFA	<i>Rainforest Alliance</i>	ONG 'Rainforest Alliance'

RO	<i>Recurrent funds</i>	Recursos ordinarios
SERNANP	<i>National Service for State Protected Areas</i>	Servicio Nacional de Áreas Naturales Protegidas por el Estado
SH	<i>Historic Sanctuary</i>	Santuario Histórico
SINAGERD	<i>National System for Disaster Risk Management</i>	Sistema nacional de Gestión de Riesgos de Desastres
SINANPE	<i>National System for State Protected Areas</i>	Sistema Nacional de Áreas Naturales Protegidas por el Estado
SNM	<i>Megantoni National Sanctuary</i>	Santuario Nacional Megantoni
TO	<i>Territorial Ordering</i>	Ordenamiento territorial
UNDP	<i>United Nations Development Program</i>	Programa de las Naciones Unidas para el Desarrollo
SN	<i>National Sanctuary</i>	Santuario Nacional

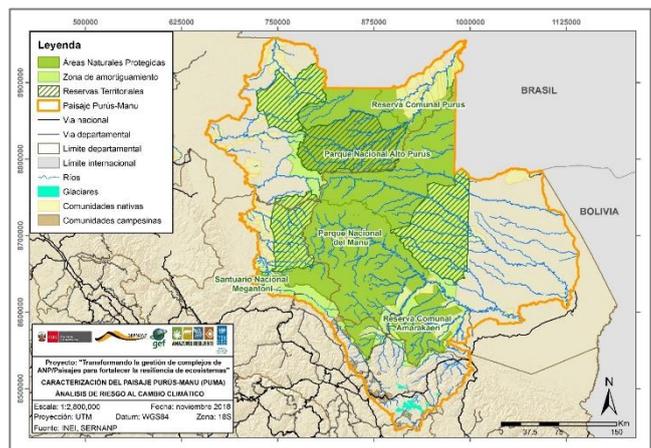
**iii. Landscape maps and Project intervention areas**



**Map of the Set of Landscapes and Surrounding Areas of the Resilient Amazon Project**



**YANACHAGA LANDSCAPE - EL SIRA (YESI)**



**LANDSCAPE PURUS - MANU (PUMA)**

Taken from: 'Climate Change Risk Analysis' - Natalia Aste - PAR Project - UNDP

## 1. Executive Summary

### 1.1 Project information table

Project's name		'Transforming the management of Protected Areas / Landscapes complexes to strengthen the resilience of ecosystems - Resilient Amazon'	
Project details		Project Milestones	
UNDP Project ID (PIMS #):	5152	PIF Approval Date:	04-09-2012
GEF Project ID (PMIS #):	5080	CEO Approval Date:	02-06-2014
ATLAS Business Unit, Award # Project ID:	00081013 00090480	Project Document (ProDoc) signature date:	04-20-2015
Country	Peru	Project Coordinator hiring date:	01-12-2015
Region:	LAC	Inception Workshop Date:	05-31-2016
Focal Area:	Multifocal	EMT termination date	01-14-2019
Strategic objective of the GEF focal area:	BD-1 LD-3 SFM-REDD-1	ET Planned Completion Date:	11-20-2021
		Planned date of project operational closure:	12-20-2021
Trust Fund:	GEF TF		
Implementing Agency and Implementation Partner:	UNDP and SERNANP		
Involvement of NGOs or CBOs:	Beneficiaries		
Involvement of the private sector	Beneficiaries		
Geospatial coordinates of the Project sites	(see maps section iii)		
Financial information			
PDF / PPG	At the time of approval (US \$)		At the end of PDF / PPG (US \$)
GEF PDF / PPG Grants for Project Preparation	99,475		99,475
Co-financing of project preparation	-		-
Project Financing	To CEO approval (US \$)		To the Final Evaluation (US \$) *
[1] UNDP contribution:	9,401,000		9,401,000
[2] Government:	31,997,798		21,090,324.64
[3] Other multi / bilateral:	21,025,764		21,025,764
[4] Private sector:	-		-
[5] NGO	-		-
[6] Total co-financing [1 + 2 + 3 + 4 + 5]	62,424,562		51,517,088.64
[7] Full GEF funding	8,991,434		8,991,434
[8] Total financing of the Project [6 + 7]	71,415,996		60,508,522.64

### 1.2 Brief description of the Project

The Project under evaluation aims to transform the management of vulnerable ecosystems in sectors of the High and Amazon Rainforest of the country that concentrate

Natural Protected Areas (NPA), to alleviate the direct and indirect impacts of climate change (CC) on biodiversity, and on the functionality of ecosystems that have global importance.

To attain this objective, it proposes a strategy with three pillars: (i) development of management systems (monitoring and early warning, tools for decision-making, and sustainable financing) to optimize national preparedness for the impacts of CC on ecosystems; (ii) expansion and strengthening of NPA sets in landscapes particularly sensitive to CC, to protect refuges and natural corridors and increase the level of preparedness to address specific cc impacts; and (iii) promotion of sustainable land management in the landscapes surrounding the NPA, in anticipation of incremental threats to biodiversity and ecosystem services due to unsustainable uses.

The design of the Project was formalized in February 2012 with the approval of the PIF and culminated in April 2015 with the signing of the Project Document (ProDoc). The lag and delay in the start was due to institutional and governance changes that delayed the internal approval of the Project. The expected duration was six years (until March 2021), and an on-going extension of execution for seven months was conceded up to December 2021). The main GEF funding was US\$ 8,991,434; and the co-financing commitments by the Peruvian State and international cooperation total USD 50,712,678.

The executing agency was UNDP and was established under the modality of national implementation (NIM), in charge of the Ministry of the Environment (MINAM) through the National Service of Protected Natural Areas (SERNANP).

The Project focused on two large natural landscapes of a total area of 17 million hectares: The Yanachaga–El Sira landscape, which covers Amazonian areas of the Ucayali, Huánuco, Pasco and Junín regions; and the Purús – Manu landscape, which encompasses Amazonian areas of the Ucayali, Cusco and Madre de Dios regions. Together the landscapes contain nine NPAs and their respective buffer zones (BZ). The execution components are adopted in category of 'Outcomes', which in turn result in outputs with their respective indicators. In summary, the structure of the Project in terms of objective, components / results and outputs / indicators, as indicated in the ToR, are:

**Objective:** *To improve resilience to CC impacts on vulnerable PNA ecosystems and surrounding landscapes in order to ensure their biodiversity and functionality as well as derived ecosystem services such as greenhouse gas sequestration and emission reduction.*

**Objective Achievement Indicators:**

- *Reducing the rate of loss of main habitat types (yungas, southern Amazon rainforest, and central puna) generates benefits for BD and prevents the loss of carbon sinks.*
- *Increase in the connectivity of ecosystems within landscapes and with adjacent ecosystems, measured by the number of hectares of ecosystems in good condition, under some conservation regime, within the potential connectivity corridors in the landscapes.*
- *Reduction of prioritized anthropic threats for NPAs, as measured by the METT tool.*
- *Reduction of the probability of affecting the ecosystem due to anthropic threats, according to the edition of the standard methodology of SERNANP.*

**Outcome 1: Increased resilience to climate change in key NPAs**

**Outcome Indicators:**

- *Better management capacity of NPA, as measured by the METT tool.*
- *Effectiveness in supervision and control in prioritized NPAs, measured according to compliance with surveillance and control strategies that include the context of CC and action at the landscape level (at least NPA + BZ).*
- *Level of local participation in the supervision and control of NPAs, measured in terms of the existence of conservation agreements through which local communities complement SERNANP's actions.*
- *Level of incorporation of aspects related to resilience to CC in the management instruments of NPA, CA, and RT / RI.*
- *Expansion of the coverage of conservation areas to protect essential ecosystems.*
- *Availability of economic resources (US \$) for the management of the prioritized NPAs taking into account the implications of the CC*

### **Outcome 2: Productive landscapes resilient to CC preserve the NPA.**

#### **Output Indicators:**

- *Level of integration of the cc resilience perspective into the planning instruments articulated at the national and subnational levels in the prioritized provinces bordering the NPAs.*
- *Greater potential of tree-based production systems (coffee, cocoa) to buffer NPAs against the direct and indirect effects of CC in the prioritized provinces surrounding them.*
- *Community forest management promotes the protection of forests in the context of CC and reinforces the land occupation rights of local communities.*
- *Agroforestry systems in buffer zones contribute to generating global environmental benefits, stabilizing landscapes and building resilience to CC.*
- *Greater participation of local communities, which promote gender equity, in environmental governance in landscapes.*
- *Level of incorporation of aspects related to resilience to CC and biodiversity in rural extension programs.*

## **1.3 Rating of Achievements Table**

In summary, due to the progress described below and the adaptive management of the Project - although the achievements have not been able to materialize to date, and that this could be described as a moderately satisfactory result - it is reasonable to consider that the unpredictable and difficult to manage impacts of the pandemic have conditioned these results,

and that the performance of the Project could have reached a satisfactory level in most activities. In this sense, the table of qualifications and achievements of the ET is as follows:

<b>1. Monitoring and Evaluation (M&amp;E)</b>	<b>Grade</b>
M&E design at start	<b>MS</b>
M&E implementation plan	<b>MS</b>
General M&E Quality	<b>MS</b>
<b>2. Implementation of the Implementing Agency (IA) and Execution of the Executing Agency (AE)</b>	<b>Rating</b>
Quality of UNDP Implementation / Oversight	<b>S</b>
Quality of Implementation Partner Execution	<b>S</b>
General Quality of Implementation / Execution	<b>S</b>
<b>3. Evaluation of results</b>	<b>Rating</b>
Relevance	<b>S</b>
Effectiveness / Efficacy	<b>MS</b>
Efficiency	<b>S</b>
General Project Rating	<b>S</b>
<b>4. Sustainability</b>	<b>Rating</b>
Financial sustainability	<b>MP</b>
Socio-political sustainability	<b>MP</b>
Institutional framework and governmental sustainability	<b>MP</b>
Environmental sustainability	<b>P</b>
General Probability of Sustainability.	<b>MP</b>

**Grade meanings** (see Annex F for the detailed description of the rating ranges):

- 1, 2 and 3: AS (Highly Satisfactory); S (Satisfactory); MS (Moderately Satisfactory);  
 MI (Moderately Unsatisfactory); I (unsatisfactory); AI (Highly Unsatisfactory).  
 4: P (Probable); MP (Moderately Likely); MI (Moderately Unlikely); I (Unlikely);

## 1.4 Summary of findings, conclusions and lessons learned

### *Project Design*

- The design of the Project has been relevant in addressing a problem of national and global interest and has stimulated the evolution of the work and state of the art of conservation in Peru. The progress made by SERNANP is evident terms of renewing inclusive and systemic approaches in its planning and work instruments in the NPAs and buffer areas.

- The central concept of the Project is the construction of resilience and the consideration of the impacts of climate change on ecosystems and their services in the NPAs. These are highly complex concepts whose evolution - unlike their urgent attention - requires times that exceed those of a single project.
- An explicit 'theory of change' with conceptual models and clarity of interactions and synergies was not formally included in the Project design. The theory is implicit in the way the components, products, activities and indicators, are structured; but a more detailed and systemic examination would have warned of the difficulties in articulating field actions already experienced and with installed capacities, with those that are innovative in the productive sectors and the population, which require more installation time.
- The initial determination of indicators was modified to correct excessively optimistic goals and figures for the scope of the Project, in Component 1. In component 2, the indicators were less precise, given the limitations for a quantitative baseline and the mostly qualitative nature. of the goals to be attained in a complex and diverse social and economic context.

#### *Implementation and risk management*

- The Project faced multiple risk situations, which to a substantial extent were alleviated with appropriate solutions: taking advantage of experiences and lessons learned from parallel or completed projects; proper governance management, including appropriate organizations and institutions, especially indigenous ones; decentralization of activities and coordination with the SERNANP organization in the field; and other adaptive actions.
- The overall rating for the implementing entities, UNDP and SERNANP, is considered satisfactory (**S**). In the case of UNDP, there has been a solid commitment to support the Project during coordination crises and personnel changes. Likewise, the coordination with SERNANP in the articulation of actions of the two components has been satisfactory. The presence of SERNANP technical staff in the field and the allocation of resources to share regional headquarters has been relevant and has helped to overcome the initial isolation of the teams in Lima.
- Progress can be seen in the greater awareness of the population and the one of technicians, in the incorporation of the subject of risks in the planning instruments, and in the innovative approaches to address them, which is positive; but greater incidence and extension are still required for national coverage.
- Repeated concerns arise about the increased frequency of forest fires, linked to global warming and also to human action, which affect the integrity of the NPA, their zones of influence and connectivity corridors. This risk must be managed by a combination of national and local actors that has not yet been fully established, so a responsibility focused mainly on SERNANP for its better response capacity persists, but the risks of impact and effects are of shared responsibility with all national and subnational actors.
- The Covid-19 pandemic was not foreseeable, and its impact caused the disruption of activities and plans, in addition to profound consequences on the life and health of residents and Project personnel. This impact has been the main cause of the delays and difficulties in completing the planned activities, and of the most drastic adaptive measures in the conduct of the Project and in the adaptation of the activities.

- The execution of the Project has also faced a recurring situation in the implementation of actions and seeking synergies in the interior of the country: the lack of effective collaboration and adequate capacities on the part of public agencies, and their propensity for bureaucratic inertia. Moreover, frequent turnover of officials and the incidence of electoral processes and changes in authorities and the added effect to the health crisis, have generated a context of increased risks and greater pressure on NAPs, with illegal activities and permissiveness or absence of authority control.

#### *Participation and involvement of stakeholders*

- The Project has called for the participation of local and regional entities, especially those linked to the management of SERNANP, and indigenous organizations and producer associations. This has been positive for gaining the trust of the population and strengthening local institutions; and to establish the achievements of participation in decisions and actions. The involvement of sectors of the regional government and the central government has been less productive, limiting the potential for political and multisectoral advocacy of the Project.
- The Project has optimized synergies with other projects of similar scope and nature regarding biodiversity conservation, climate security, empowerment of local institutions and improvement of the local economy in the Amazon. This approach has favored the assimilation of experiences and lessons learned; and it has also allowed the exchange of resources and convergence of achievements. In turn, the Project has contributed to the design of other national projects and leveraged additional financing for its own execution.

#### *Gender*

- Regarding the gender approach, progress has been made in the design of methodologies and standard training on the subject, aimed at groups of technicians, actors and beneficiaries to increase the participation of women in Project activities. Interviews and testimonies with women's organizations participating in handicraft activities revealed an authentic and enthusiastic involvement and commitment.
- Despite these efforts, the diversity of gender issues in the Amazon region - in which complex cultural characteristics converge, both of indigenous and colonist ethnic groups - requires further research and the design of adequate instruments that must be addressed by public policies that are today still general or oriented to Andean and urban populations. For these reasons, a permanent accompaniment of specialists in the field would have been appropriate.

#### *Social and environmental safeguards*

- The Project has had a satisfactory performance, in terms of social and environmental safeguards, due to the positive affinity of its actions for these purposes, aiming at expanding and improving the scope of conservation actions, and strengthening and training in the institutions involved. .
- Regarding social impacts, the technical and financial support for productive activities, for a greater economic and for social well-being of the local population is considered positive; as well as the contribution to their better knowledge about climate change and the ways to face

the conservation of ecosystem services and natural resources, with greater economic efficiency and future sustainability.

#### *Financing and co-financing*

- The assigned Project budget reached in total a significant amount, considering the co-financing contributions. However, the relative dispersion and extension of the intervention areas and the co-financing of other entities, resulted in that - from the perception of the local actors - the amounts at the level of locations and specific activities were not at the level of their initial expectations.
- The micro capital grant initiative has achieved enthusiastic acceptance among beneficiaries. This benefit should not be measured exclusively by the direct success of the ventures and their net financial profitability - not yet reliably determined – but it should be extended to the benefits of strengthening the sense of responsibility, belonging, self-confidence, preparation for subsequent challenges and undertakings, and of the exceeding thresholds in community development levels.
- The financial sustainability of the Project, in terms of supporting the consolidation of the achievements, is to a substantial extent assured with regard to the conservation of the NPAs and ecosystem services, through the permanence of SERNANP as an established presence of the State with a history and recognition. as a reliable entity with good management results and convergence with complementary projects.
- In terms of social achievements and productive undertakings based on the ecosystem services provided by the NPAs, and as reiterated in the conclusions on this point below, sustainability will depend on the extent to which the new conservation and conservation paradigm is institutionalized and local alliances between levels of government, civil society, the rural population and the private sector are consolidated; and, in parallel, public budgets are added at the national, regional and local levels through concerted development plans.

#### *Achievement of Results*

- In terms of measurable achievements towards the objective, according to the modified indicators, the execution effectiveness is rated as moderately satisfactory (**MS**), with the possibility of reaching a satisfactory level at the end of the Project (**S**). Some indicators already exceed the readjusted goal, in new conservation areas and extension of hectares; seven of the nine PNAs are beyond their threat reduction goals with an average of 77.8% success; and the average score on the METT exceeds the respective goal by more than two percentage points. This rating takes into account the limitations imposed by the pandemic and the effort made to overcome them.
- In Component 1, overall achievement of results is rated as satisfactory (**S**), given the restrictive conditions. Five of the six outcome indicators have reached their goal or are in the process with a potential to reach it before the Project closes. Relevant to this result are the achievements in conservation agreements, alliances with key stakeholders; and the accompaniment and advice of the Project in the processes through agreements with specialized technical institutions with experience in these processes with local populations.
- In Component 2, overall achievement of results is rated moderately satisfactory (**MS**) considering the rather ambitious targets. The activities of the component began with a low

level of execution – as it was indicated in the MTR - but afterwards there was a notorious recovery process once the initial limitations and difficulties of coordination, collaboration and implementation process with government entities and social groups of local level were overcome.

- The efficiency of the Project execution as a whole is considered satisfactory (**S**), weighing the limitations imposed by the health crisis, since 87.5% of the total budget allocation has been executed to date. The amount not executed consists of provisions for travel, per diem, workshops and other activities that have been restricted during the pandemic. The Project consulted through UNDP the possibility of a second extension (in addition to the seven months previously granted) to execute this remainder, but did not obtain a positive response, apparently because it is considered that the extension would have a cost that would not be justified by the increase. marginal of the impacts already achieved.

#### *Monitoring and evaluation*

- The monitoring and evaluation activities have generally performed satisfactorily, and there is a large collection of documents that must be managed by SERNANP, both in the technical and statistical aspects of the conservation of the NPAs and their BZs, as well as with regard to the planning experiences of adaptation to climate change and the promotion of resilient productive activities, on which an innovative management of the acquired knowledge is required, incorporated in management instruments such as the general Director Plan and NPA Master Plans.
- The monitoring instruments have been applied and kept updated through the Tracking Tool, the results of which are attached in a special section in this report (see **3.3.12**).

#### *Sustainability of achievements, replicability and scaling.*

- The sustainability of the Project's achievements resides in the consolidation of alliances and commitments with all actors and in all areas. In this regard, the permanence of key institutions in their roles, such as SERNANP, indigenous organizations, and producer associations with the private sector, has good prospects. It will be necessary to promote and consolidate the links with the private and public financial sectors, regional and local governments, and the local enterprises that are germinating themselves.
- The quality and affinity of the achievements with the SERNANP core activity allow us to envision the replicability and scaling of the Project activities to other areas and landscapes of the country, seeking complementarity with related projects in preparation or execution.
- The risks in socio-political sustainability, in the current conditions of change of government and relative uncertainty about future budgets, turnover of officials, and uncertain orientation of actions on climate security and the environment in general, present an unclear medium-term outlook. .
- The project execution experience leaves important lessons learned that must be systematized and documented in the brief time that remains for execution. Likewise, the development of an exit strategy - already being planned within the technical team - requires immediate support and monitoring by the DC and adequate management of resources, including transfers of items and changes of priorities that are necessary.

## 1.5 Summary table of recommendations

In the summary table of this section, the action recommendations resulting from the ET are presented, emphasizing that those corresponding to categories **A** and **B** attend to immediate needs, before the completion of the Project; while those included in sections **C** to **F** include actions to be considered for the consolidation of the Project's achievements and the institutional strengthening of the actors, with a view to replicating or scaling up and improving planning methodologies and current actions, both in the UNDP and SERNANP.

Rec #	Recommendations	Responsible entity
<b>TO</b>	<b><i>For immediate and priority action</i></b>	
A.1	To focus, in the meager deadlines that remain, to the urgent implementation of an exit strategy and commitment of the remaining funds with a roadmap to complete the actions before the financial closing.	UNDP SERNANP Project.
A.2	The exit strategy should include holding workshops, at the regional headquarters levels, which include face-to-face meetings with the necessary protocols, in order to consolidate progress, strengthen alliances, and form support groups committed to continuing actions under development.	Project CD SERNANP
A.3	Invest in the preparation of a memory of lessons learned and testimonies of achievements, including the dissemination of improvements and innovations, and describing current and potential synergies and their benefits.	UNDP Project
A.4	Promote and conduct the extension of the methodology of the risk and vulnerability analysis study carried out in the two landscapes, applied to all the NPAs and landscapes, as foreseen in the new project proposal to the GCF. The focus of this analysis should advance in the interrelation of the socioeconomic problems of the populations with the NPA and BZ, beyond the description and measurement of the risk status and statistical data.	SERNANP Project
<b>B</b>	<b><i>For an efficient conclusion and closing in the short term</i></b>	
B.1	Coordinate and optimize the use of the remaining resources with an administrative programming by UNDP-GEF that includes priority attention to the conclusion of key activities and the roadmap, ensuring commitments that can be met until financial closure.	UNDP-GEF SERNANP Project
<b>C</b>	<b><i>To ensure the effectiveness and impact of long-term actions</i></b>	
C.1	Seek the inclusion of activities to monitor and support the achievements of the Project, through related projects in progress or in preparation, as in the proposal to the GCF. SERNANP should be the government anchor of this process of integration of plans and actions with the innovative	UNDP MINAM SERNANP

Rec #	Recommendations	Responsible entity
	approaches of the Project and in alliance with local actors and private companies.	
C.2	Ensure the systemic inclusion of the concepts of resilience and long-term sustainability in the SINANPE Director Plan and NPA Master Plans, through directives and approaches based on the Project's experience; and support the development of a multidisciplinary and participatory proposal for conservation corridors in the country.	MINAM SERNANP
C.3	Institutionalize mechanisms to stimulate initiatives and forms of collective action, empowering the local population to demand their official adoption and sponsorship from their local authorities. It is suggested to explore the results of the PCM 'Tramas' program and the possibility of extending it to the Project areas by establishing ARD (Regional Development Agencies) in their area and nuclei of social and economic dynamization.	MINAM PCM SERNANP
C.4	Prioritize the design of a strategy, inter-institutional arrangements and regulations within the framework of SINAGERD, in coordination with the PCM, for the systematized attention of forest fire emergencies in the sphere of influence of the NPA, involving regional and local governments.	PCM MINAM CD Project SERNANP
<b>D</b>	<b><i>For the financial and socio-political sustainability of the results</i></b>	
D.1	Carry out a rapid study of the results of the execution of the micro capitals, and an appreciation of their scope of impact at the Landscape level with a view to extending this mechanism to other conservation landscapes; and, in parallel, study and design modalities of insurance mechanisms for credits, based on the experiences, successful or not, of the Project.	UNDP Project
D.2	Strengthen the alliances achieved with indigenous organizations, producer associations, and the private sector at all levels of incidence, considering post-pandemic situations and the opening of economic activities, maintaining active collaboration and participation relationships, and including these modalities in all projects and master plans.	MINAM SERNANP Project
D.3	Prepare a document of action strategies, options and alternatives for early work in the face of repeated situations of political instability, turnover of officials and governments, and others, which facilitate adaptive project management forecasts.	UNDP MINAM
<b>E.</b>	<b><i>To optimize gender and intercultural approaches.</i></b>	
E.1	Promote an inter-ministerial participatory working group (MINAM, MIDIS, MIMP, MINCUL) with indigenous organizations, NGOs and academia, to work on adapting the plans and regulations on gender and cultural approaches to the local and regional realities of the Amazon.	MINAM MIDIS MIMP MINCUL
<b>F.</b>	<b><i>For the scaling and replicability of the Project</i></b>	

Rec #	Recommendations	Responsible entity
F.1	Align and promote in the master plans the change of the conservation paradigm and the role of protected areas in their relationship with local development, the integrated approach to landscape connectivity and ecosystem services in production processes.	MINAM SERNANP UNDP
F.2	Consolidate the commitment, empowerment and real improvement of the socio-economic conditions of the beneficiaries, in the medium and long term, reinforcing and maintaining local alliances with the private sector, local governments and other actors through local and regional concerted development plans. The conservation of NPAs and buffer zones should aspire to be productive conservation, ensuring that the actors in the territory identify and internalize that these activities generate direct benefits for their own development and their favorable future evolution.	MINAM SERNANP UNDP

## 2. Introduction

### 2.1 Evaluation content

This document contains the final or terminal evaluation (ET) of the Project 'Transforming the management of Protected Areas / Landscapes complexes to strengthen the resilience of ecosystems', hereinafter referred to as the Resilient Amazon Project (PAR). The ET of the PAR covers the processes from its conception, formulation and beginning on April 20, 2015; until its end date on December 20, 2021.

The structure of the ET report follows the GEF-UNDP guidelines contained in the commission ToR, and includes this introduction, a brief description of the Project, and the core section of findings, conclusions and recommendations.

In the findings section (numeral 4) are analyzed the design and strategy of the Project; the Logical Framework of Results, both in narrative form and in the required formal matrix, where the goals and indicators are evaluated by objective and components, according to the established guidelines; and the progress made towards the final results with the corresponding qualification. Likewise, this section summarizes the main lessons learned derived from the evaluation exercise, both from the execution of the Project and from the evaluation process itself.

The Executive Summary summarizes all the main contents of the evaluation report and precedes the detailed sections to facilitate an immediate and comprehensive reading.

