



Iniciativa para la Conservación
en la Amazonía Andina - ICAA

INITIATIVE FOR CONSERVATION IN THE ANDEAN AMAZON

Advancing Landscapes in the Andean Amazon (ASLAA)
Agreement No. AID-OAA-A-11-00055

FY 2011 - 2016 FINAL PERFORMANCE REPORT



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1. PROJECT COVER SHEET

INITIATIVE FOR CONSERVATION IN THE ANDEAN AMAZON

ADVANCING LANDSCAPES IN THE ANDEAN AMAZON (ASLAA)

Cooperative Agreement No. AID-OAA-A-11-00055

FINAL PROJECT REPORT
FISCAL YEAR 2011 – 2016
SEPTEMBER 30, 2012 – JANUARY 31, 2016

Prepared by The Rainforest Alliance, AIDER and ECOLEX

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by



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2. ACRONYMS

ACCA	Association for the Conservation of the Amazon Basin
AFIMAD	Asociación Forestal Indígena Madre de Dios
AIDER	Asociación para la Investigación y el Desarrollo Integral
APA Pachiri	Asociación de Productores Agropecuarios Los Ángeles de Pachiri
APECMU	Asociación de Productores Ecológicos del Medio Urubamba
AR	Activity Result
ASCART	Brazil Nut Association of the Tambopata Reserve
ARCSA	Agencia Nacional de Regulación, Control y Vigilancia Sanitaria
ASOCOSAKAWA	Asociación de Comercialización de Bienes y Servicios Agroforestales Sacha Kawsay Wamani
ASOKIL	Association of Indigenous Kichwas of Limoncocha
ASOPROBISUM	Asociación de Productores Kichwas Ancestrales y Comercializadores de Naranjilla de la Reserva de Biósfera Sumaco
ASOCROSACH	Association of Agricultural Production and Commercialization Sacha Laran
BMPs	Best Management Practices
BP	Boca Pariamanu community
CEFE	Business Training Economic Competencies
CESVI	Cooperazione e Sviluppo (Italian NGO)
COICA	Coordinator of Indigenous Peoples of the Amazon Basin
CRFA	Colegios Rurales de Formación en Alternancia
CSC	Control and Surveillance Committee
CWR	Cuyabeno Wildlife Reserve
DMM	Destination Management Methodology
DSS	Decision support system
EA	Environmental Assessment
ECOLEX	Corporación de Gestión y Derecho Ambiental
ELS	Environmental Leadership School
FENAMAD	Federación Nativa del río Madre de Dios y Afluentes
FMP	Forest Management Plan
FOIN	Indigenous Federations of Napo
GHG	Greenhouse Gas
GOREMAD	Regional Government of Madre de Dios
GOREL	Loreto Regional Government
HS	Hatun Sumaku parish
ICAA	Initiative for Conservation in the Andean Amazon
IEE	Initial Environmental Examination
IEPS	Instituto de Economía Popular y Solidaria
IEPI	Ecuadorian Institute of Intellectual Property
INIAP	Instituto Nacional de Investigaciones Agropecuarias
IPM	Integrated Pest Management
IR	Intermediate Result
JICA	Japan International Cooperation Agency
JS	Jatun Sumaku community
LAC	Limits of Acceptable Change
LBR	Limoncocha Biological Reserve
MAE	Environmental Ministry Ecuador (Ministerio de Ambiente)
MAGAP	Ministry of Agriculture, Livestock, Aquaculture and Fisheries

MDD	Madre de Dios
MINAM	Ministerio del Ambiente del Peru
NAMA	Nationally Appropriate Mitigation Action
NC	Native Community
NPAN	National Protected Area Network
NRM	Natural Resource Management
NTFP	Non-timber Forest Product
PA	Protected Area
PA	Puerto Arturo community
PALSAMAD	Asociación de Palmicultores San Juan
PC	Parish communities
PDOT	Territorial Land Use Plan
PES	Payment for Environment Services
PLARS	Policies, Laws, Agreements and Regulations
PNAP	Parque Nacional del Alto Purús
PNCB	Programa Nacional de Conservación de Bosques (National Forest Conservation Program)
PS	Pacto Sumaco Community
SNGP	Sumaco Napo-Galeras National Park
PR	Palma Real community
RA	Rainforest Alliance
REDD+	Reducing Emissions from Deforestation and Forest Degradation
RNTAMB	Tambopata National Reserve
RONAP	Recolectores Orgánicos de la Nuez Amazónica del Perú
SAN	Sustainable Agriculture Network
SB	Socio Bosque
SENASA	Servicio Nacional de Sanidad y Calidad Agroalimentaria
SENPLADES	Secretaría Nacional de Planificación y Desarrollo
SERNANP	Servicio Nacional de Áreas Naturales Protegidas
SGP	Small Grants Program
SL	Sustainable Landscapes
SNAP	National Protected Area Network
SNGNP	Sumaco Napo Galeras National Park
SUNARP	Superintendencia Nacional de los Registros Públicos
TI	Tres Islas community
TOC	Theory of Change
TNR	Tambopata National Reserve
UEA	State University of the Amazon
UNFCCC	United Nations Framework Convention on Climate Change
USAID	United States Agency for International Development
USD	United States Dollar
USFS	United States Forest Service
VMP	Visitor Management Plans
WS	Wawa Sumaco community
YNP	Yasuni National Park