### 2.2 Purpose of the Evaluation

The purpose of the ET is to conduct a comprehensive and independent assessment of achievements, or its shortcoming, in the results of the Resilient Amazon Project in comparison with those foreseen, critically examining the execution context and causal chains, and determining the relevance, impact, effectiveness, efficiency and sustainability of the Project, in order to improve the contributions to future analogous interventions for sustainable and climate resilient development in the country's territories and their ecosystems.

The following are complementary purposes to the evaluation:

- Promote responsibility, accountability and transparency;
- Identify good practices and lessons learned that could be useful to improve the sustainability of the benefits of the Project, and help in the general improvement of UNDP programming;
- Contribute to the overall assessment of the achievement of the GEF strategic objectives for the benefit of the global environment; and
- Assess the degree of convergence of the project with other UN and UNDP priorities.

### 2.3 Scope of the Project evaluation

The ET's approach is focused on the critical analysis of the planning and formulation strategy of the Project, its territory coverage based on NPA landscapes, its components, expected results, products and indicators of success formulated based on the implicit theory of change applied to the Project design. Although an explicit and formal conceptual scheme of the theory of change is not described in the ProDoc, the content is conceptually guiding and consistent with the objective and expected results.

This approach is in turn inscribed in the GEF and UNDP guidelines and directives regarding the alignment of approaches with national directives and policies, the rationale for the expected change, the relevance and consequence of the components and the results, and the quality of the indicators of success raised, with reference to the SMART qualification standard.<sup>1</sup>

The ET report covers the entire execution period of the Project and is based on the information available up to the date of initiation of the evaluation process (August 2021). Its content is complemented by the Annexes required by the ToR and that appear in the table of contents, as well as the special annexes that are not part of the body of the report and that will be attached to the definitive version of the report.

## 2.4 Methodology

The evaluation methodology has been aligned with the regulations and guidelines of the GEF and UNDP for the case<sup>2</sup>, as well as the ToR of the assignment to the consulting team. Accordingly, we have proceeded to review the available technical, administrative and technical management reports and documents (See **Annex B**), reached after the ET inception meeting, which included a virtual meeting for exposure and dialogue with the main actors involved in the execution of the Project, which was conducted on September 6.

## 2.5 Data Gathering and Analysis

After reviewing the documentation, planned interviews were arranged and carried out as detailed in the list included in Annex **C**. Interviews were conducted in virtual mode with thirty-one people from 17 entities, selected and designated by SERNANP, the Project Management Unit and relevant staff from the UNDP country office. It is considered that the sample is representative of the diversity of governmental actors, actors with interference in protected natural areas such as area heads, ECAs, federations and associations of producers, indigenous organizations, NGOs, as well as local governments, projects in execution with interference in the matter; and private sector companies involved in the Project. The gender balance in this composition was satisfactory, as twelve women were included in the total of 22 interviewees (54%).

The interviews were conducted as from September 19 to October 1, based on semi-structured questionnaires, adapted to each type of participant (See Annex **D**); and the responses were summarized and systematized based on the evaluation matrix presented in

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<sup>1</sup> The acronym SMART (in English, 'smart') refers to the desirable characteristics of the indicators: Simple (simple), Measurable (measurable), Achievable (achievable or feasible), Relevant (relevant or relevant), and Timebound (referring to compliance deadlines).

<sup>2</sup> 'Guidance for Conducting Terminal Evaluations of UNDP (for GEF supported Projects)

the ET initiation report (See Annex E). On October 13, the formal presentation of the first findings and preliminary conclusions took place before the main managers and officials of UNDP and SERNANP.

## 2.6 Ethics

In keeping with the standards and instructions regarding evaluation ethics, the process has been conducted with the corresponding discretion and confidentiality in the treatment of the information provided both by UNDP and the Project team, as well as by individual interviews, during which the confidentiality of the opinions expressed – as was expressly indicated - have been considered in the pertinent anonymous way.

Likewise, the conduct of the evaluator has been subject at all times to the guidelines and orientations for the execution of the assignment, the treatment of the information, and the professional relations with the personnel of the institutions involved.

## 2.7 Limitations of the evaluation

It is important to note that, as had already been foreseen in the ToR of the assignment, the conditions imposed by the Covid-19 pandemic did not allow the evaluation process to be ideally executed as it was not possible for the evaluation team to travel and verify progress and achievements in the field. Therefore, all the interviews and coordination were conducted virtually, fulfilling the complete program. In the cases in which it was not possible to carry out the interviews with the designated person, alternate officials were chosen whose contribution was equally effective and pertinent. In this sense, the evaluation team has obtained perceptions and points of view that, together, reveal consistency and coincidence in the key aspects, as well as coherence with the documentary information obtained.

### 3. Project Description and Context.

The Project under evaluation is described as the pursuit of improvements in the response capacity of the Protected Natural Areas and prioritized Buffer Zones, in the face of impacts such as climate change and other pressures, in order to ensure the well-being of local populations and the biophysical and social environment of the Amazonian ecosystems.

The main objective has been to strengthen the resilience of vulnerable ecosystems in two NPA / landscape complexes to the impacts of climate change in order to conserve threatened biodiversity and the functionality of the ecosystems. The Project has been promoted and co-financed by the GEF; the Ministry of the Environment (MINAM) through the National Service of Protected Natural Areas (SERNANP); the United Nations Development Program (UNDP), the Regional Governments of Pasco, Huánuco, Junín, Ucayali, Cuzco and Madre de Dios; the Belgian Cooperation; the Swiss Agency for Development and Cooperation (SDC); and the Government of Germany. Its execution is in charge of UNDP Peru and SERNANP, in the NIM modality, with the strategic and political support of MINAM. The Project has also promoted effective coordination with other initiatives and projects at the national and local levels in different areas such as forest management, sustainable production systems, land use planning, climate change, ecosystem and biodiversity management, risk management, comprehensive territorial planning at the regional and local levels, and REDD initiatives.

The Project proposes a contribution to the transformation of the management of vulnerable ecosystems in Peru in order to mitigate the direct and indirect impacts of climate change on globally important biodiversity and the functioning of ecosystems, through a three-pillar strategy: **(i)** development of management systems to optimize the level of national preparedness to address the implications of climate change in relation to ecosystems; **(ii)** expansion and strengthening of NPAs in landscapes that are particularly sensitive to climate change, to protect refuges and corridors areas and increase the level of preparedness to address specific impacts; and **(iii)** to promote sustainable land management in the landscapes surrounding the NPAs, thus anticipating the increasing threats to biodiversity and ecosystems.

The Project formally began on April 20, 2015, with the signing of the ProDoc; but the negotiations for its formulation and approval began four years before, approving the PIF in February 2012. This delay is frequent in the context of the country's governmental relations and international cooperation for innovative projects that require special consultation, but usually it gets more complicated when they coincide - as in this case - with election campaigns and changes in national and regional governments.

The Project was designed for a duration of six years, which should culminate in March 2021 but - due to the delays at the start in preparing for field work and early changes in key personnel - it was granted an extension of seven months, without budget increase, with which it will end its actions on December 20, 2021, and will have the financial closure in March 2022. Between September and November 2018, the corresponding Mid-Term Evaluation (MTR) was conducted, the final report of which was presented in January 2019.

In financial terms, the Project is classified as full size, having received from the GEF a donation of about nine million dollars and having achieved significant counterparts, both in convergent or coincident investments, as well as in-kind contributions from various public institutions and international cooperation (see section 1.1) that altogether reach an investment equivalent to more than 50 million dollars in convergent activities. In the design of the Project,

methodological contributions and field experiences of the 'EbA Amazonia' project were incorporated, which was executed with the support of the German cooperation (IKI) in parallel to the formulation and initiation of the Project under evaluation, and in similar areas.

The Project has focused on two large natural landscapes with a total land area of 16'973,976 ha: The Yanachaga–El Sira (YESI) landscape, which encompasses Amazonian areas of the Ucayali, Huánuco, Pasco and Junín regions; and the Purús–Manu (PUMA) landscape that encompasses Amazonian areas of the Ucayali, Cusco and Madre de Dios regions. Together these landscapes contain nine NPAs of distinct categories, their respective buffer zones (BZ), and other conservation and productive use areas. The NPAs included in the South zone (PUMA) are: the Manu National Park, the Alto Purús National Park, the Purús Communal Reserve, the Amarakaeri Communal Reserve and the Megantoni National Sanctuary. In the Central zone (YESI) the NPAs included are: the Yanachaga-Chemillén National Park, the Yanesha Communal Reserve, the San Matias-San Carlos Protection Forest and the El Sira Communal Reserve.

The context of development and conservation of the NPAs of both landscapes has had a long and positive evolution as a consequence of national advances that are summarized today in 17.6% of the territory under some category of conservation within the national NPA system. This means about twenty-seven million hectares and represents an enormous challenge that the entity in charge of the system, SERNANP, has been facing with increasing efficiency and with the effective support of the international community. In fact, the Resilient Amazon Project is the result of synergies and a consequence of methodological and conception advances within the framework of the planning processes at SINANPE, and the evolution of learning from successive projects and their application to national development policies of natural resources.

Until March 2021, SINANPE was composed of 76 APAs (25,684,523.65 ha). If the Regional Conservation Areas - ACR (25, with a protected area of 3,245,188.63 ha) and the Private Conservation Areas - ACP (141, with 384,918.98 ha) are considered, the total protected territory of the country is 23 051 968.58 ha. If we only consider the land area of Peru covered by protected natural areas, these are 22 645 810.51 ha (17.62% of the national territory). Consequently, the Project has a broad coverage of over 75% of the country's terrestrial NPAs.

On the other hand, however, this commendable progress in conservation has not been exempt from repeated threats and eventual setbacks due to social, political and cultural conditions in the country; especially, in the context of the relative geographic, population and governmental marginality in which the conservation of most of the natural areas involved in the Project takes place. Recurring threats are the conversion of primary forests to precarious agriculture and livestock, timber and forestry extraction in general, artisanal mining and illegal crops. Added to these are the growing impacts of climate change and, more recently, of the Covid19 pandemic, which has limited the scope of surveillance and control actions and increased levels of poverty and attention to basic needs.

The formulation of the Project does not refer in the ProDoc to an explicit 'Theory of Change' or in a graphic scheme, but it is evidenced in the statements and strategies implicitly in the orientation to articulate the proposals for improvement and extension of conservation activities, with proposals of local sustainable development and resilience of base ecosystems; all with a view to promoting a concept of conservation that extends and is supported by an interaction and alliance with local populations, and in the consolidation of the proactive

presence of the NPA reinforced with a vision of interest, participation and mutual benefit on the part of the population in the area of influence.

Thus, the Project proposed two components: the first, called 'Greater resilience to climate change in NPA of fundamental importance' includes strategies to: (i) increase the surface of ecosystems conserved under various modalities; (ii) improve connectivity between NPAs with rights granted for conservation; (iii) improve the planning of nine NPAs; (iv) establish conservation agreements (CA) with communities within the scope of the NPA; and (v) strengthen the management capacity of SERNANP and other entities outside the National System of Protected Natural Areas (SINANPE); and the second component, called 'Productive landscapes resilient to climate change buffer NPAs', includes strategies to improve governance, promote sustainable production practices, strengthen the value chain of non-timber products, and promote training mechanisms in bio-business and productive management in rural areas. The expected beneficiary population is more than forty thousand families that manage approximately 20 thousand ha of agroforestry properties in buffer zones of the prioritized NPAs.

The components are assimilated to the category of 'Results' (Outcomes), which in turn lead to products with their respective indicators. In summary, the structure of the Project in terms of objective, components / results and products / indicators, as indicated in the ToR, are:

**Objective:**

*Improve resilience to CC impacts in vulnerable NPA ecosystems and surrounding landscapes in order to ensure their biodiversity and functionality, as well as derived ecosystem services, such as the sequestration of greenhouse gases and the reduction of emissions.*

**Product Indicators:**

- P1. Reducing the rate of loss of the main types of habitats (yungas, humid forest of the southern Amazon, and central puna) generates benefits for the BD and avoids the loss of carbon sinks .*
- P2. Increased connectivity of ecosystems within landscapes and with adjacent ecosystems, measured by the number of hectares of ecosystems in good condition, under some conservation regime, within potential connectivity corridors in landscapes.*
- Q3. Threat reduction for prioritized NPAs, as measured by the METT tool.*
- P4. Reduction in the probability of ecosystem damage due to anthropic threats, according to the measurement of the SERNANP standard methodology.*

**Outcome 1:**

*Greater resilience to climate change in NPA of fundamental importance.*

**Result / Output Indicators:**

- 1.1 Better NPA manageability, as measured by the METT tool.*
- 1.2 Effectiveness of supervision and control in prioritized NPAs, measured by compliance with surveillance and control strategies that include the CC context and action at the landscape level (at least NPA + BZ).*
- 1.3 Level of local participation in the supervision and control of NPA, measured by the existence of conservation agreements through which local communities complement the actions of SERNANP.*
- 1.4 Level of incorporation of aspects related to CC resilience in the NPA, AC, and RT / RI management instruments.*
- 1.5 Expansion of the coverage of conservation areas to protect essential ecosystems.*
- 1.6 Availability of economic resources (US \$) for the management of the prioritized NPAs, taking into account the implications of the CC*

**Result 2:**

*Productive landscapes resilient to CC buffer NPAs.*

**Result / Output Indicators:**

- 2.1 *Level of integration of the CC resilience perspective in the planning instruments articulated at the national and subnational level in the prioritized provinces bordering the NPAs.*
- 2.2 *Greater potential of productive systems based on trees (coffee, cocoa) to cushion the NPAs against the direct and indirect effects of CC in the prioritized provinces surrounding them.*
- 2.3 *Community forest management promotes the protection of forests in the context of CC and reinforces the land occupation rights of local communities.*
- 2.4 *Agroforestry systems in buffer zones contribute to generating global environmental benefits, stabilizing landscapes and building resilience to CC.*
- 2.5 *Greater participation of local communities, which promote gender equality, in environmental governance in landscapes.*
- 2.6 *Level of incorporation of aspects related to CC resilience and biodiversity in rural extension programs*

The stakeholders and participants in the execution, in addition to SERNANP as an institution attached to the Ministry of the Environment (MINAM) are, mainly:

- Other attached bodies and General Directorates of MINAM, such as the 'National Program for the Conservation of Forests for the Mitigation of Climate Change' and the dependencies and related projects of the Vice Ministry of Strategic Development of Natural Resources.
- The Ministry of Agrarian Development and Irrigation (MIDAGRI), which is in charge of the rectory on agrarian and forestry issues, including the National Forest and Wildlife Service (SERFOR);
- The Regional Governments of Pasco, Huánuco, Junín, Ucayali, Cuzco and Madre de Dios.
- Provincial and district local governments (Oxapampa, Manu, Puerto Bermúdez, Villa Rica, Huancabamba and Palcazú)
- Indigenous organizations at the national level (AIDSESEP, CONAP), regional (FENAMAD, FECONAYA, URPIA, ) and local
- Management Committees of NPA (11) and ECA of communal NPA (6)
- Local Producers Associations (15)
- Executors of the administration contract including ECOSIRA, ECOPURUS, AMARCY, ECA AMARAKAERI
- Specialized NGOs and Technical Institutions (Instituto del Bien Común, Rainforest Alliance; Zoological Society of San Diego; ProNaturaleza; Pro Purús, AFAPROCAP, among others.
- San Antonio Abad National University of Cuzco; Private companies of national industrial level (La Ibérica, PERHUSA, Aje) and agro-export associations (Amarumayu, Ukumari).

## 4. Findings

### 4.1 Design and formulation of the Project

#### 4.1.1 Analysis of the Results Framework: logic and strategy of the Project and indicators

The Project responds to the national priorities entrusted to its main partner and institutional beneficiary, SERNANP, while addressing a relevant and innovative problem for the context of the conservation of NPA in the country, both due to the imminent climate risks that have not been present in conventional conservation planning; as well as the risks and threats to biodiversity as a consequence of demographic pressure and the socio-economic needs of local populations. These factors, which required an integrative approach for sustainable and resilient development, gave rise to a design that assumed and incorporated a 'landscape' approach, a necessary additional innovation in consequence of the situation described and the evolution of the state of the art at the world level.

Therefore, the division into components and activities is understandable, considering that the regulation is different in each area of action. Likewise, the competencies and responsibilities of the corresponding authorities - SERNANP as executor of Component 1 and those of local and regional governments, are different from those of the technical team in charge of executing Component 2, to coordinate their actions with SERNANP. For logistical reasons and thematic affinity with other projects, the technical team for Component 2 worked from the UNDP offices.

The physical separation of the technical staff has not been a gravitating factor in itself, but it contributed to accentuate the difference between the work topics, due to the initial difficulties in introducing the innovative social and economic actions of Component 2 - which required more time for planning and preparation in the field - in the face of the intensification and concrete strengthening of current conservation actions already experienced by SERNANP, with greater access to information and expertise in the field. This division, although necessary from the operational point of view, made an early integrative approach of the Project components difficult, beyond the theoretical statement of their complementarity, and was further complicated by the confinement forced by the pandemic.

The design of the Project contemplates in Component 2 a set of improvement proposals for local producers, whose effectiveness lies in promoting and implementing actions that demonstrate the socio-economic benefits of sustainable and resilient productive management to displace mere extractive activities. At the same time, however, it was shown that the process to achieve this is arduous and does not coincide with the times of more expeditious activities such as surveillance and control.

The results and products expected for each component, although they are conceptually and operationally feasible individually, have been affected by the same limitations when considering their interaction and theoretical synergies with each other, as is the case of training in productive activities versus to its interaction with the needs of control and surveillance, or landscape connectivity. Consequently, it was necessary to reconsider and adapt the original indicators, excessively ambitious and quantified in Component 1, compared to the mostly qualitative and tentative indicators in Component 2. These last characteristics - which were not sufficiently measurable and achievable in time, in SMART terms - do not finally allow us to fully measure the overall achievements of the Project,

In general, although the design of the Project is based on an accurate diagnosis of the problems, it presents reasonable and innovative solutions, and considers the involvement of key actors, experience suggests dedicating a greater effort to design the theory of change to delineate more precisely the execution strategy. On the other hand, the overall dimension of the Project, in territorial and budget terms, raised excessive expectations in the local actors, since when the applicable budget was distributed, even with the additions of co-financing in such a large area and with so many potential beneficiaries, the amounts allocated at the local level were not so comfortable to respond to the expectations raised and the additional demands of the population and the managers of the NPA.

#### 4.1.2 Assumptions and risks

The risks identified at the Project design stage are: (i) inertial resistance to inter-institutional collaboration, (ii) limited adoption and poor understanding of the proposed approach by regional and local governments; and (iii) changes in the social conditions of the target population. The design is adjusted to the prevention of these risks inasmuch as it gives the pertinent importance to the involvement of the actors that configure the different implementation scenarios at the local, regional and national levels; and recognizes its leading role in achieving results.

The implementation of the Project has demonstrated a posteriori the effectiveness of the strategies proposed to prevent and mitigate in most cases these anticipated risks, such as, for example, the participation of indigenous organizations in the Steering Committee and the effective presence of the team of the Project in the different decentralized strategic headquarters.

In other cases, despite having foreseen certain risks and having considered adequate strategies for their management, they have not been mitigated due, in large part, to underlying structural characteristics, such as, for example, the lack of institutional cooperation and the high rotation of regional and local government officials. However, this situation being known, they should have been anticipated by formulating consistent strategies in the initial stages of implementation.

Finally, there are two unforeseen risk situations that affected critical stages of the Project's implementation; the health crisis caused as of March 2020 by the Covid-19 pandemic; and the long and coincidental political crisis at the national level, which in turn unleashed an acute social and economic crisis. These conditions put the achievements of the Project at risk on several fronts as they limited the activity in the field and increased the pressure on the NPAs and their buffer zones due to the advance of illegal or uncontrolled activities.

#### 4.1.3 Planned stakeholder engagement

The achievement of the Project's products at the field level has been possible to a significant extent - despite the geographic scope and logistical challenges posed by the prioritized areas - through collaboration agreements with local organizations. The initial approach of the Project strategy was to give preference to grassroots organizations that include and represent the beneficiaries; at the same time, the Project considered these entities as beneficiaries, since support for the strengthening of planning and management capacities of NPA was prioritized; for this purpose, specialized technical institutions were summoned, by virtue of their experience and installed capacity in the field, to provide technical and organizational support.

In the design, priority was given to the participation of local and regional entities, among which indigenous organizations and federations stand out, individually or through national-level organizations such as AIDSEP and CONAP; executors of administration contracts (ECA), who are directly responsible for the management of the NPA; and regional and local governments, with interference and decision-making power on territorial planning based on the formulation of land use planning plans and integrating the conservation of biodiversity and the resilience of protected areas into their plans.

To ensure the planned interactions, coordination spaces were established: the inception workshops, in order to socialize and validate details of the project design with the national and regional key actors; the Steering Committee, which included representatives of local stakeholders such as the management committees of the prioritized NPAs and representatives of AIDSEP and CONAP; regional steering committees; and the NPA management committees. Among the coordination mechanisms external to the project that allowed interaction with the actors are the REDD platforms, technical commissions for ecological economic zoning and land use planning (ZEE-OT), regional environmental commissions (CAR), municipal environmental commissions (CAM), forestry roundtables and civil defense committees.

The interviews carried out with the actors and stakeholders reveal some differences in the perception of the intensity and quality of the participation promoted by the Project, but in general they can be classified as positive, especially since the development of activities allowed overcoming initial prejudices and distrust in the local communities; and the micro capital donation modality was an effective strategy to generate mutual trust, and prospects for progress and self-sufficiency among the participants.

The members of the CD express agreement with the frequency and conduct of the sessions (ten of them documented) but call attention to the intermittent and occasional participation of the MINAM representation, and eventually, MIDAGRI.

#### 4.1.4 Lessons learned and links to other relevant projects.

The Project was designed on the basis of experiences and results from previous projects such as, for example, the projects "Promoting sustainable land management in Las Bambas," "Conservation of the biodiversity of the paramo in the northern and central Andes," "Adaptation based on mountain ecosystems - EbA Mountains," and "EbA Amazonia". The ProDoc does not specify how the lessons learned from these projects are incorporated in a systematic way; However, the testimonies of the interviewees reaffirm that the design was conducted on the basis of valuable previous experiences, even with the participation of professionals in such projects.

Indeed, from the design phase of the Project there is evidence of an effort to identify potential synergies with other initiatives under development in each of the prioritized NPAs. Among these, the strong relationship it has had with the EbA Amazonia project stands out, from which it was sought to replicate and extend the successful experience in working with the Communal Reserves and the respective indigenous organizations of both Landscapes.

This degree of complementarity led to the decision to hire the coordinator of the 'EbA Amazonia' project to assume the coordination of Resilient Amazon, after this role was temporarily taken over by UNDP after the unfortunate death of the initial Coordinator. Likewise, the Project has sought a relationship with the project 'Sustainable Productive Landscapes in

the Amazon (PPS)', conceived and started after the Resilient Amazon and implemented by the UNDP, which is expected to contribute to the sustainability of the achievements; however, there is still no evidence of results in this regard.

#### 4.1.5 Incorporation of gender approach

The design of the Project proposed the incorporation of the gender approach in all its phases in order to guarantee the equitable participation of women in dialogue and decision-making, as well as the identification and promotion of opportunities to obtain concrete benefits in terms of economic and social empowerment and sustainability of their livelihoods. In this regard, the Project's gender marker score was two, which means that its activities consider gender equality as a key objective. The case of the association of artisan women in El Sira is illustrative, as they show enthusiasm and are contributing ideas to boost their ventures.

In this sense, although the design of the Project addresses the importance of this approach and its transversality of the activities to be developed, it does not define a clear route to do so, leaving those in charge of implementation responsible for structuring a specific and concrete strategy. In the public sector, there are already technical regulations and express policies that did not exist at the time the Project was formulated, and that are mandatory. MINAM, MIMP, and MINCUL have produced documents that include the need to articulate and integrate gender policies with intercultural and intergenerational approaches. The main ones are the Gender Action Plan against Climate Change (MINAM-MIMP, 2015), and the National Gender Equality Policy (Supreme Decree No. 008-2019), which approves guidelines for national application.

Regarding the scope of the Project, the existing gaps, such as the particularities and cultural diversity of rural and indigenous populations, are not yet sufficiently analyzed nor developed in government regulations, which are generic or privilege the characteristics of the problem in the Andean and urban areas.

#### 4.1.6 Social and Environmental Safeguards

In terms of findings in this area, it should be taken into account that the objectives and characteristics of the Project are concomitantly related to considerations of environmental protection and social safeguards - unlike infrastructure, extractive or invasive projects. Therefore, the environmental or social risks are not only lower in this case, but the Project activities are aimed at strengthening the natural environmental and social resilience of the natural areas and their surroundings.

Activities and products were included in the initial planning of the Project in anticipation of potential environmental and social impacts, or vulnerability to environmental and social changes. On environmental issues, actions related to the conservation of biodiversity and sustainable management of natural resources are appreciated; and on the social dimension, aspects related to equity and social equality. The qualification of these potential impacts can be considered as positive since they explicitly aim to achieve environmental and social improvements in the areas of intervention.

Regarding environmental impacts, Component 1 proposes in output 1.2. conservation agreements that provide support to the production systems and livelihoods of the local population in the NPA and its surroundings, as an incentive for their participation and contribution to conservation. It is clarified that the development of agricultural and similar activities that imply the active management of resources will only be allowed in the "Special Use Zones" or when the category of the PA allows it, thus aligning with UNDP safeguards.

Component 2 proposes, in product 2.1, to support spatial planning in the buffer zones to maximize the compatibility of the production systems with the biophysical conditions of each site; and in output 2.2, the expansion of agroforestry systems in degraded areas. The previous ones refer to sustainable and environmentally responsible productive systems, which would result in the reduction of soil erosion rates, and improvements in the function and resilience of ecosystems.

In the case of social impacts, the support for sustainable productive alternatives is considered positive, through products 1.2, 2.2 and 2.3, which promote economic and social well-being and the sustainability of the livelihoods of the local population; and to its resilience to climate change, in addition to contributing directly to conservation of forests and other natural resources that are of social, cultural, economic and livelihood importance for the beneficiaries. These options, among which the establishment of new conservation areas stand out, were identified and planned in a participatory manner in order to ensure their social and cultural acceptance, and their compatibility with the norms and rights of indigenous peoples.

Regarding gender safeguards (a topic covered in greater detail in section 4.1.5), the Project proposes to contribute to gender equality and the empowerment of women, by promoting their equitable and effective participation in planning and decision-making processes, preferably supporting forms of productive activities that actively contribute to their social and economic situation. In this sense, although there is evidence of concern about compliance with safeguards, there are still difficulties in addressing cultural gaps on gender issues with greater specificity, consistent with the characteristics of the Amazonian populations involved, especially indigenous ones.

## 4.2 Project Implementation

### 4.2.1 Adaptive Management

The Project has been executed subject to the rules and procedures established for an adaptive management, typical of the complexity and innovative nature of its actions, with DC agreements and technical support.

The main adaptive actions originated at the beginning of the Project in relation to the objective and output indicators, which originally set relatively ambitious goals compared to the resources and action capacities available in both components. For this reason, the achievement indicators for the Objective, and the output indicators for Component 1, were readjusted for a clearer definition and a more realistic quantitative scope.

The actions of Component 2 had an adaptive process with greater impact on the approaches and focuses of the intervention strategy in the topics of participation, training, and induction of productive activities. The innovative nature of these interventions – on which there is less systematized experience, less basic information, and very diverse cultural profiles in each landscape – required adjustments in the collaboration and joint work of the technical team of the Project (including the change by early resignation of the coordinators in both Components) with the local staff of SERNANP. To this end, three decentralized headquarters were established in the landscapes, as a convenient way to facilitate coordination in situ.

The convergence and agreement of actions in the areas of intervention - after resolving the cultural differences between the population of the landscapes<sup>3</sup> - allowed greater fluidity in the execution, which combined with the experience of SERNANP technicians in conservation tasks, facilitated the overcoming of the initial barriers to Component 2, facilitated a better understanding by local actors of the scope of the Project and the roles of the specialists and coordinators of the different local teams.

In Component 2 changes due to early resignation of coordinators and contracted personnel were reflected in the difficulties of inserting innovations and solutions in the field and influenced the pace of execution. The MTR pointed out these shortcomings and recommended to streamline actions in this regard, which was duly addressed by specific decisions of the CD. This ET, and the evidence shown in subsequent reports and PIR, indicates that there has been considerable progress since then.

On the other hand, and in a complementary way, the interviews with actors in the field, companies and managers of local and regional organizations reveal a greater acceptance and willingness to collaborate within the framework of this Component of the Project, as well as expectations of continuity in the established bio-commerce relationships with local organizations in products such as cocoa, coffee and other potential ventures and productive chains.

In this instance, it should be noted that the initiative to introduce the adaptive mechanism of micro capital – with the experience of UNDP with small grants – to promote productive actions, was something that was not foreseen in the ProDoc as such. This initiative has been providential for its effectiveness and the enthusiasm aroused in producer associations and indigenous organizations. Although the amounts may have been limited and the financial profitability uncertain or not yet determined, the experience gained, and the mutual trust aroused between the Project and the producers, is in itself valuable and promising, which merits a special assessment and refinement of the methodology applied, for its scaling and replication at a systematic level.

Without a doubt, the largest and most relevant adaptive action has been to face the consequences of the national pandemic. It not only slowed down field actions and made logistical tasks difficult, but it seriously affected work teams and the population. This process and the losses caused have not been reversed, despite the wise adaptation actions and the adoption of sanitary measures, and the intensive use of remote communication means. For this reason, spending on trips, workshops, and other field activities was reduced, which has resulted in a remaining budget sum that requires an urgent plan to reorient spending in an exit strategy that adaptively compensates for these shortcomings.

#### 4.2.2 Effective stakeholder participation

Given the coverage of the intervention and the number of stakeholders involved, the Project team defined participation strategies for key stakeholders that have made it possible to advance in the achievement of results and promote effective stakeholder participation. The decentralization of actions with the establishment of three regional headquarters (Cusco, Pucallpa and Oxapampa) with coordination capacity in the field, and adaptation of the implementation of both components, has attenuated the potential disparity of approaches and visions of local actors on governance and local policies. It is relevant to mention as a participation management strategy the involvement of technical institutions with a presence in

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<sup>3</sup> The support document of the request for extension alludes to the difficulties in reconciling strategies due to the differences in the way indigenous communities work in the YESI landscape and farmers' organizations in the PUMA landscape

the Project's intervention areas (Rainforest Alliance, 'Instituto del Bien Común,' ProNaturaleza, and others) which have made it possible to extend and strengthen the scope of the intervention.

At the institutional level, the experience provided by SERNANP has strengthened the territorial articulation with various actors and civil organizations already established for some time within the framework of conservation agreements and support committees for the NPA. Other relevant allies in the process have been the regional governments, with whom collaboration agreements were established and common objectives were identified that have allowed joint and organized work. The experience with the GORE Cusco in the work on the positioning of the ACR Ausangate and other activities related to the incorporation of the conceptual aspects of the Project in territorial planning and the context of climate change stands out.

However, difficulties have arisen in joining the government allies of the central government, especially MINAM. Although this Ministry gave rise to the Project and had a role as a member of the CD, the general perception of its intervention is that it has delegated its role to SERNANP, which is an entity attached to MINAM, and that an effective interaction at the ministerial level has not been acquired in benefit of the Project. The proactive participation of the Ministry of Agriculture (now MIDAGRI), which could have been convened, especially in the aspects of promotion and regulation of productive activities, is also missed.

The interviews conducted with the actors and stakeholders reveal some differences in the perception of the intensity and quality of the participation promoted by the Project, but in general they can be described as positive, especially since the development of activities allowed to overcome initial prejudices and distrust in the local communities. The micro-capital donation modality was an effective strategy to generate mutual trust, and prospects for progress and self-sufficiency among the participants. The members of the CD express agreement with the frequency and conduct of the sessions (ten of them documented), but they also draw attention to the intermittent and occasional participation of MINAM, and eventually of MIDAGRI.

In general, the Project has achieved a satisfactory level of stakeholder involvement, for which - as planned at the design stage - it has been possible through collaboration agreements with regional and local entities. The role of these entities, including indigenous organizations and federations, and NGOs, has made it possible to include the vision, needs and concerns of the beneficiary populations so that they are taken into account.

Likewise, these entities have influenced their scope to favor the acceptance and consequent participation of the beneficiaries in the different activities of the process, especially those of Component 2. In this way, the management of stakeholder participation has become a key element that has made it possible to maximize the compatibility of the needs and conditions of the beneficiaries within the framework of the Project's objectives and activities.

Regarding the gender approach and the participation of women - as mentioned in point 4.1.5 - although the initial design established the relevance of incorporating this concept in the Project activities and proposed some strategies, no structured planning was defined to achieve it. Thus, during early execution, the need to adapt this approach to the reality of the activities and contexts intervened was identified, for which the UNDP provided the support of a temporary specialist to reinforce training and advocacy; however, it would have been better to have a permanent specialized collaboration with an adaptive vision of the subject in the Amazonian context.

### 4.2.3 Project Financing and Cofinancing

The Project has had a responsible monetary management of resources under the administration of UNDP, which is evidenced in the results of the audit, expenditure reports and testimonies of the interviewees, who allude to a rational use of resources. Specific cases have been mentioned in which commitments or offers of complementary financial support to meet local demands were not fulfilled in a timely manner, given the large area of the territory covered. For this reason, some actors interviewed have perceived that the funds allocated to their jurisdictions have not been sufficient in the face of their needs and expectations.

Regarding the significant amounts of co-financing contributed by government entities in charge of convergent activities and projects, although a global accounting monitoring is carried out, it is not possible to precisely detail their impact on the achievements of the Project. The planned amounts are usually restricted by budget reductions, or their impact is diluted in territorial allocations that do not necessarily coincide with the scope of the Project. For this reason, some stakeholders interviewed have perceived that the funds allocated to their jurisdictions have not been sufficient compared to their expectations.

The Project signed co-financing commitments with the UNDP, the German Embassy, the Belgian Development Agency, the Swiss Embassy, the Regional Government of Madre de Dios and SERNANP. The administration of these funds has been the responsibility of the respective co-funding entities, which makes it difficult to carry out regular monitoring of the execution effectively aimed at contributing to the Project's actions.

The data presented in the tables in this section have been provided by the co-funding entities at the request of the Project team and verified through information available on the web. In the particular case of the GORE of Madre de Dios, whose fiscal budget is usually variable according to the allocations of the Ministry of Economy and Finance, the amounts have been adjusted according to the criteria of the UNDP team in view of the difficulties of directly accessing the real figures of the region.

The planned and actual co-financing amounts are presented in Tables 1, 2 and 3 below. The amounts vary in the cases of the SERNANP and the GORE of Madre de Dios. In the case of SERNANP, due to budget cuts; and in the case of the GORE of Madre de Dios, due to changes of government that modified the agreed commitment (some of the planned projects were not executed, and others were not contemplated, resulting in an amount greater than expected). To report on the execution of the co-financing to 2021, the Project team analyzed the projects carried out by GORE, their alignment with the objective of Resilient Amazon and with the territories prioritized for intervention.

**Table 1 - Sources, type and amounts of co-financing**

Source of Co-financing	Name of Co-financier	Type of Co-financing	Investment mobilized	Amount (USD)
GEF Agency	UNDP	Donation	Investment mobilized	9,401,000.00
Donor agency	Belgian Development Agency (CTB)	Donation	Investment mobilized	11,691,884.00
Donor agency	German embassy	Donation	Investment mobilized	7,000,000.00
Donor agency	Swiss embassy	Donation	Investment mobilized	2,333,880.00
Government of Peru	SERNANP	Public investment	Recurring expense	1,113,370.26
Government of Peru	Regional Government of Madre de Dios	Public investment	Recurring expense	9,677,035.38

Government of Peru	SERNANP	In species	Recurring expense	10,299,919.00
<b>TOTAL</b>				<b>51'517,088.64</b>

**Table 2 - Co-financing activities by sources and amounts**

Co-financier	Concept	Amount (USD)
UNDP	EbA Amazonia Project	7,275,000
	EbA Mountain Project	910,000
	Initiative for the financing of biodiversity BIOFIN	478,000
	UNREDD	738,000
Belgian Development Agency	Program for Sustainable Economic Development and Strategic Management of Natural Resources PRODERN	11,691,884
German embassy	Project Contribution to the environmental goals of Peru ProAmbiente	7,000,000
Swiss embassy	Climate Change Adaptation Program (PACC-II)	2,333,880
SERNANP	Remuneration of staff on the payroll of the nine prioritized NPAs (Apr 2015 - Jul 2021)	10,299,919.13
	Patrolling and surveillance of the nine prioritized NPAs (Apr 2015 - Jul 2021)	1,113,370.26
Regional Government of Madre de Dios	Reforestation project and development of agroforestry capacities to mitigate	595,210
	Project to improve the capacities of mining producers to reduce environmental pollution in the Madre de Dios river basin	809,918
	Project to recover deforested areas in the community of Arca Pacahuara, district of Iberia, province of Tahuamanu	1,389
	Project to improve the operational capacity of the Regional Forest and Wildlife Directorate to optimize the quality of the service in the region	12,888
	Project to improve communication and monitoring capacity for civil defense and security actions at the regional emergency operations center of the Regional Government of Madre de Dios	2,727,039
	Monitoring, supervision and evaluation of products and activities in disaster risk management.	3,944,629
	Granting of access rights to forest and wildlife resources and monitoring and verification actions	319,340
	Prevention, control and surveillance of activities that threaten forest resources and wildlife.	32,738
	Recovery of residual biomass in rural areas degraded by agricultural activities in the highway axes of the Manu province and districts of Laberinto, Inambari and Bajo Tambopata.	71,218
	Expansion of the cocoa processing plant to obtain derivatives, to be commercialized in the national and international market by the Agro Bosque cooperative, Inambari district, Tambopata province	35,298
	Implementation of a cold line in the transport and commercialization of the fishing resource of the association of artisanal fishers of Iberia, province of Tahuamanu	441,981
	Improvement of the post-harvest process of dry organic cocoa beans of the ecological agroforestry association Río Las Piedras in the Lucerna sector, Las Piedras district, Tambopata province	74,774
	Expansion of the productivity and commercialization of dry fine aroma cocoa beans free from deforestation, organic and fair trade of Coopaser, Tambopata district	25,185
	Expansion of tourist services in the Kotsimba native community, Inambari district, Tambopata province	44,223
	Creation of the technical processing service of the copoazu pulp in the association of agricultural producers of white water, Laberinto district, Tambopata province	75,499
Implementation of the sanitary standard for the application of the HACCP system in the chestnut processing plant of the association of chestnut	102,213	

Co-financier	Concept	Amount (USD)
	growers of the Tambopata Los Pioneros Reserve, Las Piedras district, Tambopata province	

**Table 3 - Execution of Cofinancing**

Source / Type of Cofinancing	UNDP Financing (USD)		Government (USD)		Partner agency (USD)		Total (USD)	
	Planned	Real	Planned	Real	Planned	Real	Planned	Real
Donation	9,401,000	9,401,000	-	-	21,025,764	21,025,764	41,935,224	41,217,169.64
Loan / grant	-	-	-	-	-	-	-	-
In species	-	-	8,777,454	10,299,919.00	-	-	8,777,454	10,299,919
Public investment	-	-	11,508,460	10,790,405.64	-	-	-	-
<b>Totals</b>	<b>9,401,000</b>	<b>9,401,000</b>	<b>20'285,414</b>	<b>21'090,324.64</b>	<b>21,025,764</b>	<b>21,025,764</b>	<b>50'712,678</b>	<b>51'517,088.64</b>

Through the PIRs and interviews, the high degree of collaboration with some of the projects listed in this section and others listed in the section 4.1.4 has been verified; however, this has not happened in the cases of the PRODERN and ProAmbiente projects. This reflects that, although the interference of the Project implementing team in the cost of co-financing is limited, the committed funds must be monitored in order to ensure the optimal use of resources.

The Project has leveraged additional financing for USD \$ 2,202,857, as detailed in **Table 2**, achieving partial compliance (40.8% of the goal) with Impact Objective 2. Most of the amount leveraged corresponds to the 'EbA Amazonia' project, with which a set of characteristics foreseen from its design is shared as described in section 4.1.4.

On the other hand, the Project has contributed to the design of other initiatives, such as the Funding Proposal of the Peru Natural Heritage Project for the GCF, which, as it was not materialized at the time of drafting this report, has not been considered as part of the fulfillment of the goal. In addition, within the framework of the Project, a study has recently been developed to identify potential sources of financing. This situation shows the importance of establishing and implementing a fund leverage strategy from an early stage, as well as the need to ensure the usefulness of the study carried out in view of the closing of the Project.

**Table 4 - Leveraged funds**

Concept	Fund type	State	Amount USD
04 Competitive funds of the National Innovation Programs in Fisheries and Aquaculture	Competitive public fund	Completed	150,168
03 PROCOMPITE Competitive Funds	Competitive public fund	Completed	146,610
01 "Entrepreneurs for nature" fund of SERNANP	Competitive public fund	Completed	29,411
01 Competitive fund of the Ministry of Culture	Competitive public fund	Completed	2,059
Design -together with IBC- of the profile of the Public Investment Project (PIP) to contribute to the long-term management of the Chontabamba-Huancabamba area	Public Investment Project	In process	1,000,000

Compensation from telephone companies to Sho'lllet Municipal Conservation Area to support its management	Private fund	Completed	91,520
Repsol donation to support the response and recovery from Covid-19 in the buffer zone of the Megantoni Sanctuary	Private fund	Completed	150,000
IKI's contribution through the EbA Amazonía project invested in 4 Communal Reserves	International cooperation funds	Completed	1,200,000
Donation from the Ibero-American Network aimed at creating and promoting the quality brand "Manu Biosphere Reserve"	International cooperation funds	Completed	10,000
ELSA project aimed at identifying priority areas for the conservation of biodiversity in Ucayali within the framework of updating the Ucayali Concerted Regional Development Plan	International cooperation funds	Completed	35,000
Project "Design of a carbon offset scheme through ecosystem restoration in the framework of the indigenous Amazon REDD +"	International cooperation funds	Completed	48,000
Initiative Natural Heritage of Peru of SERNANP to create financial sustainability for SINANPE	Mixed	Completed	337,442
Support for the formulation of the proposal "Natural Heritage of Peru: Phase 1 - Effective management of the Peruvian Amazon for mitigation and adaptation to Climate Change"	Climate finance	In process	48,400,000
Support for the preparation of the project proposal "Adaptation and mitigation in indigenous landscapes of the Peruvian Amazon"	Climate finance	In process	30,000,000

#### 4.2.4 Monitoring and evaluation

The Project has had the following main monitoring and reporting mechanisms:

- Initiation workshop
- Quarterly progress reports for SERNANP (2016-2021)
- Quarterly Progress Reports for UNDP (2016-2028)
- Semiannual progress reports for UNDP (2015-2021)
- Annual reports for SERNANP (2018-2020)
- PIR (2016-2021)
- Board of Directors Meetings (11 in total)
- Quarterly meetings for technical and financial monitoring with the participation of the actors involved in field activities
- Combined Expense Reports (CDR)
- GEF monitoring tools

These activities were contemplated in the monitoring and evaluation plan, as well as in the corresponding budget, with the exception of the quarterly meetings, which are included because the nature of the intervention implies the involvement of various actors in supporting implementation in the prioritized landscapes. Being territorial articulation one of the strengths of the Project, this has been reflected in the monitoring of progress, which has been carried out with the participation of the actors who have attended the quarterly meetings, including the ECAs and the federations.

The Steering Committee (CD) played a relevant role in monitoring and control, thanks to the inclusion of key stakeholders such as indigenous organizations, who have become allies of the Project, facilitating implementation and monitoring. On the other hand, the participation of important institutional actors such as MINAM and MIDAGRI has not been consistent or

frequent. In the case of MINAM, although it has participated regularly in the meetings, it has done so through different representatives each time, which has made it difficult to receive informed contributions for the progress of the Project. Similarly, the GEF focal point has not been convened on a permanent basis for the CD meetings, which limits the exploration of external solution alternatives at the GEF level. MIDAGRI (then MINAGRI) has not participated in the Committee as this was not foreseen in the ProDoc, despite having a high degree of relationship with the productive component of the intervention, as well as forest management. The deficiencies in the involvement of these actors are explained more fully in the section **4.2.2**.

In addition, the following main evaluation mechanisms have been used:

- Financial audit (Feb-2018)
- Mid-Term Evaluation (Jan-2019)
- Final evaluation (in progress)

The recommendations of the Mid-Term Evaluation did not suggest considerable changes to the Project's monitoring and reporting scheme, with the exception of the modification of indicator 1.6; however, this was not made official. It should be noted that in the initial stage of the Project, modifications had already been made to the indicators (see section **0**). At the moment, no specific strategy has been proposed for the continuity of the monitoring of subsequent actions with the indicators proposed by the Project.

As mentioned in the section **01**, a Theory of Change diagram was not developed at the time of the Project design, nor in the subsequent implementation. The ProDoc, however, outlines the problems that the Project intended to address, the barriers and challenges to do so, and the way to face them. In this sense, although they have not had a formal Theory of Change, a conceptual evolution has been evidenced in the way of developing the intervention, managing to better incorporate the integrative approach to the landscape and its sustainable use already proposed in the design, but not translated into a clearer and more precise strategy. Additionally, work has been done on the systematization of results chains, documented in the Project records.

No specific evidence has been accessed in relation to the corrective actions derived from the MTR, but it has been expressed in the interviews that they were discussed within the CD and that corrective and adaptive measures have been shown to be effective.

Monitoring and Evaluation (M&E)	Qualification
M&E design at entry	<b>MS</b>
M&E implementation plan	<b>MS</b>
M&E General	<b>MS</b>

#### 4.2.5 Implementation and supervision of UNDP, execution of SERNANP and implementation and general execution of the Project

The role of UNDP and SERNANP in the attention to adaptive measures and general implementation of the Project is considered satisfactory. During implementation, the team hired by UNDP assumed the coordination of Component 2 as established by the Project design. In

developing this result, the administrative and financial capacity and experience of UNDP for the implementation and delivery of micro capital to producer associations and their monitoring were important. It also highlights the support provided by PNUD for the incorporation of the gender and intercultural approach, as described in the section **4.1.5**.

Initial management problems – as in the case of early resignations of coordinators and technical staff and subsequently the decease of the National Coordinator – required adaptive measures by UNDP that mitigated the risks, although resulted in inevitable implementation delays. Likewise, effort and time were devoted to the reconciliation of the various interests and ways of working with indigenous organizations and producer associations in each of the two landscapes.

Regarding UNDP's relationship with SERNANP, initially there were difficulties in integrating the two components and their corresponding teams, a situation that was subsequently mitigated. As mentioned in section **4.2.1**, the Project team members varied throughout the implementation for varied reasons, health being one of the most important. Faced with these situations and in particular, the sensible death of the National Coordinator of the Project, UNDP played a decisive role in guaranteeing the continuity of the intervention and for its reorganization, eventually assuming the National Coordination. The action of the UNDP was also relevant to establish synergies with other projects of the national portfolio such as the PPS and will be one of the key pieces to provide sustainability to the intervention, through the replication of successful cases and the incorporation of lessons learned in future projects to be develop along the same line.

The execution by SERNANP can be described as satisfactory, taking into account the logistical difficulties caused by the pandemic, and the changes in Project personnel. The experience of the institution, its decentralized organization and its infrastructure established at the NPA level facilitated the establishment of the three Project headquarters duly articulated to field action, and the parallel development of the activities of the two components.

Implementation of the Implementing Agency (IA) and Execution of the Executing Agency (AE)	Qualification
Quality of UNDP Implementation / Oversight	<b>S</b>
Quality of Implementation Partner Execution	<b>S</b>
General Quality of Implementation / Execution	<b>S</b>

#### 4.2.6 Risk Management and Social and Environmental Standards - SESP

The Project intervention has faced multiple and different indirect risks, not because of its implementation but because of the external conditions of the local context and the interaction with the regional or national context. Among the critical risks, the Covid-19 pandemic is identified, which forced a change in the intervention strategy and conditioned the work with restrictions for transfers, logistics, meetings and workshops. Although this risk has been mitigated in part by virtuality, it generated limitations in the nature of the activities and the participation of the actors. Likewise, it increased the incidence of illegal activities in the NPAs due to restrictions on surveillance and monitoring activities; and later, due to the permissiveness of some authorities for the sake of economic reactivation.

It is considered that the identification of risks by the team has been timely and adequate management mechanisms have been established, integrating the strategies to address them

within the planned planning of the activities. However, the Project has been affected in its execution both by the risks and by the time used for the respective design of responses, which have caused delays in the established times. It should be clarified that, in several cases, the risks are caused by external factors that exceed the scope of the Project and the capabilities of the team, partners and allies, magnifying the possible negative impacts; but it is considered that there has been an appropriate response where possible. **Table 5** reviews the main risks and their management.

One of the risks that generates the greatest concern is that of forest fires in the NPA or in its buffer and neighboring areas, and against which SERNANP efficiently assumes the responsibilities of attention, but increasingly these interventions exceed its capacities and resources, taking into account that forest fires in the country are becoming more frequent and serious, both due to climate change and the increase in uncontrolled slash and burn activities for agriculture. In this sense, permanent and specialized action is required from the national government and regional governments to alleviate this excessive institutional burden for SERNANP's resources.

Two changes have been identified in the level of risks associated with the Project's environmental and social safeguards. The first, in relation to the construction of roads, a constant threat to protected areas; the second based on the process of election of authorities, which generates transition periods with changes of officials and adjustments in priorities. A third risk is classified as new; it refers to the Covid-19 pandemic interacting with the country's political crisis and the recent election and taking over of the national government.

**Table 5 - Results of Risk Management**

Year	Identified risk	Risk management
2016	Regional governments that are key in the context of decentralization adopt the Project's approaches in a limited way.	The team has promoted work with governments, identifying opportunities based on their priorities. In this way, it has been possible to generate alliances with them, which have allowed them to work together towards the achievement of common objectives and to incorporate the resilience approaches proposed by the Resilient Amazon.
2017.	The change of the person in charge of the local planning processes in CEPLAN, the national planning agency, may lead to the rejection of the plan to support the planning processes in the districts of the Project landscapes. In addition, the National Director of the Project was changed on three occasions, affecting the planned execution decisions.	The Project continued working with local municipalities and promoting alliances with CEPLAN officials to give continuity to the work in advanced districts, who in turn were interested in participating in the process. Regarding the other risk, the Project involved each National Directorate and their teams in the presentation of reports on the objectives, strategies and results of the project.
2017.	Change in seasonal climatic conditions due to the Coastal Child effect in said year, which caused the delay of workshops, change of travel itinerary and, in general, modification of the activity plan.	The activity plan was updated considering the unforeseeable impacts on the Project due to weather conditions.
2017.	The investment required to consolidate the results of the two landscapes far exceeds the Project budget;	Ongoing initiatives that need specific support not covered by partners were prioritized. Project

Year	Identified risk	Risk management
	Conservation NGOs and regular partners for conservation activities have seen a substantial reduction in traditional funding sources, mainly because Peru is already considered a middle-income country.	support increases the chances of achieving objectives in a controlled period. In the long term, it was proposed to take advantage of public funds and of the flows of funds from economic activities, as well as the coordination and harmonization of strategies with UNDP projects that operate in the same regions (BIOFIN, DCI-Norway, PPS, EBA-Amazonia, among others).
2017.	The official format for protected area management plans did not allow the incorporation of climate change considerations and strategies. EBA Amazonia had to include them as an annex, which obviously made the recommendation more useful. Furthermore, the conceptual model did not include social objects of consideration, which means that the intervention logic did not include sufficient social consideration. The MIRADI conceptual model already allows this inclusion, but it must still be used by SERNANP.	The Project proposed the incorporation of climate change strategies to SERNANP, in order to change the format. On the other hand, the team defined its participation in various discussion groups convened by SERNANP, in which this and other similar risks were discussed and incorporated based on the new Master Plan and scheme for the Master Plans of ANP.
2018	In the YESI landscape, local and regional indigenous organizations opposed the allocation of funds to private or foreign institutions as they suggested that they themselves had the capacity to carry out the required activities.	Redesign of the intervention strategy for the contracting of institutions with administrative and technical capacity to supervise both the implementation of the strategies to improve coffee and cocoa farms, as well as the productive activities of non-timber forest products. In the new strategy, the executor of each activity is a local indigenous organization, accompanied, or not, by a technical institution, depending on the demonstrated capacities.
2019	Two priority areas for creation were excluded from further intervention due to the delay in reaching critical milestones of their respective processes, such as acceptance by the local population.	It was coordinated with the partner that supported these areas that they would be included in his agenda, but without the resources of the Project, which would be reallocated to other protected areas worked by the partner.
2020	The critical risk identified related to the Covid-19 pandemic is the transfer of the virus to the beneficiary population by team members, the implementing partner or the organizations that work supporting it. In addition, the response measures that have generated intervention limitations causing delays in all project activities and the activities of the partners.	Among the measures taken, the Project has adjusted the development of its activities to a virtual format as far as possible, it has also developed a proposal for guidelines and re-entry protocol, which was implemented at the end of the quarantine and gradually.
2020	The current context in relation to the productive systems promoted by the Project, generate risks of loss of continuity in the implementation of resilient practices, loss of the 2020 campaign of the promoted products and breach of contracts and / or loss of sale agreements established by the beneficiaries with companies. Among the consequences of the current situation is the lack of application of the technological package due to immobilization and the possible loss	A distance communication and training strategy has been proposed for the target groups, adapting the workshops and face-to-face meetings to virtual formats. Likewise, it was sought to reinforce the resilient practices of producers from the transfer of capacities, achieved with the information generated and technological packages to the extension agencies. The commercial articulation of the products was supported in traveling fairs and

Year	Identified risk	Risk management
	of interest of the beneficiaries in the application of the promoted practices.	commercial spaces, also seeking to link associations with economic reactivation initiatives and private partners.
2018	A risk identified as recurrent as is the construction of roads, is configured as a threat. In 2018, Law 30723 was enacted, declaring the construction of roads to integrate border areas and the maintenance of forest trails in Ucayali a national priority. In contrast, a DS-005-2018-MTC was issued prohibiting the construction of roads in NPA and protection areas for indigenous people, apparently closing the possibility of integrating the Purús area with the rest of the country by land. Another similar initiative is the construction of the highway from the Alto Madre de Dios River from Salvación to Boca Manu.	The Project directly supported the arrival activities of Pope Francis to Madre de Dios so that they could intercede in the construction of the highway in Purús. Likewise, the Alto Purús National Park Management Committee has been supported for advocacy actions, and it also actively participates in the civil society network. In addition, the Project team monitors the construction of new roads in intervention areas
2018	Local and municipal elections generate some changes in the priorities, adjustment and adaptation times of the new governments, and eventually the need to renegotiate some agreements.	The Project team and SERNANP constantly monitor the dynamics when the new regional and municipal authorities assume functions.
2021	The risks indicated at the Project design level did not consider the Covid-19 pandemic or the political turmoil in the country that has intensified in the 2020-2021 period, as well as the great challenges imposed since the election of the new administration (2021). Therefore, there are new socio-economic and political risks at the systemic level.	Strategies were designed that allow the modality of activities to be changed to a virtual setting, thus avoiding the impact on the communities due to possible infections. Work continues with the Project partners to ensure commitments that allow continuity in the implementation of activities within the framework of compliance with environmental and social safeguards.

## 4.3 Project Results and Impact

### 4.3.1 Progress towards achievement of objectives and expected results

In summary, the final progress towards the achievement of the objectives and achievements of the Project is classified in general as satisfactory (**S**) in view of the conditions imposed by the pandemic, which prevented a better and more timely management that could have completed tasks and crystallized the expected results. This can be deduced from the detailed evaluation of the results by component and of the respective indicators in the following sections, in which the results framework and progress are discussed based on the criteria of relevance, effectiveness, efficiency,

### 4.3.2 Relevance

The Project addresses a highly relevant topic at the global, national and local level, such as the management of climate change within NPA. The activities proposed are also relevant in the current context, considering the climate commitments supported by the new NDC, the National Adaptation Plan, the new national CC strategy under development, the monitoring of the SDGs within the framework of the 2030 Agenda, and other policies related to NPAs, biodiversity and ecosystem services, women and vulnerable populations. Another

important aspect within the country's strategies channeled by institutions such as CEPLAN and that occurs at the national, regional and local levels is territorial planning incorporating the approach of resilience to climate change, which has managed to develop instruments such as the PDLC, which are in the process of implementation and are relevant to define conservation strategies for protected areas, ecosystems and their services.

The Project is aligned with the objectives and strategic program of the GEF in points BD-1 (Result 1.1: 'Greater effectiveness in the management of current and new NPAs'); DT-3 (Result 3.1: 'Best enabling environment between sectors for comprehensive landscape management'); and GFS-REDD-1 (Result 1.3: 'Good management practices adopted by the relevant economic actors').

In terms of the contribution to the results of the UNDAF, the Project refers to ED 11: 'The State, with the participation of civil society, the private sector, scientific and academic institutions, will have designed, implemented and / or strengthened policies, programs and plans, with a focus on environmental sustainability, for the sustainable management of natural resources and the conservation of biodiversity '.

At the partner level, the Project contributes to Result 1 of the UNDP Country Program Document 2017-2021, called "Inclusive and sustainable growth and development", which in turn supports the SDG Agenda. The specific contribution of this project is to Output 1.1 "Strengthened national and subnational capacities to apply policies, plans or other instruments for sustainable and inclusive development", and Output 1.2. "Strengthened national and subnational capacities for the sustainable management of natural resources, ecosystem services, adaptation and mitigation of climate change." In this way, the Project's contribution to the fulfillment of UNDP commitments with Peru is evidenced.

Regarding SERNANP, the relevance lies in having contributed to the paradigm shift in the management of protected areas with an updated approach aligned with national policies, such as the rights of indigenous peoples and the gender approach, as well as the inclusion of the concept of resilience to climate change. These issues have been considered in the institutional planning processes (Master Plan) and through direct technical support for updating instruments such as Master Plans at the NPA level, Surveillance and Control Plans, as well as awareness and training of its workers (technical specialists, park rangers, and others).

Regarding the Project's beneficiaries, such as indigenous organizations, associations, ECAs, and others, it has been possible to focus attention and incorporate concepts such as 'resilience' and the risk of climate change as priorities on the agenda of various organizations. The activities proposed and carried out within the framework of the Project have sought to meet the needs of the communities in the intervened areas, who have benefited from the impulse for their development, as a consequence of the application of sustainable and resilient practices that have allowed them to articulate value chains and raise the quality of their products, at the same time that they have strengthened their administrative and financial management capacity.

In its relationship with other projects, Resilient Amazonia has allowed to give continuity and strengthen the impact of '*EbA Amazon*', building largely on the lessons learned from the intervention of the latter. The promoted processes must continue and still require support, it is invited to make the greatest possible effort to give continuity in the short term.

#### 4.3.3 Effectiveness

The Project proposal proposed to measure the general result based on four impact indicators, with the aim of improving resilience to the impacts of climate change in vulnerable

ecosystems of NPA and surrounding landscapes in order to ensure their biodiversity and functionality of the ecosystems and ecosystem services.

Only one of the target-level indicators has reached its goal at 100%; while the indicators for reducing threats to prioritized ANPs, according to the measurement of the METT tool, and the reduction of the probability of ecosystem impact due to anthropic threats, according to the SERNANP standard methodology, are found in process with 77.8% achievement.

The indicator of 'reduction of the rate of loss of the main types of habitat generates benefits for BD and avoids the loss of carbon sinks' has not been reached because the problem of increasing forest loss at the national level responds to factors that exceed the scope and capacities of the Project.

The combined effectiveness of Components 1 and 2., which outcomes are individually described in the following section, is qualified in balance as **MS**.

### *Component 1*

In Component 1, overall achievements are rated as satisfactory (S). The objective of greater resilience to climate change is being achieved in the fundamentally important NPAs, which is evidenced in indicators that have already reached their goal or are in process, with the exception of **1.6**. This effectiveness is based on three essential elements: the implementing partners, the conservation agreements, and the involvement of the project team. Regarding the executing partners, the role of SERNANP stands out in this Component, which has shown a clear commitment and permanence over time due to its institutional mission, functions and capacities since before the Project.

Regarding conservation agreements, alliances with key actors defining specific commitments and equitable distribution of benefits have managed to move towards a more effective territorial management and protected areas approach. Regarding involvement, it has been seen that the team has not only been a protagonist in the development of activities related to the Project but has also accompanied and supported processes of other institutions in a timely manner and has provided advice for the understanding and application of concepts or strategy.

However, the target of indicator **1.6** has not been reached. related to the availability of economic resources for the management of the prioritized ANP taking into account the implications of the CC. This situation is explained by the delay in the identification of financing opportunities and in the hiring of a specialist for this task, actions initiated only in 2018 as reported in the PIR; added to the challenge of management to commit the mobilization of funds from various sources.

### *Component 2*

In Component 2, overall achievement is rated moderately satisfactory (**MS**). Its implementation occurred to a greater extent after the MTR, and the achievement of results and others that are in process are evident. The implementation of productive activities that are resilient to climate change has been the product of an adaptation of the intervention according to the territory, establishing that the productive systems should be developing in the areas and have conditions that allow generating sustainability of the effects after the end. of the Project.

Two zones were prioritized in La Convención and Oxapampa, and others that were defined by SERNANP based on connectivity, pressure and accessibility. The involvement of technical institutions assisting community-based organizations has been promoted; and the

latter with active roles to conduct the development of their beneficiaries, with results positively influenced by the micro capital strategy.

The effective result in the Cusco area stands out, where the previous experience of coffee and cocoa producers, both for the socioeconomic dynamics of the area and for the intervention of other projects, has generated favorable conditions for the development of the activities of the component. In the other two regions, the focus of the component's activities has been on the development of capacities in sustainable productive management, considering that indigenous producers have a lower level of experience in product management, commercial relations and contact with quality improvement practices. To this, the pressure for illegal activities is added as the main threat to the progress of these initiatives.

The Evaluation Table of the Results Framework refers in greater detail to the level of achievement achieved for each of the products of both components, taking as reference the respective indicators of success.

**Table 6 - Evaluation of the Results Framework**

Goal Indicators	Achievement	Qualification
<p>O1. Reductions in the rates of loss of principal habitat types (Peruvian yungas (PY), South Amazonian moist forest (SAMF), and Central Andean Puna (CAP), generating benefits for BD and avoiding the loss of carbon sinks</p> <p><b>Baseline:</b> Total habitat loss (ha) per year without project: 31,246 ha – Total: 156,230</p> <p><b>Target:</b> Total habitat loss with project: 140,607 ha. Loss avoided: 15,623 ha and 1'451,924 Tc.</p>	<p><b>End of Project Status:</b> Total Habitat Loss 152,114 ha has been lost along the Project execution; i.e., 11,959 ha, more than the target of net avoided loss proposed by the Project; although is a 3% better than baseline figure.</p> <p><b>Comments</b> The goal has not been achieved during the Project period, as forest loss has increased at the national level, beyond the Project's capacity to reduce forests. The activities of the Project, however, would be contributing to the loss being lower in the areas of intervention, which could be quantified later with the official figures processed by the PNCBMCC-MINAM. It must be pointed out that deforestation rates and land use changes at the national level are a very complex variable that rely in several issues that are beyond the influence of the Project.</p>	<p><b>MS</b></p>
<p>O2. Increases in ecosystem connectivity within the landscapes and adjacent ecosystems, as measured by the number of hectares of ecosystems in good condition under a conservation regime, within the connectivity corridors of each landscape.</p> <p><b>Baseline:</b> - XX has ecosystems in good condition within the</p>	<p><b>End of Project Status:</b> 159,555.89 ha under conservation regime in 5 new conservation areas (04 in the PUMA landscape and 01 in the YESI landscape), exceed the target of 100,000 ha; connectivity has been improved in the ecoregions Puna of the Central Andes (PCA), Humid Forests of the Southwestern Amazon (HFSWA) and Peruvian Yungas (PY).</p> <p><b>Comments</b> The goal has been achieved under a conservation regime in the 5 new conservation areas (04 in the PUMA landscape and 01 in the YESI landscape), exceeding the 100,000 established ha. As a strategy, it is important to mention the establishment of the conservation areas in three ecoregions, which increase ecosystem connectivity. The different conservation modalities</p>	<p><b>AS</b></p>

<p>connectivity corridors of each landscape. - 42 conservation areas in the two landscapes.</p> <p><b>Target:</b> - Creation of at least 100,000 ha of new conservation areas with ecosystems in good condition in the connectivity corridors of the two landscapes. - Creation of at least two new conservation areas in the connectivity corridors of the two landscapes.</p>	<p>that have required an articulated effort of actors on the management of the territory can be related to social connectivity.</p> <p>Outstanding as a result is the connectivity analysis of the National System of Protected Areas, in partnership with WCS. SERNANP is incorporating the results of the analysis into the Strategic Plan of the National PA System to guide the establishment of new conservation areas or other strategic conservation efforts.</p>	
Goal Indicators	Achievement	Qualification
<p>O3. Reductions in threat ratings for target PAs, as assessed in METTs</p> <p><b>Baseline:</b> Average rating of the NPA in the landscapes: 23</p> <p><b>Target:</b> Average rating of the NPA in the landscapes: 18.7</p>	<p><b>End of Project Status:</b> Target attainment in progress (77.8%). 7 out of 9 PAs reached targets; the other 2 are in process of reaching the goal. Average rating of METT decreased to 16.6, below the target. .</p> <p><b>Comments</b> 7 of the 9 NPAs that have reached their goals and the other two, BPSMSC and RCES, are in process. Although time would be a constraint. The 2020 average METT threat rating for the 9 APs decreased to 16.6, surpassing the target of 18.7. Progress in achieving this indicator is related to efforts to improve surveillance and control, for which conservation agreements, sustainable production mechanisms, coordinated work with EbA Amazonia, incorporation of risk analysis of climate change in the plans and diagnoses of specific contexts and pressures for the formulation of unique strategies for each area.</p>	<p><b>S</b></p>
<p>O4. Reduction in the probability of ecosystem affectation by anthropic threats, as assessed through standard SERNANP methodology.</p> <p><b>Baseline:</b> Average rating of the NPAs in the landscapes: 5.52</p> <p><b>Target:</b> Average rating of the NPAs in the landscapes: 4.15</p>	<p><b>End of Project Status:</b> The indicator target for the outcome has been achieved in 77.8%. Average rating for the 9 PAs decreased to 1.9.</p> <p><b>Comments</b> The indicator is in process with an achievement of 77.8% of the goal, which is equal to 7 out of 9 NPAs that exceeded their target threat scores, while the average SERNANP Threat Rating for the 9 PAs of the project decreased from 5.5 (baseline, 2015) to 1.9, lower than the 4.15 target, and remains the same (1.9) as the previous one. Eight out of nine APs keep scores the same as the last PIR. The effectiveness in reducing anthropic threats is conditioned by their nature, which varies according to the dynamics of each context and its actors. It has sought to improve these aspects from the conservation agreements and the planning of the management of the areas.</p>	<p><b>S</b></p>
Component 1 Indicators	Achievement	Qualification
<p>1.1 Increase in PA management capacities, as assessed in METTs.</p> <p><b>Baseline:</b></p>	<p><b>End of Project Status:</b> The average METT score for the management capacities of the 9 PAs increased from the baseline of 57.2 to 76.0, above the target of 71.7.</p>	<p><b>S</b></p>

<p>Average rating of the NPA in the landscapes: 57.2</p> <p><b>Target:</b> Average rating of the NPA in the landscapes: 71.7</p>	<p><b>Comments</b></p> <p>The progress toward the target is satisfactory, considering the constraints, with 8 of the 9 NPAs that improved their management capacity according to the results of the METT Analysis. Average METT score increased to 76.0, above the target of 71.7. In Megantoni National Sanctuary - that has not achieved its goal – progress has been identified in past evaluations; however, the global variations of the METT as well as the individual ones for each NPA demonstrate the importance of maintaining consistency in management based on planning, monitoring and specific strategies according to the needs of each context.</p>	
<p><b>Component 1 Indicators</b></p>	<p><b>Achievement</b></p>	<p><b>Qualification</b></p>
<p>1.2 Effectiveness of supervision and control in prioritized NPAs, measured by compliance with surveillance and control strategies that include the CC context and action at the landscape level (at least NPA and Buffer Zones).</p> <p><b>Baseline:</b> PAs do not have monitoring and control strategies that include climate change context and landscape-level actions</p> <p><b>Target:</b> 9 AP have monitoring and control strategies covering 5'966,503 ha that include the context of climate change and actions at the landscape level. At least 4 APs implement them.</p>	<p><b>End of Project Status:</b></p> <p>The surveillance and control plans are being updated in 9 PAs covering the 5,966,203 ha (4 completed, with official approval, and 5 in the process of being prepared to date). Resilience and climate change considerations are being incorporated into all of them. The final outcome is ongoing and additional measures will be needed before the Project is concluded, supported by the signed conservation agreements.</p> <p><b>Comments</b></p> <p>The indicator is in process as the updating of the 9 surveillance and control plans that incorporate the climate change resilience approach by integrating the climate change risk analysis developed by the Project, is being completed. To better implement surveillance, the Project has provided its teams with GPS devices and smartphones for the use of SMART (Spatial Monitoring and Reporting Tool). In addition, capabilities of 4 AP personnel have been developed in the use of drones for remote surveillance. On the other hand, an effort has been made to align the actions on illicit crops or others in the NPA, to the National Anti-Drug Policy.</p> <p>The implementation of 46 conservation agreements in 9 PAs will support the complementary actions needed to ensure and enhance commitments with local communities.</p>	<p><b>MS</b></p>
<p>1.3 Level of local participation in oversight and control of PAs, as measured by the existence of conservation agreements whereby local communities complement SERNANP in actions of oversight and governance PA governance.</p> <p><b>Baseline:</b> Two Conservation Agreements are in force in the prioritized PAs.</p> <p><b>Target:</b></p>	<p><b>End of Project Status:</b></p> <p>The goal has been exceeded with 46 conservation agreements in the 9 protected areas of the Project.</p> <p><b>Comments</b></p> <p>Through the agreements, a greater participation of local actors in PA management, control and surveillance activities has been promoted, co-management has been strengthened and capacities have been improved. In addition, through conservation agreements, alliances have been generated with the private sector, connecting local productive initiatives with the market. Thus, the interaction of the public sector and the population has been achieved, enhancing the vision of conservation areas as assets and promoters of development.</p>	<p><b>AS</b></p>

<p>At least one Conservation Agreement working in each PA, which increases the participation of local communities in oversight and governance.</p>	<p>Other important achievements have been made at the national level with support for the development of guidelines for the design and implementation of the Conservation Agreements of the National System of Natural Areas Protected by the State (SINANPE), support for the preparation of Document No. 33 "Conservation Agreements: Conceptual basis for conservation agreements, a proposal from SERNANP and advice to SINANPE in the design of a monitoring system for conservation agreements.</p>	
<p><b>Component 1 Indicators</b></p>	<p><b>Achievement</b></p>	<p><b>Qualification</b></p>
<p>1.4 Degree of incorporation of CC resilience cons. into management instruments of PAs, conservation areas and territorial/indigenous reserves.</p> <p><b>Baseline:</b> None of the conservation areas or communal reserves have specific plans or master plans that incorporate CC considerations.</p> <p><b>Target:</b> All PAs and reserves feature specific analyses and master plans that incorporate CC considerations that are reflected in management decisions.</p>	<p><b>End of Project Status:</b> The target is not yet attained; it is process. 5 management plans advise on the inclusion of resilience strategies for CC and risk analysis. Other 4 have been updated on their considerations for these issues.</p> <p><b>Comments</b> The indicator is in progress with 5 out of 9 PAs that have already managed to update their management plans incorporating climate change considerations; and 4 additional plans in the process. The inclusion of climate change risk analysis as a strategy to reduce the vulnerability of NPAs has been accompanied by workshops and advice from the project team. Incorporation of the resilience approach has been efficient in strengthening the governance of the NPA, considering that the concept as an application to management is new and is still under development to define its principles and variables that define it.</p>	<p><b>MS</b></p>
<p>1.5 Increase in the coverage of areas under conservation, to protect key ecosystems</p> <p><b>Baseline:</b> 9 ANP (5'966,203 ha) 8 ACP (22,612 ha) 2 ACM (15,238 ha) 9 Conservation concessions (195,035 ha) 10 ecotourism concessions (25,744 ha), and 4 Indigenous Territorial Reserves (2'620,423 ha).</p> <p><b>Target:</b> 100,000 new ha in management for the management of key ecosystems, through alternative modalities (different from those of SINANPE's AP).</p>	<p><b>End of Project Status:</b> The goal has been reached and exceeded with a 159% achievement. Currently there are 159,555.89 ha under conservation regime in 5 new conservation areas.</p> <p><b>Comments</b> It has been important for this achievement a broader vision on the modalities of management of conservation areas, such as ACR, agrobiodiversity zones, conservation concessions, among others. Incorporating stakeholder participation is key, so for consolidating long term success in this field alliances with multilevel governmental organizations and NGOs are being established. The incorporation of the resilience approach has been efficient in strengthening the governance of the NPA, considering that the concept as an application to management is new and is still under development to define its principles and variables that define it.</p>	<p><b>AS</b></p>
<p>1.6 Availability of financial resources (US \$) for the management of the target PAs, taking into account the implications of the CC</p>	<p><b>End of Project Status:</b> 40.8% (about US\$ 2,202,857) of the target has been reached, thus being one of the indicators with the lowest achievement.</p> <p><b>Comments</b></p>	<p><b>MI</b></p>

<p><b>Baseline:</b>                  Revenue (2014) 2'396,512                  - Basic budget: 4'398,771                  - Optimal budget: 7'541,958                  - Bdgt balance. Basic: - 2'002,259                  - Bdgt balance. Optimal:- 5'145,445</p> <p><b>Target:</b>                  - Total income of 7,796,512, with additional financing strategies for 5,400,000.                  - Bdgt. Basic: 5'718,403, incorporating CC considerations.                  - Bdgt. Optimal: 9'804,545 incorporating CC considerations.                  - Basic balance of; 2'708,109, incorporating CC issues.                  - Optimal balance of 2'008,033 incorporating CC issues.</p>	<p>This funding is diversified between public, private and cooperation sources. The financing structure consists of US\$ 330,895 from public funds, US\$ 241,520 from private funds and US\$ 1,293,000 from cooperation funds, as shown in the Table 4. Improving the effectiveness of achieving results in relation to this indicator is associated with increasing the effort to leverage resources from various sources. To do this, the remaining months are key to diversifying access to sources such as competitive funds, and to complete the pace towards new funding in projects in course of negotiation reported in the PIR 2021, which are substantially oriented to climate change adaptation and biodiversity resilience.</p>	
<p><b>Component 2 Indicators</b></p>	<p><b>Achievement</b></p>	<p><b>Qualification</b></p>
<p>2.1 Degree of incorporation of considerations of CC resilience in planning instruments in the target provinces bordering PAs</p> <p><b>Baseline:</b>                  No province nor district target of the landscapes incorporates resilience to the CC in its instruments of planificación ni the three levels of government are articulated.</p> <p><b>Target:</b>                  At least one province in the two target regions, and one district in each, have regional and local planning instruments with specific provision for resilience to CC, and are articulated with all three levels of government.</p>	<p><b>End of Project Status:</b>                  The goal was achieved by completing PDLC and PEI in a province and 4 districts that incorporate the perspective of resilience to climate change. It is ranged as satisfactory (<b>S</b>)</p> <p><b>Comments</b>                  These planning instruments have been approved by CEPLAN and are being implemented by the respective subnational governments. The inclusion of the resilience perspective has been prioritized, and the institutional capacity to face climate change at different levels of territorial planning has been improved. The result is rated as satisfactory (S)</p>	<p><b>S</b></p>
<p>2.2 Increase in the potential tree-based production productive systems (coffee and cocoa) to buffer the NPAs against the direct and indirect effects of CC, in the target provinces bordering PAs.</p> <p><b>Baseline:</b>                  - 49,914 ha of coffee and 14,500 ha of cocoa in the Convention; and,                  - 7,804 ha of shaded coffee in Oxapampa</p> <p><b>Target:</b>                  10% of the same areas (7,222 ha; 5,771 ha of coffee and</p>	<p><b>End of Project Status:</b>                  The indicator is in process, but measurement of success is more qualitative than quantitative; and delays in starting the Component have precluded an earlier development of activities.                  The project impacted a net area of 4,329.7 ha of coffee, cocoa and agroforestry systems, out of a total of 30,714.01 ha. This coverage has benefited at least 1,907 producers (farmers and community members, about 8,000 inhabitants), who are working directly with the project and its allies to improve their production systems. The outcome is rated as <b>MS</b></p> <p><b>Comments</b>                  Along this process, the signing of conservation agreements, micro capitals and commercial alliances established with the support of the Project in 2020, have been decisive to make</p>	<p><b>MS</b></p>

<p>1,450 ha of cocoa) apply management systems that promote resilience to CC, while contributing to the sustainability of local livelihoods and gender equity, directly benefiting 18,050 inhabitants (8,123 women and 80% indigenous).</p>	<p>possible to promote the sustainability of the livelihoods of the beneficiaries. Work has been focused on the area of La Convencion, Oxapampa and others prioritized by SERNANP.</p> <p>Adaptation to climate change involved management activities with farm management plans, vulnerability assessment and income diversification; actions for the conservation of native vegetation, restoration of forests and agroforestry systems; soil and water resources management; and crop management with variety selection, pest management, among others. Alliances with private companies have been crucial and will need to be maintained and enhanced.</p>	
<p>2.3. Increase in the role of community-based forest management (CBFM) in motivating the protection of forests under conditions of CC and reinforcing occupancy rights of local communities.</p> <p><b>Baseline:</b> Community forest management plans that motivate forest protection do not incorporate resilience to CC in their considerations.</p> <p><b>Target:</b> Community forest management plans for at least two non-timber products motivate forest protection, build resilience into CC, and strengthen the tenure rights of local communities.</p>	<p><b>End of Project Status:</b> The target has been attained to a satisfactory degree (<b>S</b>) with six approved management plans of non-timber products that promote forest protection, resilience, and reinforce sense of ownership.</p> <p><b>Comments</b> These DEMAs ensure the conservation of 5,458 ha under community forest management, benefiting 271 families from 6 communities, being efficient in promoting forest protection to strengthen resilience to climate change and formalize the right of access to natural resources. In addition, technical assistance was provided to 7 production chains: <i>shiringa</i> latex, <i>copaiba</i> oil, chestnut, handicrafts, fish farming, bananas and tourism. For this, the provision of micro capital to 4 ECAs and 2 contracts with technical institutions has been important. Technological improvement strategies have been promoted to improve access to markets, training and technical assistance, all of which has contributed to the sustainability of the results.</p>	<b>S</b>
<p>2.4 Increase in the contribution of agroforestry systems in buffer zones to the generation of GEBs, the stabilization of landscapes and resilience to CC.</p> <p><b>Baseline:</b> - 20,685 ha of agroforestry systems in buffer areas contain a total of 3'092,200 tC with an average soil erosion rate of 2.64 t/ha/year.</p> <p><b>Target:</b> An additional 2,000ha of agroforestry systems in buffer areas produce a total net increase in carbon sinks by 176,920 tC; and total erosion reduction of 208,000t, benefiting 20,000 people (mostly indigenous, and 9,000 women in 4,000 families) through increased productivity and sustainability of productive systems.</p>	<p><b>End of Project Status:</b> Out of track. The outcome is not aligned with the planned target, for a change in the work planned and approach in communities.</p> <p><b>Comments</b> Distinct factors such as changes in the dynamics of economic activities in the areas and the impact of pests such as rust generated a low level of interest of the beneficiaries in indigenous communities for implementing agroforestry systems (AFS) from scratch, and they chose to strengthen their existing production systems. . Given this situation, and also considering the cost and investment implications to install new agroforestry systems that do not involve expansion of the agricultural frontier or deforestation. The Project focused on consolidating the existing production systems, through the improvement of the integral management of the territory.</p> <p>This change would only allow for an equivalent evaluation to be made by approximation, since the results are different from those expected; in view of this, the inconvenience of a standard qualification arises.</p>	<b>N/E</b>

<p>2.5 Increased participation by local communities promoting gender equality in environmental governance in landscapes.</p> <p><b>Baseline:</b> No ECA (Executor of Administration Contracts) of the 4 communal reserves, nor regional indigenous federations or federations representing indigenous organizations in buffer areas of communal reserves, participates in environmental governance spaces.</p> <p><b>Target:</b> The 4 ECAs and at least one regional indigenous federation, and the federations representing indigenous organizations in the buffer areas of communal reserves, participate in at least one space that promotes environmental governance.</p>	<p><b>End of Project Status:</b> The goal has been reached to a satisfactory degree, with 8 indigenous organizations (4 ECAs, 3 federations and ANECAP) from the buffer zones of the PAs involved in the Project activities.</p> <p><b>Comments</b> The outcome is a greater participation in spaces that promote environmental governance in the Project's landscapes (district, provincial territorial articulation spaces and regional) with issues related to climate change, commercial promotion of products, coordination with National Programs for the prioritization of productive initiatives, institutional spaces promoted by SERNANP and decision-making spaces on natural resources with local governments). The strategy of strengthening capacities through micro capitals has been important to achieve this result, allowing them to manage their development freely and based on their priorities.</p>	<p><b>S</b></p>
<p>2.6 Degree of incorporation of CC resilience and BD considerations in rural extension programmes</p> <p><b>Baseline:</b> No rural extension or forestry agency currently contemplates CC, resilience and BD considerations.</p> <p><b>Target:</b> 18 extension agencies, along the target areas incorporates CC, resilience and BD considerations.</p>	<p><b>End of Project Status:</b> The outcome has not yet attained the target as planned in the indicator.</p> <p><b>Comments:</b> 28 extension agencies have been trained to incorporate climate change resilient practices as part of their production systems, an activity that was developed within the framework of agreements with Technical Institutions with field work experience. However, the implementation and appropriation of extension programs requires the participation of officials from different state agencies such as municipalities, provinces and regions and from the different productive sectors that due to COVID-19 have set aside the field implementation of technical assistance, and training programs are held intermittently.</p>	<p><b>MI</b></p>

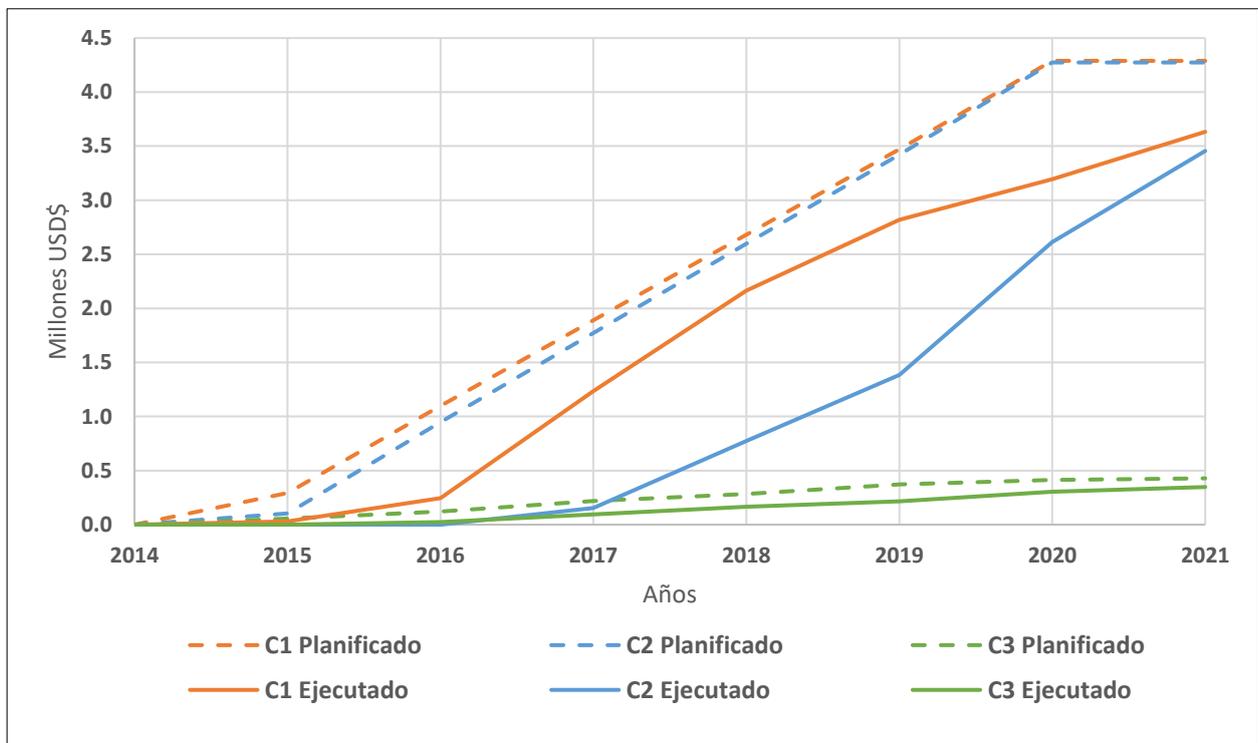
#### 4.3.4 Efficiency

The Project has administered the financing granted by the GEF amounting to USD \$ 8,991,434, of which a total of 7,865,504.42 has been executed as of September 2021, equivalent to 87.48% of the budget. **Graph 1** shows in dotted lines the accumulated budget from 2015 to 2021 and in solid lines the accumulated execution from 2015 to September 2021 for Components 1 and 2 (C1 and C2) as well as for Project management expenses. , called Component 3 (C3) solely for the purposes of its representation in the graph. In general, a low budget execution of the Project is observed in the first two years of the Project, coinciding with the delays already mentioned for the effective start of the implementation, which are discussed later in this section.

In the case of component 1, there is evidence of a slowdown in execution in the last two years of the Project, contrary to the typical increase in the pace that usually occurs in the last years of implementation. This is explained by the reasons already mentioned, associated with the Covid-19 that delayed the realization of face-to-face activities planned in the field. In the case of component 2, on the contrary, a very low execution is observed in the first three years of the Project, and an increase in the rhythm towards the end of the Project. The above coincides with the concentration of activities in the last period, whose implementation was delayed due to the process of hiring technical institutions with work experience at the local level in the PUMA landscape, as well as the rethinking that occurred to develop this component in the YESI landscape, where we worked with local organizations at the request of regional representatives and native communities. On the other hand, the execution corresponding to the management of the Project has remained constant, as the majority are fixed expenses.

The efficiency of the Project is evaluated from two aspects. The first is the allocation of resources and profitability, associated with the economic management of the Project team, SERNANP and UNDP. The second is management and punctuality, within which it is necessary to review the organizational structure and the planning and development of activities.

**Graph 1 - Cumulative budget execution**



Source: Project Management - UNDP

*Resource allocation and profitability*

The Project budget was perceived at an early stage as adequate for the activities proposed in the design document. However, some local actors perceive that the financial resources have been insufficient for the nature of the activities they aspired to develop. This is explained by the substantial number of activities of the Project and by the extension of the extension of coverage to multiple actors and beneficiaries.

In this regard, strategies have been implemented to efficiently use available resources and the optimization of expenses has been promoted as a good practice at the level of the team and activities, as well as efforts have been articulated with other institutions, identifying common objectives and coordinating joint actions. This is the case of shared resources in the decentralized headquarters with SERNANP and the EbA Amazonia Project, and the contributions of specialists hired by the Project whose results have been applied to other projects. Thus, the allocation of available resources by the team, SERNANP and UNDP and profitability of the Project are perceived as satisfactory.

The delivery of micro capital to local actors is perceived as a positive mechanism by producer associations, ECAs and NGOs. The allocation of these funds has been successful, not so much because of its profitability – which has not been reliably determined – but because of its impact on the ability of producers to enter the market, and the confidence acquired by the actors for it. As an example, the allocation of micro capital for producer associations in the Cusco region stands out, achieving a good reception and important results in the implementation of value chains and commercial association with private companies of national level in the areas of coffee, cocoa, and others. These results have led to a positive increase in the mood and degree of awareness of the associated producers. In the areas of the YESI landscape in Selva Central the same level of success has not been achieved, although this is not necessarily due to the strategy applied but to the absence of other enabling conditions of culture and work traditions that will take longer to adapt.

In any case, it is recommended to carry out a study on the financial profitability of micro capital in this experience, and to obtain conclusions and lessons learned that optimize the long-term application and improvement of this mechanism for the promotion of small-scale production and social entrepreneurship.

The Covid-19 pandemic is a condition that has affected the Project in several aspects. The economic aspect is one of them, considering budget execution. The restrictions and measures of national scope initially paralyzed the development of activities in the field and even with the reactivation there are still limitations in force. This has caused that resources destined to different activities are not executed, among which the development of workshops and the trips of team members stand out. The saving of resources due to this condition should not be understood as efficiency in the management of economic resources of the Project since it is a situation outside the capacity of the managers regarding the allocation and profitability.

#### *Project management and punctuality*

The Project management structure defines as the highest decision-making body the Steering Committee or Project Board (CD), which is the body responsible for making management decisions based on consensus for a specific project. The Committee is made up of high-level representatives from SERNANP, UNDP, MINAM and representatives of local beneficiaries such as indigenous organizations. As partners, UNDP supported the leadership of SERNANP as the implementing partner. At the Project team level, management has been decentralized from the installation of three regional headquarters that have coordinated the articulation of components and their application in the field. The organization arranged for the

Project has promoted and contributed to broadening and deepening the scope of the actions; in addition to strengthening the leadership of SERNANP, in special after the MTR.

The long start-up period, for the reasons outlined at the beginning of this report, affected the efficiency of action, especially in Component 2. The delay in consolidating an appropriate professional team, and the need to readjust indicators and goals caused a mismatch in the action schedule, which was overcome after the MTR; but the outbreak of the pandemic slowed progress again.

Although progress has been made in achieving results, it is clear that these delays have had a negative impact on the achievement of targets, especially in Component 2. A seven-month extension without a budget increase, currently underway, was approved by the GEF. Prospects for a second extension, which was considered necessary to complete activities and achieve a successful exit strategy, have not progressed; so, the closure of operations of the Project has been confirmed for December 20, 2021. This deadline, which is not a long one, could be sufficient, however, to develop and implement an exit-strategy that incorporates the recommendations of this TE.

#### 4.3.5 Overall result of the Project

In summary, the advances described and the adaptive management of the Project, although the achievements have not been achieved to date, and that this can be classified as a moderately satisfactory result, it is reasonable to consider that the unpredictable and difficult to manage impacts of the pandemic have conditioned these results, without which the performance of the Project could have reached a satisfactory level. This can be deduced from previous advances and from the adaptive management learning curve. Therefore, and considering these conditions, the evaluation assigns the following ratings:

Evaluation of results	Qualification
Relevance	<b>S</b>
Effectiveness / Efficacy	<b>MS</b>
Efficiency	<b>S</b>
<b>General Project Rating</b>	<b>S</b>

#### 4.3.6 National ownership

The Project was developed jointly by UNDP, MINAM and SERNANP based on an innovative experience of UNDP in protected areas in Mexico that was received with interest by national institutions and led to adapt the approach to the national context. SERNANP's early involvement, as well as its leadership in the implementation of Component 1, has allowed the appropriation of the Project within the NPAs.

Through the intervention, it has been possible to incorporate the climate change approach at the level of the SINANPE Master Plan, master plans and monitoring and control plans of some ANPs. At the national and sectoral level, the appropriation of the Project has not achieved the same degree of success due to the limited technical involvement of key ministries such as MINAM and MIDAGRI; however, valuable inputs have been generated for planning at these levels, such as climate change impact analyses and adaptation criteria in NDCs and national strategic plans, as well as in institutional contributions to NDCs and the

National Adaptation Plan, within the framework of participatory processes such as '*Dialoguemos*'.<sup>4</sup>

Component 2 has sought the appropriation of the Project by regional and local governments, which has occurred in a heterogeneous manner in the different territories, achieving a partial level of identification with the intervention and internalization of the proposed approaches. Within the framework of the activities carried out by the project, the updating of the Concerted Development Plans has been supported in accordance with the methodology proposed by CEPLAN, the incorporation of climate, gender and multicultural approaches in these, as well as the adoption of a set of guidelines for post-Covid-19 economic reactivation. However, the degree of commitment on the part of subnational governments in general, as well as the condition of high turnover of professionals running them put at risk the adequate implementation and monitoring of these plans, so it is important that new interventions continue to support this process.

#### 4.3.7 Cross-cutting issues

The Project has achieved a positive impact on cross-cutting issues such as mitigation and adaptation to climate change; promoting sustainable development; and the gender and intercultural approach. These issues are part of the current strategy of different actors involved in the Project such as SERNANP, UNDP, MINAM and CEPLAN; and they transcend others such as the MIMP, MIDIS and SINAGERD. Sustainability has been integrated into the design of plans and actions (see section 4.3.6); disaster risk management and the territorial approach in development planning; and reducing vulnerability to natural disasters and the adverse effects of climate change on people, with an emphasis on those living in poverty and their livelihoods. The growing risks of forest fires persist, requiring an integrated action of actors, since the SERNANP response capacities will not be sufficient, even with a budget of greater coverage.

Regarding mitigation and adaptation to climate change, the Project has a differentiating element the concept of 'resilience', which responds to a series of principles that have been part of the discussion on the implementation of the strategies. The management of protected areas, territorial planning, as well as other activities part of the Project have marked a milestone from the incorporation of the issue of climate change and the vulnerability of landscapes and therefore of population settlements. The actions undertaken are related to the potential to reduce emissions from slash-and-burn activities, but they also condition and give rise to risks that are already observed in these areas. Resilience is an innovative concept for the entire scope of the Project, but it has not had the same impact on all actors, so it is necessary to do an internal exercise in SERNANP and MINAM to agree on the scope of the concept and its application to rural development issues in general and conservation in particular.

Sustainable development is a core concept of the UNDP Country Program, where the Project intervenes directly in progress towards Outcome 1 of inclusive and sustainable growth and development. It seeks to support the strengthening of mechanisms for sustainable development, conservation and rehabilitation of natural ecosystems; Efforts have been made to strengthen capacities for local economic development with a green growth approach; and effective management of natural resources and biodiversity has been promoted, stimulating resilient livelihoods for beneficiaries.

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<sup>4</sup> '*Dialoguemos*' was a participatory program led by MINAM to gather opinion, suggestions, expectations and current knowledge on climate change issues to gather inputs for the NDC process.

Both gender and interculturality are relevant approaches that interact to promote greater participation of women and indigenous populations, a need raised from the design of the Project (see section 4.1.5). The intercultural approach – which in national policies is linked to gender and intergenerational issues - has been evident in the implementation of micro capital agreements, particularly for advice and administrative follow-up by the team, while the gender approach has had to be addressed by adapting the general methodologies to the characteristics of the populations and the context of the intervention. As pointed above, UNDP has a specialist who has provided induction on these approaches to the Project technical team and has guided the respective activities. However, it is perceived that effort is still required to generate a closer accompaniment to improve the capacities of the project teams in these issues for the application of these approaches in a transversal way.

#### 4.3.8 Sustainability

In general terms, the sustainability of the Project will be achieved through alliances and commitments with the actors in the intervention areas. The main risk to sustainability lies in the endemic weakness in national and local governance to ensure high, lasting and compatible commitment based on common objectives of the interest groups. Component 1 reveals a high viability regarding its possibility of remaining over time and internalizing achievements by other institutions once the Project has concluded; In Component 2, a less favorable outlook is presented since the actions involve a greater number of factors and actors that must intervene together to generate enabling conditions and sustain benefits in the medium and long term.

##### *Financial sustainability*

In the national economic and financial context, in most of the countries of the Region, the financial sustainability of innovative development initiatives is often affected by uncertainty and precariousness in the allocation of funds for the continuity of actions promoted by development projects, especially within the framework of public budgets. This is usually the result of scant promotion and incentives for participation and involvement of private entities and civil society, which could be trained and prepared by the projects themselves to assume the continuity of actions.

In the case of the Project, the solutions in perspective may be more viable with the results obtained from enhanced participation and anchoring of actions under SERNANP, as a technical institution less affected by political changes; and for the alliances already established and in the process of being strengthened between local producer organizations, indigenous communities and organizations, with private companies and NGOs with national and international coverage. In this sense, the exit plans of the Project must contemplate these aspects and foresee the actions that ensure this continuity in the medium and long term.

There are accessible sources of financing for the continuity of the Project's achievements in the short and medium term through national competitive funds, public investment projects and international cooperation. In this respect, the activities within the framework of the implementation have included support in the design of the projects indicated in the table in section 4.2.3. Among these, the approval of the Natural Heritage of Peru project is especially key to guaranteeing the sustainability of the Project and SINANPE.

Although the degree of involvement of SERNANP, the tools developed in the framework of the Project, and the capacities strengthened within the institution constitute factors that favor the sustainability of the Project, it is usual that institutional budgets are a limitation for the maintenance of good practices generated by eventual projects.

Some indigenous organizations and producer associations are in a better position to seek financing and continuity for the ventures initiated with the support of the Project. The connections established between producers and important companies in the private sector favor the continuity of sustainable production and the economic viability of their ventures. However, the short implementation time of Component 2, within which the activities described above have been conducted, has not been sufficient to cement this continuity in all cases. In this sense, it is crucial that new alliances be promoted with a view to the closure of the Project, and that an action plan be established for the use of the study carried out on sources of financing, taking into account the risks of continuity of actions and priorities of budgetary allocation in the country with the change of current government at the national level, and the next ones in regional and local elections.

#### *Sociopolitical sustainability*

The socio-political sustainability of the Project lies in the generation of favorable political and social conditions, based on the demonstration of the benefits for the actors involved. The perceived socio-political risk is related to the territorial management of the intervened areas and the need to involve all the actors. Regarding Component 1, SERNANP's intervention has raised the profile of the activities carried out, demonstrating that involving local actors such as ECAs or management committees is an opportunity to create new management models that ensure greater commitment in the conservation actions. In Component 2, the private sector and NGOs play a decisive role in ensuring the sustainability of the achievements. Although there has been a good degree of involvement of these groups of actors, it is necessary to reinforce the alliances achieved and promote new ones, as part of the exit strategy of the Project, considering the brief time of effective implementation that it has had. This last point constitutes an elevated risk, due to the pressure that the Project faces to quickly execute the activities.

The practices and lessons learned have been collected and disseminated by the Project throughout its implementation. An important space to share knowledge management are the meetings to monitor the implementation of project activities with SERNANP, UNDP and local partners (ECA, indigenous organizations, NGOs and technical institutions) where they shared their achievements and experiences and exchanged their best practices. with common activities, such as the creation of a new conservation area, the preparation of supporting technical documents, the implementation of resilient management practices of natural resources, among other issues of common importance. Other important spaces for exchange are the Steering Committee sessions were through the presentation of results,

The transmission, training and feedback of experiences and lessons learned, both internally, with SERNANP, UNDP and other partners, is an important milestone. In this sense, a series of capacity transfer workshops have been programmed for the last months of the Project, which can serve as spaces to generate and assume commitments that allow, to a substantial extent, to ensure the expansion of the impact or end activities that were not achieved but relevant. It should also reflect the reflection and systematization of the accumulated experience throughout the implementation of the Project, so that a transferable document is generated to new related projects.

#### *Sustainability of the institutional framework and governance*

At the institutional level, SERNANP has shown commitment in defining guidelines and tools to advance in the management of the NPA, integrating the results of the Project in the planning, control and surveillance processes; and adding new modalities of co-management; and becoming involved in the management of alliances with the private sector where the

success stories of AJE and La Ibérica stand out, promoting the seal of "Conservation Partners". The SERNANP Director Plan, the PA's Master Plans and the control and surveillance Plans offer an opportunity to formalize the commitment to the sustainability of the Project from the incorporation of climate safety and resilience issues in the management tools at the system level and of site. The institution also has capacities, strengthened from the work with the Project specialists, the field work with actors and the training received; and therefore, SERNANP can assume a key role in maintaining and expanding the impact achieved by the Project.

At the national level, the Project is aligned with the priorities in the country's agenda, aimed at strengthening the conservation of ecosystems and the sustainable development of communities, as well as with the directives and commitments of the Paris Agreement in its NDCs. Although actions are developed through SERNANP as an attached body, for greater sustainability of governance, it is necessary for MINAM to assume, at the ministerial and vice-ministerial level, a more active role in political management, support and institutional framework for the results of the Project.

*Environmental sustainability*

The environmental factors that threaten the sustainability of the Project's actions are linked to the risks that the Project has faced, described in section 4.2.6. The main threats (illegal logging, illegal mining, agriculture, forest fires, and others) are anthropic, lie in the subsistence needs of the inhabitants that exert pressure on the NPAs and their buffer zones; Therefore, they are a permanent risk for the sustainability of interventions aimed at conserving biodiversity and adapting to climate change. The economic crisis triggered by the Covid-19 pandemic has aggravated this situation, increasing threats and risks to the sustainability of the intervention.

It is crucial that the guidelines for economic reactivation incorporated in the regional and local concerted development plans are respected and that the productive models promoted by the Project continue to be promoted, which can counteract the impacts described, through the promotion of livelihoods. that harmonize with the principles of resilience. This task will not be easy since local and regional governments do not usually adopt a long-term perspective and, in the face of the crisis, choose to make controls more flexible and soften or eliminate established restrictions.

*Overall probability of sustainability*

It is important to rethink the traditional approach to land management, moving to a vision that considers the implementation of the resilience approach that is the essence of the Project. From the above, the role and degree of commitment that the territorial actors must assume must be identified. Among the actors relevant or key to achieve sustainability are the local and regional governments, NPA heads, ECAs, indigenous organizations and NGOs. In summary, and due to the incidence of implementation risks due to delays that affect the timely achievement of the main results, it is concluded that the sustainability of the Project's achievements, taking into account the factors that compose it, is classified as moderately probable (**MP**).

In summary, from the evaluation conducted, the sustainability issues in the Project are classified as follows:

Sustainability	Qualification
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Financial sustainability	<b>MP</b>
Socio-political sustainability	<b>MP</b>
Institutional framework and governmental sustainability	<b>MP</b>
Environmental sustainability	<b>P</b>
General Probability of Sustainability	<b>MP</b>

#### 4.3.9 Gender equality and empowerment of women

During the implementation of the Project, the need to comprehensively address the gender approach to promote women's participation was identified. To this end, a specialist was hired to adapt specific strategies to the project scenarios. Based on this, as part of the first actions undertaken, they were aimed at raising awareness and strengthening the capacities of local teams and partners (Project team, PNAs staff, CCA managers, members of local and regional indigenous organizations, regional governments, etc.) to incorporate gender and intercultural approaches. Workshops were defined, which were proposed on the basis that the understanding and incorporation of these approaches were tools for the generation and implementation of governance strategies that increase the resilience of landscapes.

Regarding the results derived from the development of the activities of Component 1, the formulation of a Pilot Strategy for the Incorporation of the Gender Approach in the Effective Management of the ANP is identified as an achievement, whose purpose is to promote the equal participation of men and women in the spaces of governance and decision-making; as well as the benefits provided by the ANP.

Based on this, the development of a pilot was defined for the elaboration of a Methodological Guide for gender mainstreaming in the effective management of SINANPE protected areas, which would establish methodological guidelines on how to achieve resilient conservation areas by proposing indicators to record progress towards gender equity at the local and national levels. This pilot was developed by SERNANP and UNDP in the Yanachaga–Chemillen National Park during 2019 and 2020, and the Guide document is currently awaiting validation from SERNANP, AIDSESP and CONAP.

The importance of these achievements lies in the fact that SERNANP can effectively contribute to the fulfillment of national goals on gender and the environment such as those proposed in the Gender and Climate Change Action Plan, as well as to the reduction of gender gaps in terms of participation and fulfillment of women's rights in the areas in which the guidelines are applied.

From Component 2, it has been possible to promote the participation and capacity building of women in productive initiatives such as the management of natural resources and the development of value chains of diverse products. The Project has sought to develop economic activities that generate income and reduce the gap in women's financial independence. The development of value chains has prioritized the participation of women where they work with producers and artisans of groups such as the Asháninka Association of Organic Coffee Producers El Sira Gran Pajonal (APROAS), Mabu Hiwe Association, Reshin Rate Artisans Association, Association of Ecological and Tourist Artisans Mothers and Wexa Beka Artisans Association, stands out. The developed initiatives were based on coffee cultivation, handicrafts and tourism, managing to promote associativity approaches and strengthen organizational capacities for production, marketing and improvement of product quality. In addition, the Project has supported trading activities with the sale of products in

different local, regional and national fairs. Participation in these events is relevant as a showcase that can offer these groups the opportunity to access new markets and customers, a crucial element for the financial independence of these associations.

However, there are still gaps to incorporate the gender approach in all activities, in the beneficiaries, and in other stakeholders, even at the level of Project managers. In practice, the gender approach has partially penetrated the trained actors, with various levels of understanding of the concept and its implications, of the practical and field approach, and therefore, in the effective participation of women in the intervention areas. This is due to the very cultural gaps that condition the relationship and roles between men and women in rural areas and indigenous groups, which still require further study and adaptation of the directives at the national level.

#### 4.3.10 GEF contribution additionality

The GEF's contribution is considered to have impacted the Project's ability to provide global environmental benefits in biodiversity, soil degradation and sustainable forest management. On biodiversity, the activities have contributed to the effective management of existing and new NPAs, based on the identification and mitigation of CC threats that have been incorporated into its management plans and involvement of actors in the territory through co-management models.

Regarding land degradation, the Project has contributed to the reduction of pressures on natural resources through territorial planning, expressed in instruments such as PDLC, and the adoption of practices resilient to CC in communities, with sustainable production systems in buffer zones. On sustainable forest management, the reduction of pressures on forest resources and generation of sustainable flows of ecosystem services has been achieved from management in and around the ANP, with low-impact productive systems that have been collaborated with local actors. The records of the GEF's monitoring tools on these focal areas support the importance of their participation for the generation of the aforementioned benefits.

Additionality to institutional governance has been achieved through different activities to strengthen institutions to manage PNAs and buffer zones. In SERNANP there has been capacity building for the incorporation of risks to climate change, gender focus and interculturality as part of the planning of these areas; regional and local governments have incorporated the consideration of cc into their territorial management plans.

On the GEF grant of \$ 9,401,000.00, a co-financing of 5 to 1 has been managed. Under the logic of incremental reasoning, however, this contribution would not have been sufficient to mobilize other sources, as revealed by the scope of indicator 1.6. of Component 1.

Socio-economic additionality in improved livelihoods and social benefits are revealed in the outcome of Component 2 activities. The GEF's contribution has been relevant considering that it aligns with the vision of the sustainable forest management focal area, which seeks the effective provision of forest ecosystem services and the strengthening of the livelihoods of people who depend on the use of forest resources. To a lesser extent, legal/regulatory additionality is considered to be supported by the development of strategic management instruments for ANP, territorial management and value chain management, although more robust government enforcement mechanisms are still required.

#### 4.3.11 Catalytic role and replication effect

The commitments assumed during the implementation of the Project allow the current results to be scaled beyond the scope of intervention, ensuring conditions for the support, intervention and accompaniment of new activities, considering that the beneficiaries have already started in plans, administrative practices and resource management, and show a willingness to promote these actions. This escalation should be based on local interest and motivation and based on your own perception of perceived benefits. The commitments, especially those that may occur with grassroots organizations, are still in the process of maturing and will vary in the medium term, which warrants close monitoring.

The Project approach is certainly replicable even considering only specific results. To generate adequate conditions to replicate and scale the positive effects, it is necessary to formulate and implement an 'exit strategy' of the Project (*exit-strategy*) to include provisions to improve aspects such as: (i) the integration of activities inside and outside the NPA, which in this case has been divided into two components of different nature; (ii) continue promoting co-management models, integrating stakeholder participation where ECAs and Management Committees have important roles; and, finally, (iii) consider that the essence of replication and escalation is the protagonist and empowered actors themselves based on their needs and interests, always within a formalized framework, and guided by consensual guidelines.

#### 4.3.12 Progress towards impact

The Project has contributed to the incorporation of the issues of mitigation and adaptation to climate change, as well as gender and intercultural approaches in the processes of development and updating of institutional planning instruments at various levels:

- Master Plans of the NPA - SERNANP
- NPA Monitoring and Surveillance Plans - SERNANP
- Concerted Development Plans - Regional and local governments
- Institutional Strategic Plans - Regional and local governments

At the same time, technical staff, associations and groups have been trained to incorporate these approaches and issues. As for the reduction of environmental stress, it cannot yet be said that the landscapes intervened are now more resilient or that there has been a significant reduction in GHG emissions or an increase in carbon sinks. This is not possible, in part, due to the latent risk posed by the illegal activities that proliferated in the wake of the pandemic.

In Component 1, the main impact is related to the gradual but firm change in the conception of PA conservation, reinforced by the success seen with conservation agreements and the involvement of a greater diversity of institutional sectors and society, which in cases have become promoters of PA security.

In Component 2, the main impact lies in supporting indigenous and producer organizations to strengthen their bases, and in the incorporation of sustainable practices, improving the quality of their products. It also highlights the commercial link with private companies, such as La Ibérica and PERHUSA under models of Conservation Agreements, to place their products on the market at a better price. The direct impacts of these activities correspond to a net area of 4,329.7 ha of coffee, cocoa and agroforestry systems with benefit from at least 1,907 producers, and the indirect impact reaches 30,714.1 ha of additional production systems. Although the achievement has not been the same in all cases, the

satisfaction of most actors with the advanced and future prospects is notorious, and the favorable demonstration effect on other actors.

About the GEF Tracking Tools, positive impacts are identified on the three focal areas proposed for the Project:

- *Biodiversity Focal Area:* at the end of the Project and with the GEF's management effectiveness monitoring tool for biodiversity protected areas, in objective 1 of catalyzing the sustainability of protected area systems, the following results have been recorded (out of a total of 99 points): Yanachaga-Chemillén National Park 80, Yanesha Communal Reserve 72, San Matías-San Carlos Protection Forest 65, El Sira Communal Reserve 71, Manu 92 National Park, Alto Purús 81 National Park, Purús Communal Reserve 77, Amarakaeri Communal Reserve 76 and Megantoni National Sanctuary 70. These results show the degree of progress in the effective management of the ANP as a direct impact of the Project. These results are associated with the effort of SERNANP from its administrative tasks and in practice, with the participation of the NPA teams. This involvement ensures to a considerable extent the permanence of favorable impacts; but the variability of the scores obtained underscores the need to continue strengthening and emphasizing management in certain areas.
- *Land Degradation Focal Area:* the results of the Project have generated impacts related to integrated sustainable land management in larger landscapes and in adaptive management and learning (LD3 and LD4 indicators). The most outstanding impacts are the integration of the climate change resilience approach into planning instruments in a province and four districts with PDLC and PEI; the strengthening and transfer of capacities based on the technical studies developed for SERNANP and regional governments, such as the study of Climate Change Risk Analysis and Other Pressures for 6 regions; support for the establishment of 50 Conservation Agreements, where companies have been involved to boost local economies and sustainable practices; and, the creation of new conservation areas with processes of articulation of efforts by different actors.
- *Sustainable Forest Management/REDD+ Focal Area:* The Project has allowed the development of various Product Management Statements, which supports a rating of four for outcome 1.1. 'Improved enabling environment within the forestry sector'. On the result 1.2. 'Good forest management practices applied in existing forests', the goal has been exceeded with 5,458 ha covered by forest management plans with DEMA approvals and 12,958 ha total forest area worked. Regarding result 2.1. 'Enhanced institutional capacity to take into account the reduction of GHG emissions and the increase of carbon stocks', is rated with five, which refers to the priority assigned to the establishment of national science-based monitoring/inventory systems.

## 5. Summary of findings, conclusions, recommendations and lessons learned

This section summarizes and synthesizes the main findings in conclusions derived from the preceding sections, as well as the pertinent recommendations in each case, for the forecasts and actions to close the Project and to preserve its achievements over time. Additionally, the lessons learned gathered from the revised documentation and from the opinions of the interviewed stakeholders are summarized, which may take future actions to consolidate, scale up and replicate achievements or design of similar projects.

### 5.1 Conclusions

#### *Project Design*

- The design of the Project has been relevant in addressing a problem of national and global interest and has stimulated the evolution of the work and state of the art of conservation in Peru. The progress made by SERNANP has been evidenced in terms of renewing inclusive and systemic approaches in its planning and work instruments in the NPAs and buffer areas.
- The central concept of the Project is the construction of resilience and the consideration of the impacts of climate change on ecosystems and their services in the NPA. These are highly complex concepts whose evolution - unlike their urgent attention - requires times that exceed those of a single project.
- An explicit 'theory of change' with conceptual models and clarity of interactions and synergies was not included in the Project design. The theory is implicit in a thick way in the conformation of components, products, activities and indicators; but a more detailed and systemic examination would have warned of the difficulties in articulating field actions already experienced and with installed capacities, with those that are innovative in the productive sectors and the population, which require more installation time.
- The initial determination of indicators was modified to correct excessively optimistic goals and figures for the scope of the Project, in Component 1. In component 2, the indicators were less precise, given the limitations for a quantitative baseline and the mostly qualitative nature. of the goals to be achieved, in a complex and diverse social and economic context. In both cases, SMART features should have been applied more rigorously to avoid subsequent adjustments.

#### *Implementation and risk management*

- The Project faced multiple risk situations, which to a substantial extent were alleviated with appropriate solutions: taking advantage of experiences and lessons learned from parallel or completed projects; proper governance management, including appropriate organizations and institutions, especially indigenous ones; decentralization of activities and coordination with the SERNANP organization in the field; and other adaptive actions. In this sense, the quality rating of the management of UNDP and the implementing partner SERNANP, reaches satisfactory level (**S**)
- Progress can be seen in the greater awareness of the population and of the technicians, in the incorporation of the subject of risks in the planning instruments, and in the innovative

approaches to address them, which is positive; but greater incidence and extension are still required for national coverage.

- Repeated concern is expressed about the increased frequency of forest fires, linked to global warming and also to human action, which affect the integrity of the NPA. This risk must be managed by a combination of national and local actors that has not yet been established, which is why a diffuse responsibility persists that falls on SERNANP, being in reality a risk of impact and effects shared with all national actors and subnational.
- The Covid-19 pandemic was not foreseeable, and its impact caused the disruption of activities and plans, in addition to dire consequences on the life and health of residents and Project personnel. This impact has been the main cause of the delays and difficulties in completing the planned activities, and of the most drastic adaptive measures in the conduct of the Project and in the adaptation of the activities.
- The execution of the Project has also faced a recurring situation in the implementation of actions and seeking synergies in the interior of the country: the lack of effective collaboration and adequate capacities on the part of public agencies, and their propensity for bureaucratic inertia; Added to this is the frequent rotation of officials and the incidence of electoral processes and changes in authorities. This effect, added to the health crisis, has created a context of increased risks and greater pressure on NPAs with illegal activities and permissiveness or absence of authority control.

#### *Participation and collaboration*

- The Project has called for the participation of local and regional entities, especially those linked to the management of SERNANP, and indigenous organizations and producer associations. This has been positive for gaining the trust of the population and strengthening local institutions; and to establish the achievements of participation in decisions and actions. The involvement of sectors of the regional government and the central government has been less productive, limiting the potential for political and multisectoral advocacy of the Project.
- The Project has optimized synergies with other projects of similar scope and nature regarding biodiversity conservation, climate security, empowerment of local institutions and improvement of the local economy in the Amazon. This approach has favored the assimilation of experiences and lessons learned; and it has allowed the exchange of resources and convergence of achievements. In turn, the Project has contributed to the design of other national projects and leveraged additional financing for its own execution.

#### *Gender*

- Regarding the gender approach, progress has been made in the design of methodologies and standard training on the subject aimed at groups of technicians, actors and beneficiaries to increase the participation of women in Project activities. Interviews and testimonies with women's organizations participating in handicraft activities revealed an authentic and enthusiastic involvement and commitment.
- Despite these efforts, the diversity of gender issues in the Amazon region - in which complex cultural characteristics converge, both of indigenous and colonist ethnic groups - requires

further research and the design of adequate instruments that must be addressed by public policies. today still general or oriented to Andean and urban populations.

#### *Social and environmental safeguards*

- The Project has had a satisfactory performance, in terms of social and environmental safeguards, due to the positive affinity of its actions for these purposes, aiming at expanding and improving the scope of conservation actions, and strengthening and training in the institutions involved. .
- Regarding social impacts, the technical and financial support for productive activities for a greater economic and social well-being of the local population is considered positive; and also, to contribute to their better knowledge about climate change and the ways to contribute to the conservation of ecosystem services and natural resources, with greater economic efficiency and future sustainability.

#### *Financing and co-financing*

- The Project budget reached a significant amount, considering the co-financing contributions; However, the relative dispersion and extension of the intervention areas and the co-financing of other entities, resulted in that - from the perception of the local actors - the amounts at the level of locations and specific activities were not at the level of their initial expectations.
- The micro capital grant initiative has achieved enthusiastic acceptance among beneficiaries. This benefit should not be measured exclusively by the direct success of the ventures and their net financial profitability - not yet reliably determined - but should be extended to the benefits of strengthening the sense of responsibility, belonging, self-confidence, preparation for subsequent challenges and undertakings, and of the exceeding thresholds in community development levels.
- The financial sustainability of the Project, in terms of supporting the consolidation of the achievements, is partially assured with regard to the conservation of the NPAs and ecosystem services, through the permanence of SERNANP as an established presence of the State with a history and recognition. as a reliable entity with good management results, with convergent and complementary projects.
- In terms of social achievements and productive undertakings based on the ecosystem services provided by the NPAs, and as reiterated in the conclusions on this point below, sustainability will depend on the extent to which the new conservation and conservation paradigm is institutionalized. local alliances between levels of government, civil society, the rural population and the private sector are consolidated; and, additionally, public budgets are added at the national, regional and local levels through concerted development plans.

#### *Achievement of Results*

- Overall achievement in results, weighing positive developments, the level of innovation, and the constraints imposed by unforeseeable conditions, is rated as satisfactory (**S**).
- In terms of measurable achievements towards the objective, according to the modified indicators, the execution efficiency to date is classified as moderately satisfactory (**MS**), with the possibility of reaching a satisfactory (**S**) level at the end of the Project. Some indicators exceed the readjusted goal, in new conservation areas and extension of hectares; seven of the nine NPAs exceed their threat reduction goals with an average of 77.8% success; and the average score on the METT exceeds the respective goal by more than two percentage points. This rating takes into account the limitations posed by the pandemic and the effort made to overcome them.
- In Component 1, overall achievements are rated as satisfactory (**S**). Five of the six outcome indicators have reached their goal or are in the process with a potential to reach it before the Project closes. Relevant to this result are the achievements in conservation agreements, alliances with key stakeholders; and the accompaniment and advice of the Project in the processes through agreements with specialized technical institutions with experience in these processes with local populations.
- In Component 2, overall achievement is rated moderately satisfactory (**MS**). The activities of the component began with a low level of execution - which was indicated in the MTR - but then there was a remarkable recovery process once the initial limitations and difficulties of coordination, collaboration and implementation process with government entities were overcome. and social groups of local level.
- The overall efficiency of the Project execution is considered satisfactory (S), weighing the limitations imposed by the health crisis, since 87.5% of the total budget allocation has been executed to date. The amount not executed consists of provisions for travel, per diem, workshops and other activities that have been restricted during the pandemic. The Project consulted through UNDP the possibility of a second extension (in addition to the seven months previously granted) to execute this remainder, but did not obtain a positive response, apparently because it was considered that the extension would have a cost that would not be justified by the increase. marginal of the impacts already achieved.

#### *Monitoring and evaluation*

- The monitoring and evaluation activities have generally performed satisfactorily, and there is a large collection of documents that must be managed by SERNANP, both in the technical and statistical aspects of the conservation of the NPAs and their AZs, as well as with regard to the planning experiences of adaptation to climate change and the promotion of resilient productive activities, on which an innovative management of the acquired knowledge is required, incorporated in management instruments such as the Master Plan and Master Plans.
- The monitoring instruments have been applied and kept updated through the Tracking Tool, the results of which are attached in a special annex to this report.

#### *Sustainability of achievements, replicability and scaling.*

- The sustainability of the Project's achievements resides in the consolidation of alliances and commitments with all actors and in all areas; In this regard, the permanence of key

institutions in their roles, such as SERNANP, indigenous organizations, and producer associations with the private sector, has good prospects. It will be necessary to promote and consolidate the links with the private and public financial sectors, regional and local governments, and the local enterprises that are germinating themselves.

- The quality and affinity of the achievements with the SERNANP core activity allow us to envision the replicability and scaling of the Project activities to other areas and landscapes of the country, seeking complementarity with related projects in preparation or execution.
- The risks in socio-political sustainability, in the current conditions of change of government and relative uncertainty about future budgets, change of officials, and uncertain orientation of actions on climate security and the environment in general, present an unclear medium-term outlook.
- The project execution experience leaves important lessons learned that must be systematized and documented in the brief time that remains for execution. Likewise, the development of an exit strategy - already being planned within the technical team - requires immediate support and monitoring by the DC and adequate management of resources, including transfers of items and changes of priorities that are necessary.

## 5.2 Recommendations

This section presents the consequent action recommendations of the ET. The recommendations corresponding to categories A and B address immediate needs, before the completion and closure of the Project; while those included in sections C to F include actions to be considered for the consolidation of the Project's achievements and the institutional strengthening of the actors with a view to replicating or scaling up and improving planning methodologies and improved current actions, both of the UNDP as of SERNANP.

Rec #	Recommendations	Responsible entity
<b>TO</b>	<b><i>For immediate and priority action</i></b>	
A.1	To focus, in the meager deadlines that remain, to the urgent implementation of an exit strategy and commitment of the remaining funds with a roadmap to complete the actions before the financial closing.	UNDP SERNANP Project.
A.2	The exit strategy should include holding workshops at the headquarters level that include face-to-face meetings, with the necessary protocols, in order to consolidate progress, strengthen alliances, and form support groups committed to continuing actions under development.	Project CD SERNANP
A.3	Invest in the preparation of a memory of lessons learned and testimonies of achievements, including the dissemination of improvements and innovations, and describing current and potential synergies and their benefits.	UNDP Project

Rec #	Recommendations	Responsible entity
A.4	Promote and conduct the extension of the methodology of the risk and vulnerability analysis study carried out in the two landscapes, applied to all the NPAs and landscapes, as provided in the new project proposal to the FVC. The focus of this analysis should advance in the interrelation of the socioeconomic problems of the populations with the NPA and BZ, beyond the description and measurement of the risk status and statistical data.	SERNANP Project
<b>B</b>	<b><i>For an efficient conclusion and closing in the short term</i></b>	
B.1	Coordinate and optimize the use of the remaining resources with an administrative programming by UNDP-GEF that includes priority attention to the conclusion of key activities and the roadmap, ensuring commitments that can be done until financial closure.	UNDP-GEF SERNANP Project
<b>C</b>	<b><i>To ensure the effectiveness and impact of long-term actions</i></b>	
C.1	Seek the inclusion of activities to monitor and support the achievements of the Project, through related projects in progress or in preparation, as in the proposal to the GCF. SERNANP must be the government anchor of this process of integration of plans and actions with the innovative approaches of the Project and in alliance with local actors and private companies.	UNDP MINAM SERNANP
C.2	Ensure the systemic inclusion of the concepts of resilience and long-term sustainability in the SINANPE Master Plan and Master Plans, through directives and approaches based on the Project's experience; and support the development of a multidisciplinary and participatory proposal for conservation corridors in the country.	MINAM SERNANP
C.3	Institutionalize mechanisms to stimulate initiatives and forms of collective action, empowering the local population to demand their official adoption and sponsorship from their local authorities. It is suggested to explore the results of the PCM 'Tramas' program and the possibility of extending it to the Project areas by establishing ARD (Regional Development Agencies) in their area and nuclei of social and economic dynamization.	MINAM PCM SERNANP
C.4	Prioritize the design of a strategy, inter-institutional framework and regulations within the framework of SINAGERD, in coordination with the PCM, for the systematized attention of forest fire emergencies in the sphere of influence of the NPA, involving regional and local governments.	PCM MINAM CP Project SERNANP
<b>D</b>	<b><i>For the financial and socio-political sustainability of the results</i></b>	
D.1	Conduct a quick study of the results of the execution of the micro capitals, and an appreciation of their scope of impact at the Landscape level with a view to extending this mechanism to other conservation landscapes; and, in parallel, study and design modalities of insurance mechanisms for credits, based on the experiences, successful or not, of the Project.	UNDP Project

Rec #	Recommendations	Responsible entity
D.2	Strengthen the alliances achieved with indigenous organizations, producer associations, and the private sector at all levels of incidence, considering post-pandemic situations and the opening of economic activities, maintaining active collaboration and participation relationships, and including these modalities in all projects and master plans.	MINAM SERNANP Project
D.3	Prepare a document of action strategies, options and alternatives for early work in the face of repeated situations of political instability, rotation of officials and governments, and others, which facilitate adaptive project management forecasts.	UNDP MINAM
<b>E.</b>	<b><i>To optimize gender and intercultural approaches</i></b>	
E.1	Promote an inter-ministerial working group (MINAM, MIDIS, MIMP, MINCUL) and participatory with indigenous organizations, NGOs and academia, to adapt the plans and regulations on gender and cultural approaches to the local and regional realities of the Amazon.	MINAM MIDIS MIMP MINCUL
<b>F.</b>	<b><i>For the scaling and replicability of the Project</i></b>	
F.1	Align and promote in the master plans the change of the conservation paradigm and the role of protected areas in their relationship with local development, the integrated approach to landscape connectivity and ecosystem services in production processes. Also, to support the development of Life Plans with indigenous organizations, which include a synergistic and symbiotic relationship with nature through the conservation and sustainable use of the ecosystems represented in the NPA.	MINAM SERNANP UNDP
F.2	Consolidate the commitment, empowerment and real improvement of the socio-economic conditions of the inhabitants, in the medium and long term, reinforcing and maintaining local alliances with the private sector, local governments and other actors through local and regional concerted development plans . The conservation of NPAs and buffer zones should aspire to be productive conservation, ensuring that the actors in the territory identify and internalize that these activities generate direct benefits for their own development and their favorable future evolution.	MINAM SERNANP UNDP

### 5.3 Lessons learned

The experience of executing the Project leaves numerous lessons learned that must be systematized and documented in the brief time that remains for the execution of the Project; Likewise, the elaboration of an exit strategy - already being planned within the technical team - requires immediate support and monitoring by the DC and adequate management of resources, including transfers of items and changes of priorities that may be necessary. The main lessons summarize in the following:

- Conservation projects that combine elements of local and productive development need careful preparation, to avoid an imbalance in the advances of technical and specialized components in biotic issues, in the face of the introduction of innovative approaches and innovative actions in the social context.
- Cooperation projects must optimize their insertion and articulation with public and social local government bodies, including the private sector, with sufficient anticipation to ensure a smooth performance of activities, and anticipation of barriers or negative reactions in the face of unmet demands proposed that they require maturation for their full understanding.
- The elaboration of indicators requires a prior analysis of the feasibility of the products and expected results, to avoid an overestimation of achievements based on the experience of the project formulators; or, on the other hand, underestimate the potential of actors to assume responsibilities and respond to stimuli and potential benefits.
- It is relevant to have partners with the capacity for territorial articulation, achieved in this case with SERNANP and technical institutions, and with the incorporation of indigenous organizations, NGOs, companies and others, as well as designing a geographic scope of intervention that is decentralized and focused on the same time, which is within the reach of the financial resources available.
- It is essential to maintain alliances with indigenous organizations and local communities, with representation in the project management bodies. These organizations have a direct impact on the political impact that can be achieved on the beneficiaries, since they have the keys to understanding with their members for the governance dynamics of the territory and its settlements.
- Conservation Agreements are vital and require permanent attention to their evolution, which goes beyond the initial formality to seek ways of monitoring and maintaining shared interest and achievements; it would be interesting to document and disseminate this experience.
- The micro-capital donations have shown that the evolution of the interest and capacities of organizations and rural populations in the Amazon were already ripe for entrepreneurship and responsibility in resource management. This experience should be evaluated in detail, before becoming part of recipes or expeditious measures in new projects, to ensure that the positive lessons of the Project are replicable.
- Development projects can have different results with the same instruments and approaches, depending on the cultural characteristics, relative level of development and forms of approach that apply in each case of potential beneficiaries. A prior socio-cultural analysis is a necessary investment to design the 'theory of change' applicable to each reality, and if necessary, to each specific region or group.
- The issue of financial sustainability is crucial. Experience has shown that it should be based more on the establishment and consolidation of alliances between the population and the private sector in general, within the framework of a governance and legality that is more open to initiatives and innovation in undertakings, than on the isolated search for direct financial support. In the country, in general, there tends to be a distancing and mutual distrust of the government sectors in the face of private sector innovation initiatives and in the face of the organizational capacities of the local population, which must be addressed.

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## **LIST OF ANNEXES**

- A. ToR of the ET
- B. List of documents reviewed
- C. List of people interviewed
- D. Matrix of evaluation
- E. Questionnaire used and summary of results
- F. ET rating scales
- G. Confirmed sources of Co-financing for the Project by name and type
- H. Signed Evaluation Consultant Agreement Form
- I. Signed UNEG Code of Conduct form
- J. Signed ET report approval form

## **LIST OF SPECIAL ANNEXES:**

- X. ET Audit Trail
- Y. Tracking Tools



UNDP – PIMS Project N ° 5152 - GEF ID 5080

ATLAS No. 00081013

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## **ANNEXES**

**To the Terminal Evaluation Report (ET) of the Project:  
Transforming the management of Protected Areas / Landscapes complexes to  
strengthen the resilience of ecosystems - Resilient Amazon**

### **ANNEX A: TERMS OF REFERENCE OF THE TERMINAL EVALUATION**

**Evaluator: Eduardo Durand**

**Lima, Peru, November 2021**

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## ANNEX A: Terms of Reference of the terminal evaluation

### TERMS OF REFERENCE (ToR)

#### UNDP / IC-372/2021 - Terminal Evaluation (ET or TE) of the Project Transforming the management of Protected Areas / Landscapes complexes to strengthen the resilience of ecosystems

#### General information

Destination place:	Home based
Term:	75 calendar days

#### 1. Introduction

In accordance with the Policies and Procedures for Monitoring and Evaluation of UNDP and the Global Environment Fund (GEF), all GEF-financed and UNDP-supported regular and medium-size projects must undergo a Terminal Evaluation (ET) at the end of the project. These Terms of Reference (TOR) establish the requirements of the TE of the project "Transforming the management of Protected Areas / Landscapes complexes to strengthen the resilience of ecosystems" (PIMS # 5152) implemented through the National Service of Protected Natural Areas by the State (SERNANP). The project began on April 20, 2015, the date of signing of the Project Document, and is in its sixth year of implementation. The ET process should follow the guidelines outlined in the document "Guidance for conducting final evaluations of GEF-financed and UNDP-supported projects" ([http://web.undp.org/evaluation/guideline/documents/GEF/TE\\_GuidanceforUNDP-supportedGEF-financedProjects.pdf](http://web.undp.org/evaluation/guideline/documents/GEF/TE_GuidanceforUNDP-supportedGEF-financedProjects.pdf)).

#### 2. Project

#### Background

Peru has established a significant heritage of Protected Natural Areas (ANP) with effective management and there is a significant baseline of investments in the sustainable management of natural resources in its buffer zones, however, factors such as increased expansion agriculture, gold mining, overexploitation of natural resources, among other anthropic pressures, have been causing profound and irreversible changes in these areas. These changes, added to the effects of climate change such as prolonged droughts, heat waves or heavy rainfall, threaten biodiversity and generate loss of crops, human lives, infrastructure, among other damage. Faced with this situation, the conservation of the Amazon basin and the maintenance of the provision of ecosystem services is key, local.

Within this framework, the project has helped to ensure that the design and management of the ANPs and their buffer zones can adapt to these changing circumstances. GEF financing has served to promote and consolidate approaches that, on the one hand, promote functional complementarity between ANPs and their buffer zones (ZAs), recognizing the social and biological porosity of their borders and, on the other hand, promote connectivity. between the altitudinal floors (recognizing the ascending and descending nature of many biological processes and flows of environmental benefits).

The objective of the project has been to strengthen the resilience of vulnerable ecosystems in two complexes of natural areas protected by the State (ANP) / landscapes to the impacts of climate change in order to ensure ecosystem services and the ecological processes that sustain them for well-being of the society.

The project focused on two natural landscapes, which include 09 protected natural areas of different categories, their buffer zones and other conservation and productive use areas, adding a surface area of 16'973,976 ha:

- Yanachaga - El Sira (YESI) landscape that encompasses the regions of Ucayali, Huánuco, Pasco and Junín
- Landscape Purús - Manu (PUMA) that covers the regions of Ucayali, Cusco and Madre de Dios

Under a landscape approach, which addresses the implications of climate change; The project consisted of two complementary components, one related to the expansion and strengthening of conservation areas in landscapes particularly sensitive to climate change, and the other to promote sustainable land management in landscapes in order to reduce anthropic pressures on the ecosystems and make them more resilient to the direct and indirect impacts of climate change.

The direct and indirect beneficiaries have been public and private institutions linked to the management of conservation areas at the national, regional and local levels; and local, rural and indigenous population in the 17 provinces and 54 districts of the six prioritized regions. A total of 19 indigenous peoples are located in these landscapes, and these five are settled in the YESI landscape and 17 in the PUMA landscape.

The components of the project are:

Component 1.- Greater resilience to climate change in ANP of fundamental importance. The activities of this component are aimed at conserving biodiversity, habitats in ANP and other existing conservation areas, generating information on ecosystem services, improving the management of ANP and other conservation areas and contributing to the creation of new areas that ensure the ecosystem connectivity. Likewise, expected products of this result are:

- 1.1 Expansion of surface under conservation regime favoring connectivity
- 1.2 Conservation agreements with local communities and organized groups to build resilience in landscapes.
- 1.3 Strengthening of the instruments management of ANP (conservation areas and RI / RT) to address CC-induced threats and other pressures affecting resilience
- 1.4 Strengthened capacities for the management of ANP (Conservation Areas and RT / RI) in the context of adaptation to CC and increase ecosystem resilience
- 1.5 Monitoring mechanisms established to measure increased resilience in landscapes
- 1.6 Financial mechanisms established to increase resilience in landscapes

Component 2.- Productive landscapes resilient to climate change buffer ANPs. This result focuses on including strategies to increase resilience in planning at different levels of governments, conservation areas and territorial and indigenous reserves, promoting resilient practices in productive systems, mainly coffee and cocoa, as well as developing capacities to transfer and apply productive systems resilient to climate change. In that sense, the expected products are:

- 2.1 Institutional framework for buffer zone planning and management
- 2.2 Sustainable production systems that are resilient to CC generate benefits in sustainable land management and / or in reducing extractive and demographic pressure on vulnerable ecosystems
- 2.3 CC-resilient forest management systems that facilitate sustainable management and effective conservation of forest ecosystems
- 2.4 Capacities to develop, transfer and apply productive systems that are resilient to CC

The project has sought to contribute to direct effect 1 of UNDAF1: By 2021, people living in situations of vulnerability, poverty and discrimination, improve their access to livelihoods and productive employment and decent work, through sustainable development pathways that strengthen social and natural capital, integrating

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<sup>1</sup> Frame United Nations Development Cooperation in Peru. UNDAF. 2017-2021  
<http://onu.org.pe/wp-content/uploads/2017/05/UNDAF-Peru-2017-2021.pdf>

adequate risk management; as well as Result 1 of the UNDP Country Program2: inclusive and sustainable growth and development.

The project contributed to the following GEF expected results:

BD-1 Result 1.1: Greater effectiveness in the management of current and new ANP

DT-3 Result 3.1: Best enabling environment between sectors for comprehensive landscape management

GFS-REDD-1 Results 1.3: Good management practices adopted by the relevant economic actors

This project was approved for a duration of 72 months by the GEF, beginning in April 2015 with an end date in April 2020. After requesting a free extension, it was approved as a new closing date, December 20, 2021. The investment amount contributed by the Global Environment Fund (GEF) is US \$ 8,991,434 million, and the co-financing amounts to US \$ 50.9 million.

Regarding the institutional arrangements, the project is implemented in the National Execution modality, with the executing partner being the National Service of Natural Areas Protected by the State (SERNANP), which is also in charge of the National Directorate of the project.

The implementation of the project is in charge of the Management Unit (PMU), led by the National Coordinator of the project, with technical assistance from the United Nations Development Program (UNDP), with UNDP in turn being the implementing agency in charge of financial administration and obtain the expected results of the project.

The National Directorate of the Project presides over the Directive Council of the Project (CDP), which is integrated into and more by accredited representatives of the UNDP, the Ministry of the Environment (MINAM), a representative of the management committees of the ANP and the beneficiaries of the project, represented by the Inter-ethnic Association for the Development of the Peruvian Jungle (AIDSEP) and the Confederation of Nationalities Amazonian of Peru (CONAP). Project execution is carried out under the supervision and guarantee of UNDP, including the monitoring and evaluation mechanisms established by the GEF and UNDP, such as periodic reports, audits, the mid-term evaluation (MTR) and this terminal evaluation ( ET).

### Synoptic table of the project

Title of the draft:	"Transforming the management of Protected Areas / Landscapes complexes to strengthen the ecosystem resilience "			
Project ID:	5080		<i>At the moment of approval</i> (Millions of US \$)	<i>At the moment of completion</i> (Millions of US \$)
Project ID of the UNDP (PIMS):	5152	GEF financing:	8,991,434	8,991,434
Country:	Peru	UNDP	9,401,000	By confirmation during the final evaluation
Region:	LAC	Government:	31,997,798	
Area Focal:	Biodiversity Land degradation Forest management sustainable / REDD-PLUS	Other:	9,333,880	
FA Objectives, (OP / SP):	BD-1, DT-3, GFS-REDD-1	Total co-financing:	50,712,678	
GEF Agency:	United Nations Program for Development (UNDP)	cost Total Project	59,704,112	

Other partners involved:	Ministry of the Environment	Date Signature of ProDoc (date of project start):		04/20/2015
		(Operational) Closing Date:	Proposed: 12/20/2021	Real: 12/20/2021

The Project Document can be found at the following link: <https://info.undp.org/docs/pdc/Documents/PER/ProDoc%20RESILIENCIA.pdf>

**3. From the evaluation**

**3.1 Objectives of TE**

The objective of the TE is to provide an independent evaluation of the achievement or not of the project results compared to what was expected, critically examining the causal chains, including context, determining the relevance, impact, effectiveness, efficiency and effectiveness. sustainability of the project in order to enhance future contributions to development.

Complementary purposes of the TE are the following:

- Promote responsibility, accountability and transparency;
- Identify good practices and lessons learned that could be useful to improve the sustainability of project benefits and assist in the overall improvement of UNDP programming
- Contribute to the overall assessment of the achievement of the GEF strategic objectives for the benefit of the global environment; and
- Evaluate the degree of convergence of the project with respect to other UN and UNDP priorities

The end users of the evaluation will be government counterparts (the GEF operational focal point), the partners on the execution, the Offices and country UNDP and other project stakeholders for decision-making on future formulation and implementation of development projects.

**3.2 TE approach and methodology**

The ET report must provide evidence-based information that is credible, reliable, and useful.

The consultant is expected to follow a participatory and consultative approach that ensures close collaboration with the project team, government counterparts (the GEF operational focal point), the partners on the and execution, the Offices UNDP country office, regional technical advisor, direct beneficiaries and other stakeholders.

In addition, the ET consultant should use gender-sensitive methodologies and tools and ensure that gender equality and women's empowerment, as well as other cross-cutting issues such as the project's contribution to the CPD and UNDAF and the SDGs are incorporated into the ET report.

The TS consultant should review all relevant information sources, including documents prepared during the preparation phase (i.e. PIF, UNDP start-up plan, UNDP-SESP social and environmental assessment procedure) , the project document, the project reports, including the annual PIRs, the project budget reviews, the reports of lessons learned, national strategic and legal documents, and any other material that the ET consultant considers useful for evidence-based assessment. The ET evaluator will review the baseline and mid-term GEF Core Indicators / tracking tools submitted to the GEF at the mid-term review (MTR) and of approval of the Endorsement Letter (CEO Endorsment Letter) as well as the basic indicators / tools of

monitoring (Core Indicators / tracking tools) terminals that must be completed before the ET field mission begins. The complete list of documents to review is found in Annex B of the TOR.

Regarding the other information gathering methods, these may be quantitative and / or qualitative. At a minimum it is expected that interviews will be conducted with direct project stakeholders (those who have responsibilities in the project, including but not limited to product approval), as well as executing agencies, senior officials and leaders of task teams / components, experts and key consultants in the thematic area, implementing partners, Project Board of Directors, beneficiaries, strategic allies, academia, local government and civil society organizations, among others), so that they contribute in the evaluation of the project's progress and provide suggestions to increase the probability of achieving the proposed goals as well as their sustainability. In addition, development of the evaluation.

Regarding the analysis of the information, this must be carried out by making use of the triangulation between the information collected through the interviews and other tools, and the revised documentation. In this way, the findings, conclusions, lessons learned and recommendations obtained from the analysis of this information must have a solid base in evidence and maintain the same logic among themselves.

Faced with the COVID context, the consultant must present a proposal to adapt the methodology as appropriate, considering travel restrictions, security orientation, virtual meetings, among others. Said proposal, in addition to any limitations faced during the ET process, must be detailed in the ET initial report as well as the final report.

The final methodological approach, including the interview schedule and the data to be used in the evaluation, should be clearly described in the ET inception report and should be fully discussed and agreed between UNDP, stakeholders and the ET evaluator. . Likewise, the initial report must present the Matrix of Evaluation Criteria, which must be reviewed, adjusted and completed by the ET evaluator (see Annex D of the TOR).

The final report should describe the full approach taken to ET and the rationale for it, making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods used in the evaluation, as well as its limitations.

### **3.3 Scope of TE**

The TE will evaluate the performance of the project against the expectations established in the Logical Framework / Results Framework of the project (see Annex A of the ToR). The TE will evaluate the project results according to the criteria outlined in the Guide for ETs of GEF-funded projects supported by UNDP (relevance, effectiveness, efficiency, sustainability and impact). The Findings section of the ET report will cover the topics listed below<sup>3</sup>:

#### **Findings**

##### **i. Project Design / Formulation**

- Analysis of the results framework: logic and strategy of the project, indicators
- Assumptions and Risks
- Lessons from other relevant projects (for example, the same focal area) incorporated into the project design

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<sup>3</sup> The asterisk "(\*)" indicates the criteria for which a rating is required. A full outline of the content of the TE report is provided in Annex C of the terms of reference.

- Planned stakeholder engagement
- Links between the project and other interventions within the sector
- Safeguards Social and Environmental
- Incorporation of the gender approach

ii. Project implementation

- Adaptive management (changes in project design and project results during the implementation)
- Real stakeholder engagement and implementation agreements
- Financing and co-financing of the project
- Monitoring and evaluation: design initial (\*), implementation (\*), and evaluation general of the MyE (\*)
- Agency implementor (UNDP) (\*) and executing agency (\*), supervision, implementation and general execution of the project (\*)
- Risk management, including social and environmental standards

iii. Results of the project

- Evaluate the achievement of results compared to the indicators reporting on the level of progress of each objective and result indicator at the time of the ET and noting the final achievements.
- Relevance (\*), Effectiveness (\*), Efficiency (\*) and the overall general result of the project (\*)
- Sustainability reality: financial (\*), socio-political (\*), institutional framework and governance (\*), environmental (\*), general probability of sustainability (\*)
- National ownership
- Gender equality and empowerment of women
- Cross-cutting themes (poverty alleviation, improved governance, climate change mitigation and adaptation, disaster prevention and recovery, human rights, capacity building, South-South cooperation, knowledge management, volunteering, etc.)
- GEF additionality
- Catalytic role / replicability effect
- Progress towards impact

iv. Main findings, conclusions, recommendations and lessons learned

- The ET consultant will include a summary of the main findings of the ET report. Findings should be presented as statements of fact that are based on analysis of the data.
- The concluding section will be written in light of the findings. Conclusions should be comprehensive and balanced statements that are well supported by evidence and logically connected to ET's findings. Both the conclusions and the findings should highlight the strengths, weaknesses and results of the project, answer the key evaluation questions (see section 4. Guide for the Conduct of Terminal Evaluations of UNDP-GEF Projects) and provide information on the identification and / or solutions to important problems or issues relevant to beneficiaries of the draft, the UNDP and the FMA.M.
- The recommendations aimed at the intended users of the evaluation should be concrete, practical, feasible and specific. These should focus on what decisions and actions can be taken with a view to ensuring the sustainability of the results achieved by the project and for future projects. Recommendations must be specifically supported by evidence and linked to findings and conclusions around the key questions addressed by the evaluation.

- The ET report should also include the lessons that can be drawn from the evaluation, including best and worst practices for addressing issues related to relevance, performance and success, so that they can provide insight gained from the particular circumstance (methods programmatic and evaluation programs used, partnerships, financial leverage, etc.) that are applicable to other GEF and UNDP interventions. Whenever possible, the ET consultant should include examples of good practice in project design and implementation.
- It is important that the conclusions, recommendations and lessons learned from the ET report include results related to gender equality and the empowerment of women.

The ET report will include an assessment grade table, as shown below:

**Table 2: Evaluation grade table**

<b>Monitoring &amp; Evaluation (M&amp;E)</b>	<b>Qualification</b>
M&E Plan Design	(Score from 1 to 6)
Implementation of the M&E Plan	
General M&E Quality	
<b>Implementation &amp; Execution</b>	<b>Qualification</b>
Quality of UNDP implementation / supervision	(Score from 1 to 6)
Implementing partner execution quality	
Overall quality of implementation / execution	
<b>Evaluation of results</b>	<b>Qualification</b>
Relevance	(Score from 1 to 6)
Effectiveness	
Efficiency	
Overall rating of the project result	
<b>Sustainability</b>	<b>Qualification</b>
Financial resources	(Score from 1 to 4)
Socio-political / economic	
Institutional framework and governance	
Environmental	
Overall probability of sustainability	

The rating scale is as follows:

The categories of Results, Effectiveness, Efficiency, Monitoring & Evaluation, Implementation & Execution and Relevance are scored on a 6-point rating scale, where: 6 = Very satisfactory (MS), 5 = Unsatisfactory (S), 4 = Moderately satisfactory (MS), 3 = Moderately unsatisfactory (MI), 2 = Unsatisfactory (I), 1 = Very unsatisfactory (MI). Sustainability is rated on a 4-point scale, where: 4 = Probable (P), 3 = Moderately probable (MP), 2 = Moderately unlikely (MI), 1 = Unlikely (I).

#### 4. Term of service

The total duration of the ET will be 75 calendar days, counted from the day after the contract is signed. The tentative schedule for the ET is as follows:

**Table 3. Provisional timetable for the execution of the ET**

PERIOD OF EXECUTION	EXERCISE
<i>Within 1 day of signing the contract</i>	Delivery documentation to the evaluator

7 days after signing the contract	Presentation of the ET Initiation Report
14 days after signing the contract	Finalization and validation of the initial ET report
15 days after signing the contract	ET mission: virtual meetings with stakeholders, interviews, among others
40 days after signing the contract	Mission recap meeting and presentation of initial findings
47 days after signing the contract	Delivery of the draft ET report including Annexes (of according to the content template in Annex C of the TOR)
54 days after signing the contract	Circulation of the draft ET report for comments
60 days after signing the contract	Preparation and issuance of management response
75 days after signing the contract	Incorporation of comments on the draft ET report on the audit trail and completion of the ET report (in English and Spanish)
75 days after signing the contract	Expected completion date of full ET
Depending on the date that is coordinated with the Directing Council of the Project and UNDP.	Virtual presentation of the findings and conclusions to the Adjudicating Unit and other interested parties.

## 5. Products

The evaluator will be responsible for delivering the following products:

No.	Product	Description	Term	Responsibilities
1	Report Initiation	The ET consultant details the objectives, the methodology and ET calendar	At 7 days calendars of service started consulting and once the review of the documentation	The consultant of the evaluation what presents virtually to the Adjudicating Unit and to the Project team
2	Presentation Results Initials	Initial Findings	At 40 days from service started consulting and once finished ET mission	The consultant of the evaluation what presents virtually to the Adjudicating Unit, to Project team now The interested parts
3	Draft Final report	Draft Final Report complete with attachments (according to the template from contained in the Annex C of the TOR)	At 47 days calendar of service started consulting	The consultant of the evaluation presents the deliverable way virtual to the Unit Adjudicator; the advisor UNDP Regional Technician- GEF, team of the project, Focal Point

				Operational GEF and the others parts project stakeholders
4	Final report* + Trace of Audit	Full final report with revised annexes including the Trail of Audit where it is details how the evaluation has addressed (or not) in the report everybody the comments received by the partners and / or key actors of the project (including version in English and Spanish) (See <i>template in Annex C of the TDRS</i> )	At 75 days calendar of service started consulting and once received the comments about the draft of the ET	The consultant of the evaluation presents the Deliverable to the Unit Adjudicator; the advisor UNDP Regional Technician-GEF, team of the project, Focal Point Operational GEF and the rest parts project stakeholders

All products must be delivered virtually.

\* The quality of all final ET reports will be assessed by the UNDP Independent Evaluation Office (OEI). Details of evaluating the quality of IEO's decentralized evaluations can be found in Section 6 of the UNDP Evaluation Guidelines.<sup>4</sup>

## 6. Way to pay

Payments will be made via bank transfer, to the account of the contract holder, within 10 calendar days after receipt of the agreement by the Adjudicator Unit (UNDP Peru Office) upon delivery of the receipt for fee, invoice or document to do their turn in their country of origin, Certification of Payment (annex 6), according to the following schedule:

Product	Payment	Payment Condition
First Product	twenty%	To the conformity of the initial report of the ET
Second Product	Not subject to payment	Presentation of first findings
Third Product	40%	To approval of the draft report of the ET
Fourth Product	40%	For the approval of the final report of the ET in English and Spanish version

If there are observations on the reports submitted, the period will be counted as of the lifting of this.

Criteria for and mitigate the final payment of 40%:

- The final report of the ET includes all the requirements described in the TOR and is in accordance with the the ET.
- The final ET report is clearly written, logically organized, and specific to this project (ie, no text has been cut or pasted from other ET reports).
- Approval of the final report by the Adjudicating Unit
- Virtual presentation of the findings and conclusions to the Adjudicating Unit and other interested parties.

<sup>4</sup> Access at: <http://web.undp.org/evaluation/guideline/section-6.shtml>

- The Audit Trail includes responses and justification for each comment listed.

## 7. Fixes for ET

The main responsibility for the management of this Terminal Evaluation (ET) corresponds to the Adjudicating Unit of this project, which is the UNDP Peru Office, which is made up of the Strategic Planning, Program and Procurement area. The Adjudicator Unit will hire the consultant, will ensure the timely supply of the project information package and will guarantee the timely payment of the products delivered, upon prior agreement. The Adjudicating Unit will verify the products delivered by the consultant in order to guarantee the required quality and compliance with the Guide for the Conduct of Terminal Evaluations.

The Adjudicating Unit, with the support of the project team, shall prepare and provide the evaluator with an updated list of project stakeholders with contact details (telephone and email). The Project Team will be responsible for keeping in contact with the evaluator to organize interviews with stakeholders, developing a schedule.

The workplace will be remote and you must have your own laptop.

*Behind the "Guide to Conducting Final Evaluations of GEF-Funded and UNDP-Supported Projects" is a "do no harm" principle and a consideration that the safety of staff, consultants, stakeholders and communities is paramount and the everyone's top concern when planning and implementing assessments during the COVID-19 crisis.*

## 8. Characteristic profile of the Natural person (s) to be hired

The evaluator will be responsible for the overall design and writing of the ET report, will assess emerging trends with respect to regulatory frameworks, budget allocations, capacity development, and will also work with the Project Team on development of the ET itinerary.

The evaluator may not have participated in the preparation, formulation and / or implementation of the project (including the drafting of the project document), nor have carried out the mid-term evaluation (MTR) of this project; nor should it have a conflict of interest with the actors related to the project.

The Evaluator will be held to the highest ethical standards and must sign a code of conduct when accepting the assignment. This evaluation will be carried out in accordance with the principles described in the "Ethical Guidelines for Evaluation" of the UNEG. The evaluator must safeguard the rights and confidentiality of information providers, interviewees, and stakeholders through measures to ensure the compliance with legal codes and other relevant codes governing data collection and data reporting. The evaluator should also ensure the security of the information collected before and after the evaluation and the protocols to guarantee the anonymity and confidentiality of the information sources when expected. Knowledge of the information and data collected in the evaluation process should also be used solely for evaluation and not for other uses without the express permission of UNDP and its partners.

In this sense, the Evaluator will sign the Agreement Form of the Code of Conduct of the Consultant Evaluation<sup>5</sup> (Annex E).

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4 Code of conduct of the UNEG for Evaluation in the United Nations system: [www.unevaluation.org/uneqcodeofconduct](http://www.unevaluation.org/uneqcodeofconduct)

### Academic training

4.2 Bachelor in environment, science, engineering, economics or another related field (if the degree is in

another area, it may be valid if you have completed postgraduate studies in fields related to the environment).

4.3 Desirable specialization, course, seminar related to: climate change, adaptation / mitigation, land planning, among others.

4.4 Fluency in written and spoken Spanish and English.

### **Professional experience**

4.5 Seven (7) years of experience in issues related to biodiversity, conservation, land degradation, REDD + and / or environmental territorial governance. Experience with indigenous populations will be valued.

4.6 Five (5) years of experience related to the use of SMART indicators, either in the framework of project design, implementation and / or monitoring, as well as in the reconstruction or validation of initial scenarios (baseline scenarios).

4.7 Experience in at least three (3) project evaluations, similar to the present one, related to mitigation / adaptation to climate change, sustainable productive projects, biodiversity conservation and / or resilience, REDD + and the like. It will be valued that the evaluations have been in Protected Natural Areas or other conservation modalities in the Amazon and in particular in the Amazon Peruvian.

4.8 Experience of at least two (2) work services with the GEF and / or with evaluations carried out on projects financed by the GEF or another source of international cooperation. It will be assessed if any of the projects was implemented by UNDP.

4.9 Experience in evaluations and analysis sensitive to interculturality and gender is desirable.

**The selected candidate is required to have immediate availability to carry out the consultancy.**

## **5 Annexes**

The following annexes are attached:

5.2 TDR Annex A: Project results framework

5.3 TDR Annex B: Documentation to be reviewed by the consultant

5.4 TDR Annex C: Content of the TE report

5.5 TDR Annex D: Evaluation Criteria Matrix Format

5.6 TDR Annex E: UNEG Evaluator's Code of Conduct

5.7 TDR Annex F: TE Grading Scale

5.8 TDR Annex G: TE Report Approval Form

5.9 TDR Annex H: TE Audit Trail



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## **ANNEXES**

**To the Terminal Evaluation Report (ET) of the Project:**

**Transforming the management of Protected Areas / Landscapes complexes to strengthen the resilience of ecosystems - Resilient Amazon**

### **ANNEX B: LIST OF DOCUMENTS REVIEWED**

**Evaluator: Eduardo Durand**

**Lima, Peru, November 2021**

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## **ANNEX B: List of documents reviewed**

### ➤ ***Formulation documents and progress reports***

- Project identification form (PIF);
- UNDP start-up plan;
- Final document of the UNDP-GEF project with all the annexes (ProDoc);
- Executive director approval request;
- UNDP social and environmental screening procedure (SESP);
- Report of the initial workshop;
- Mid-term report (MTR) and management response to MTR recommendations;
- Project implementation reports (PIR) from 2016-2021;
- Progress reports (quarterly, semi-annual or annual, with associated work plans and financial reports);

### ➤ ***Minutes of the Project Steering Committee, and reports of meetings and workshops of the Project Management Unit***

- Minutes of the Steering Committee meetings;
- Summary list of formal meetings, workshops, etc. held, with date, location, theme and number of participants;

### ➤ ***Technical product documents, budget execution, finances and co-financing***

- Financial data, including budget reviews and Combined Expense Reports (CDR);
- Co-financing data for 2021;
- Audit report from 2015 to 2017;
- Electronic copies of project results (brochures, manuals, technical reports, articles, etc.);
- Sample of project communication materials;

### ➤ ***Guidelines and Guidance for ET and Assessments***

- List of projects and initiatives synergistic to the project;
- UNDP Country Program Document 2017 - 2021 (CPD);
- Map of the project sites;
- List and contact details of key project stakeholders, including Steering Committee members, project team, and others.



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## **ANNEXES**

**To the Terminal Evaluation Report (ET) of the Project:**

**Transforming the management of Protected Areas / Landscapes complexes to strengthen the resilience of ecosystems - Resilient Amazon**

### **ANNEX C: ITINERARY OF THE TE MISSION AND PEOPLE INTERVIEWED**

**Evaluator: Eduardo Durand**

**Lima, Peru, November 2021**

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## ANNEX C: Itinerary of the TE mission and people interviewed

Date	Exercise
Sun 19 set	Interviews with Project team members <ul style="list-style-type: none"> <li>• <b>Jorge Herrera</b>, National Coordinator, Resilient Amazon Project</li> <li>• <b>Johana Deza</b>, Coordinator of C1, Resilient Amazon Project</li> </ul>
Mon 20 set	Interviews con representatives of UNDP and members of the Project team: <ul style="list-style-type: none"> <li>• <b>James Leslie</b>, Country Program Officer, UNDP</li> <li>• <b>Marco Chevarria</b>, Cusco Headquarters Coordinator, Resilient Amazon Project</li> <li>• <b>Julio Sánchez</b>, Specialist, Resilient Amazon Project</li> </ul>
Mar 21 set	Interviews with representatives of SERNANP: <ul style="list-style-type: none"> <li>• <b>Jose Carlos Nieto</b>, National Project Director, SERNANP</li> <li>• <b>Deyvis Huamán</b>, Head of the Monitoring, Surveillance and Control UOF, SERNANP</li> <li>• <b>Marco Arenas</b>, Head of the ANP Management UOG, SERNANP</li> </ul>
Wed 22 set	Interview with representative of partner NGO: <ul style="list-style-type: none"> <li>• <b>Ronald Catpo</b>, Conservation Director, ACCA</li> </ul>
Thu 23 set	Interviews with members of the Project team and Steering Committee and representatives of local government and partner NGO <ul style="list-style-type: none"> <li>• <b>Lady Cotrina</b>, Coordinator of C2, Resilient Amazon Project</li> <li>• <b>Lyn Nella Green</b>, Deputy Manager of Planning, Budget and Technical Cooperation, Provincial Municipality of Oxapampa</li> <li>• <b>Esteban Morales</b>, Advisor, AIDSESP</li> <li>• <b>Stefany Salcedo</b>, Specialist, IBC</li> </ul>
Fri 24 set Project	Interview with UNDP representative and member of the Resilient Amazon Project <ul style="list-style-type: none"> <li>• <b>Marlon Flores</b>, Technical Advisor, UNDP</li> <li>• <b>Cesar Samaniego</b>, Technical Specialist, Resilient Amazon Project</li> </ul>
Mon 27 set	Interviews con representatives of partner NGO, related project and Steering Committee: <ul style="list-style-type: none"> <li>• <b>Javier Martinez</b>, Senior Manager Sustainable Amazon Landscapes, Rainforest Alliance</li> <li>• <b>Carlos Hernandez</b>, EBA Amazon Project</li> <li>• <b>Luisa Marquez</b>,</li> <li>• <b>Martha Cuba</b>, GEF focal point, MINAM</li> </ul>
Mar 28 set	Interviews with representatives of ECAs and members of the Steering Committee <ul style="list-style-type: none"> <li>• <b>Hosea Barbarán</b>, President, CONAP</li> <li>• <b>Enrique Nonato</b>, President, ECOPURUS</li> </ul>

- **Zacarías Huarocco**, President, ECOSIRA

Wed 29th set Interview with representatives of the regional government, producer association and company

- **Maria Cazoria**, Natural Resources and Environment Manager, GORE Cusco
- **Yonatan Callo**, President, of Ecological Producers
- **David Condori**, Head of the collection plant of Quillabamba, La Ibérica

Thu 30th set Interviews with representative of the ANP headquarters and member of the Project team

- **Erick Zamalloa**, Head of the Megantoni National Sanctuary, SERNANP
- **Pedro Aguilar**, Central Selva Headquarters Coordinator, Resilient Amazon Project

Fri 24 set Interview with representatives of the ANP headquarters and members of the Steering Committee

- **Jose Alvarez**, Director General of Biological Diversity, MINAM
- **Jennrri Zegarra**,
- **Salomé Antezano**, Head of the Yanachaga-Chemillén National Park



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## **ANNEXES**

**To the Terminal Evaluation Report (ET) of the Project:**

**Transforming the management of Protected Areas / Landscapes complexes to strengthen the resilience of ecosystems - Resilient Amazon**

### **ANNEX D: TE EVALUATION MATRIX**

**Evaluator: Eduardo Durand**

**Lima, Peru, November 2021**

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## ANNEX D: TE Evaluation matrix

Evaluation Criteria Questions	Indicators	Sources	Data collection technique
<b>Relevance:</b> How does the project relate to the main objectives of the GEF focal area and to environment and development priorities at the local, regional and national levels?			
Was the project objective aligned with long-term national and local priorities, policies, plans and strategies?	Level of coherence between the project objective and national priorities, policies and strategies, as indicated in official documents	- PRODOC, Project Initiation Report - Interviews with design participants - Interviews with implementing partner and key project stakeholders - Review of official government documents	Documentation analysis and interviews others
To what extent was the project aligned with the UNDP Strategic Plan, the CPD, the UNDAF, the United Nations Cooperation Framework for Sustainable Development (UNSDCF), the SDGs and the GEF strategic programming?	Level of coherence between project objective and results frameworks: with UNDAF, CPD, UNDAF, UNSDCF and GEF strategic programming	- UNDP and GEF strategic documents - UNDP officers - UNDP-GEF Regional Technical Advisor	Documentation analysis, interviews
To what extent did the project address the needs and interests of all specific and / or relevant stakeholder groups?	Level of linkage between needs and interests of all specific and / or relevant stakeholder groups and those of the project	- PRODOC- Project Initiation Report- PPG Validation Workshop Report- Participants in the design- Implementing partner and key project stakeholders	Documentation analysis, interviews
To what extent was key stakeholder participation incorporated into the project?	Degree of participation in the project of all specific stakeholder groups	- PRODOC- Project Initiation Report- Key actors of the project- Periodic reports and PIR.	Documentation analysis, data analysis, interviews
Were previous experiences and appropriate technical opinions adequately incorporated into the project design?	Level of incorporation of experiences and technical visions in project design	- PRODOC- Participants in the design- UNDP officials	Documentation analysis, data analysis, interviews
Does the project provide relevant lessons and experiences for future similar projects?	Level Systematization of lessons learned Degree of knowledge of the key actors of lessons learned	- Project documentation - Periodic reports, PIR - Key actors	Documentation analysis, data analysis, interviews
<b>Effectiveness:</b> To what extent have the expected results and objectives of the project been achieved?			
Are the project objectives likely to be achieved? How likely are they to be achieved?	Level of progress towards project objectives relative to expected level at current point of implementation	- Project documentation - Periodic reports, PIR Key actors	Documentation analysis, data analysis, interviews

What are the key factors that contribute to the success or failure of the project?	Level of documentation and preparation for projects, assumptions and impact drivers	- Project documentation - Periodic reports, PIR Key actors	Documentation analysis, data analysis, interviews
What are the main risks and barriers that remain to achieve the project objective and generate global environmental benefits?	Presence, assessment, and preparedness to mitigate expected risks, assumptions, and impact factors	- Project documents - Project Team - Project stakeholders	Documentation analysis, data analysis, interviews
To what extent are the main impact assumptions and drivers relevant to achieving Global Environmental Benefits?	Actions taken to address key assumptions and target impact drivers	- Project documentation - Periodic reports, PIR Key actors	Documentation analysis, data analysis, interviews
To what extent did the M&E systems ensure effective and efficient project management?	Quality and adequacy of project supervision mechanisms (supervisory bodies, quality and timeliness of reporting, etc.) Level of progress of the required adaptive management measures related to identified delays	- Project documents - Project Team - Key actors of the project	Documentation analysis, interviews
<b>Efficiency:</b> Was the project implemented efficiently, in accordance with international and national norms and standards?			
To what extent was there an efficient and economical use of resources and strategic allocation of resources (funds, human resources, time, etc.) to achieve results?	Financial execution VS Budget Real vs. planned human resources Adequacy of the structure of coordination and communication mechanisms Quality of project supervision mechanisms (supervisory bodies, quality and timeliness of reporting, etc.)	- Project documents - Implementing partner - Project team	Documentation analysis, interviews
To what extent were project funds and activities delivered in a timely manner?	Level of fulfillment of project activities in the planned times Level of fulfillment of budgets and annual POAS	- Project documents - Project Team - Project stakeholders	Documentation analysis, data analysis, interviews
Did the project make efficient use of local capacity during its execution?	Proportion of specialized knowledge used from international experts compared to national experts. Quantity / quality of analysis performed to assess potential for local capacity and absorptive capacity	- Project documents - Project Team - Project stakeholders	Documentation analysis, data analysis, interviews
What has been the cash contribution and in-kind co-financing for the implementation of the project?	% of cash execution and in-kind co-financing vs expected level	- Project documents - Project Team	Documentation analysis, data analysis, interviews

Have the expenses been made in accordance with international norms and standards?	Cost of the inputs and outputs of the project in relation to the norms and standards for donor projects in the country or region.	- Project documents - Project Team	Documentation analysis, interviews
<b>Results</b>			
Have the intended products been produced? Have they contributed to the results and objectives of the project?	Level of progress of the indicators of the project outputs in relation to those expected Level of logical link between the project outputs and the expected results / impacts	- Project documents- Project Team- Key actors of the project- Periodic reports- PIR	Documentation analysis, data analysis, interviews
Were they achieved or is it likely that the expected results will be achieved? Have they contributed or are they likely to contribute to the achievement of the project objectives?	Level of progress of the indicators of the objectives and results of the project in relation to those expected Level of logical link between the results of the project and the expected impacts	- Project documents- Project Team- Key actors of the project- Periodic reports- PIR	Documentation analysis, data analysis, interviews
Are the impact level results likely to be achieved? Are they likely to be of sufficient scale to be considered global environmental benefits?	Environmental indicators Level of progress of the Theory of Change	- Project documents- Project Team- Key actors of the project- Periodic PIR reports	Documentation analysis, data analysis, interviews
<b>Sustainability:</b> To what extent are there financial, institutional, socio-political and / or environmental risks to sustain project results in the long term?			
To what extent are project results likely to depend on continued financial support? What is the probability that financial resources will be available once GEF assistance ends to support continued benefits (income-generating activities and trends that may indicate that adequate financial resources are likely to be available to sustain the results of the project? draft)?	Financial requirements for maintaining project benefits Expected level of financial resources available to maintain project benefits Potential for additional financial resources to maintain and / or provide continuity to project beneficiaries	- Project documents - Project Team - Key actors of the project	Documentation analysis, interviews with the team and the key stakeholders of the project, among others
Are stakeholders likely to have or achieve an adequate level of "ownership" of the results and is there a commitment and interest in ensuring that the benefits of the project are sustained?	Level of initiative and involvement of relevant stakeholders in project activities and results	- Project documents - Project Team - Key actors of the project	Documentation analysis, interviews
In relation to the commitments assumed by the counterparts: SERNANP, GOREs, among others, what is the level of commitment assumed at the end of the project by each of the project beneficiary counterparts, based on the results achieved?	Level of commitment of the project counterparts	- Project documents - Project Team - Key actors of the project	Documentation analysis, interviews

To what extent do project results depend on socio-political factors?	Existence of sociopolitical risks for beneficial projects	- Project documents - Project Team - Key actors of the project	Documentation analysis, interviews
To what extent does the project outcome depend on issues related to institutional frameworks and governance?	Existence of institutional and governance risks for project benefits	- Project documents - Project Team - Key actors of the project	Documentation analysis, interviews
Are there environmental risks that could undermine the future flow of project impacts and Global Environmental Benefits?	Presence of environmental risks for the benefits of the project	- Project documents - Project Team - Key actors of the project	Documentation analysis, interviews
Do the relevant stakeholders have the necessary technical capacity to ensure that the benefits of the project are sustained?	Level of technical capacity of relevant stakeholders relative to the level required to maintain project benefits	- Project documents - Project team - Key project stakeholders - Capacity assessments available	Documentation analysis, interviews
What are the most important challenges that could hinder the sustainability of the project results?	Presence of challenges that may affect the sustainability of the results.	- Project documentation - Project team - Project key players	Documentation analysis, interviews
<b>Gender equality and empowerment of women:</b> How did the project contribute to gender equality and the empowerment of women?			
To what extent did the project contribute to gender equality, women's empowerment and to what extent were these approaches incorporated into the project?	Level of progress of the Gender Action Plan Level of progress of the goals related to the gender approach in the project results framework	- PRODOC, Project Initiation Report- Reports of analogous experiences- Key actors- Periodic reports and PIR.	Documentation analysis interviews
How did gender outcomes advance or contribute to project results on environment, and / or resilience?	Existence of logical links between gender outcomes and project results and impacts	- Project documentation- Key actors- Project team- Periodic reports and PIR.	Documentation analysis, interviews
<b>Impact:</b> Are there indications that the project has contributed or allowed progress towards reducing environmental stress and / or improving the ecological status?			
To what extent did the project contribute to the results of the country program, the SDGs, the UNDP Strategic Plan, and the GEF strategic priorities?	Level of contribution to project results to country program, SDGs, UNDP Strategic Plan, GEF strategic priorities and development of national priorities	- Review of UNDP strategic documents - Interviews with UNDP officials - Periodic reports.	Documentation analysis and interviews

Did the project contribute to the reduction of environmental stress (eg reduction of GHG emissions)?	Level of environmental stress reduction (GHG emission reductions) attributable to the project	- Project documentation- Implementing partner, UNDP officials and the UNDP-GEF Regional Technical Advisor and key project stakeholders- Periodic reports and PIR.	Documentation analysis, data analysis, interviews
Since the project, was there contribution to changes in policy / legal / regulatory frameworks, including observed changes in capacities (awareness, knowledge, skills, infrastructure, monitoring systems, etc.) and governance architecture, including access and use of information (laws, trust-building and conflict resolution bodies, information exchange systems, etc.)?	Degree of changes in policy / legal / regulatory frameworks attributable to the project.	- Project documentation- Implementing partner, UNDP officials and the UNDP-GEF Regional Technical Advisor and key stakeholders of the project Periodic reports and PIR.	Documentation analysis, data analysis, interviews.
Since the project, was there a contribution to changes in the socioeconomic situation (income, health, well-being, etc.)?	Degree of changes in the socioeconomic situation (income, health, well-being, etc.) attributable to the project	- Project documentation- Implementing partner, UNDP officials and the UNDP-GEF Regional Technical Advisor and key stakeholders of the project Periodic reports and PIR.	Documentation analysis, data analysis, interviews
<b>Cross-cutting issues</b>			
To what extent did the project results contribute to climate change adaptation and mitigation?	Positive effects of the project on adaptation and mitigation of climate change	- Project documentation- Key actors- Project team- Periodic reports and PIR.	Documentation analysis, interviews



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## **ANNEXES**

**To the Terminal Evaluation Report (ET) of the Project:  
Transforming the management of Protected Areas / Landscapes complexes to  
strengthen the resilience of ecosystems - Resilient Amazon**

### **ANNEX E: QUESTIONNAIRE GUIDE FOR INTERVIEWS**

**Evaluator: Eduardo Durand**

**Lima, Peru, November 2021**

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## ANNEX E: Questionnaire guide for interviews

- A. Questionnaire for UNDP officials linked to the project.
- B. Questionnaire to key government officials and members of the Steering Committee.
- C. Questionnaire to the project team.
- D. Questionnaire related to administrative and financial execution issues.
- E. Questionnaire for direct and indirect beneficiaries.

A	B	C	D	E	<b>GUIDING QUESTIONS</b>
					<b>Introduction and general opening questions</b>
					[Presentation of the interviewers, thanks for their willingness; purpose of the interview and evaluation; name, contact and position of the interviewee] [Confidentiality and treatment of the information provided; permission to take notes] [Duration of the interview and sequence of questions alternated by the interviewers, and beginning of the questions]
					How familiar are you with the Project and its objectives, how well do you know about its design, formulation and implementation?
					What is your current relationship, or your role and functions, regarding the execution of the Project?
					What is your general opinion about the importance of the Project for the country and for your own institution?
					<b>About the strategy and design of the Project</b>
					Did you participate in the design of the Project and the formulation of the execution strategy?
					How aligned do you think the Project is with national and government policies?
					How aligned is the Project to the UNDP Country Program and the UNDAF?
					Do you believe in general that the Project strategy is efficient to achieve its objectives in the face of climate change?
					What are the main challenges that in your opinion the design and implementation process of the Project have had? What do you think are the main virtues and advantages of the Project design?
					Would you say that the Project has been designed on a participatory basis of the stakeholders and beneficiaries involved? Has the gender issue been considered in the design of the Project?
					Based on your experience, if the Project could be redesigned, what changes would it make or what forecasts would it include from your point of view for its better performance?
					<b>Efficiency in the execution of the Project</b>
					How effective do you consider the Project to be in terms of its objectives and future impact? What do you think is required to improve its impact and benefits?

					How effective is the Project being in terms of supporting the fulfillment of the country's international commitments regarding climate change, biological diversity, and territorial management processes?
					How do you perceive the Project in terms of its actions and levels of participation in training and communication between government institutions and private sector entities and the population?
					Do you perceive that the Project is supporting the strengthening of the participating institutions and the private sector and population actors? To what extent and what do you feel needs to be done about it?
					Do you think the Project is convening and working with all the relevant stakeholders? Do you feel that it is a Project that is understood and that arouses the interest of the actors?
					<b>Efficiency in the execution of the Project</b>
					How do you perceive the execution of the Project to date, in terms of meeting deadlines and plans to date (June 2021)?
					What do you think have been the main barriers or bottlenecks to comply with the Project activities?
					How do you consider that human and financial resources have been allocated in the execution of the Project; Do you consider that the process has been efficient?
					How do you perceive the role of the Project Steering Committee?
					How do you perceive the role and efficiency of the managers and the Project Team to date?
					Do you feel that UNDP support in the Project execution process has been efficient and timely?
					Has it been necessary to make changes or amendments to the PRODOC, operational plans and budgets to adapt to unforeseen situations? How fluid has this adaptive process been and how frequent has it been?
					What have been the main administrative and budget execution problems and how have they been addressed?
					What is the final situation in terms of products and expected results? What problems or situations are pending or require future corrective or adaptive action in this regard?
					What lessons learned do you think are derived from the execution of the Project?
					<b>Project Sustainability</b>
					How do you perceive the risks and sustainability of the Project in the future? What are the main ones for its continuity and stability of achievements?
					To what extent can the financial sustainability of the Project and its implementation actions be ensured?
					What legal or institutional changes or modifications do you estimate would be favorable to the sustainability of the Project, including forecasts on the effect of the Covid-19 pandemic in the medium and long term?
					What other measure can you suggest to improve the current action and the future sustainability of the Project?



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## **ANNEXES**

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### **ANNEX F: RATING SCALE**

**Evaluator: Eduardo Durand**

**Lima, Peru, November 2021**

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## ANNEX F: Rating scales

Ratings for Results, Effectiveness, Efficiency, I, Implementation / Supervision, Execution, Relevance	Qualifications for Sustainability
<p>6 = Highly Satisfactory (AS): exceeds expectations and / or has no deficiencies</p> <p>5 = Satisfactory (S): meets expectations and / or with minor or no deficiencies</p> <p>4 = Moderately Satisfactory (MS): plus, or less meets expectations and / or some deficiencies</p> <p>3 = Moderately Unsatisfactory (MI): something below expectations and / or significant deficiencies</p> <p>2 = Unsatisfactory (I): Substantially below expectations and / or important deficiencies</p> <p>1 = Highly Unsatisfactory (AI): with severe deficiencies</p> <p>Cannot be assessed (N / E): the information available does not allow an assessment</p>	<p>4 = Probable (P): Negligible risks</p> <p>3 = Moderately Likely (MP): moderate risks</p> <p>2 = Moderately Unlikely (MI): significant risks</p> <p>1 = Unlikely(I): serious risks</p> <p>Cannot be assessed (N/E): Cannot be assessed the expected impact and magnitude of the risks to sustainability.</p>



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## **ANNEXES**

**To the Terminal Evaluation Report (ET) of the Project:**

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### **ANNEX G: CONFIRMED SOURCES OF CO-FINANCING FOR THE PROJECT BY NAME AND TYPE**

**Evaluator: Eduardo Durand**

**Lima, Peru, November 2021**

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## ANNEX G: Confirmed sources of Co-financing for the Project by name and type

Sources of Co-financing	Name of Co-financier	Type of Cofinancing	Investment Mobilized	Amount (\$)
GEF Agency	UNDP	Grant	Investment mobilized	9,401,000
Donor Agency	Belgian Development Agency (CTB)	Grant	Investment mobilized	11,691,884
Donor Agency	German embassy	Grant	Investment mobilized	7,000,000
Donor Agency	Swiss embassy	Grant	Investment mobilized	2,333,880
Recipient Country Government	National Service of Natural Areas Protected by the State (SERNANP)	Public Investment	Recurrent expenditures	1,113,370
Recipient Country Government	Regional Government of Madre de Dios	Public Investment	Recurrent expenditures	9,677,035
Recipient Country Government	National Service of Natural Areas Protected by the State (SERNANP)	In-kind	Recurrent expenditures	10,299,919
<b>Total Co-financing</b>				<b>51,517,088</b>



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## **ANNEXES**

**To the Terminal Evaluation Report (ET) of the Project:**

**Transforming the management of Protected Areas / Landscapes complexes to  
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## **ANNEX H: SIGNED UNEG CODE OF CONDUCT FORM**

**Evaluator: Eduardo Durand**

**Lima, Peru, November 2021**

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## Annex H: UNEG Code of Conduct for Evaluators

Independence entails the ability to evaluate without undue influence or pressure by any party (including the hiring unit) and providing evaluators with free access to information on the evaluation subject. Independence provides legitimacy to and ensures an objective perspective on evaluations. An independent evaluation reduces the potential for conflicts of interest which might arise with self-reported ratings by those involved in the management of the project being evaluated. Independence is one of ten general principles for evaluations (together with internationally agreed principles, goals and targets: utility, credibility, impartiality, ethics, transparency, human rights and gender equality, national evaluation capacities, and professionalism).

### Evaluators/Consultants:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.
8. Must ensure that independence of judgement is maintained, and that evaluation findings and recommendations are independently presented.
9. Must confirm that they have not been involved in designing, executing or advising on the project being evaluated and did not carry out the project's Mid-Term Review.

### Evaluation Consultant Agreement Form

Agreement to abide by the Code of Conduct for Evaluation in the UN System:

Name of Evaluator: Eduardo Durand Lopez Hurtado

Name of Consultancy Organization (where relevant): \_\_\_\_\_

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at 08/31/2021

(Place) on Lima, Peru



Signature: \_\_\_\_\_



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## **ANNEXES**

**To the Terminal Evaluation Report (ET) of the Project:  
Transforming the management of Protected Areas / Landscapes complexes to  
strengthen the resilience of ecosystems - Resilient Amazon**

### **ANNEX J: SIGNED ET REPORT APPROVAL FORM**

**Evaluator: Eduardo Durand**

**Lima, Peru, November 2021**

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## ANNEX J: SIGNED TE REPORT CLEARANCE FORM

**Terminal Evaluation Report for** *(Transforming Management of Protected Area/Landscape Complexes to Strengthen Ecosystem Resilience, UNDP PIMS 5152)*

**Reviewed and Cleared By:**

**Commissioning Unit (M&E Focal Point)**

Name: Maria Cebrian

Signature: \_\_\_\_\_ Date: 17/01/2022

**Regional Technical Advisor (Nature, Climate and Energy)**

Name: Marlon Flores

Signature: \_\_\_\_\_ Date: 17/01/2022

## ANNEX J: SIGNED TE REPORT CLEARANCE FORM

**Terminal Evaluation Report for Transforming Management of Protected Area/Landscape Complexes to Strengthen Ecosystem Resilience -UNDP PIMS 5152**

**Reviewed and Cleared By:**

**Commissioning Unit (M&E Focal Point)**

Name: Maria Cebrian

Signature:           *Maria Cebrian*           Date: 17/01/2022

**Regional Technical Advisor (Nature, Climate and Energy)**

Name: Marlon Flores

Signature:                      Date: 17/01/2022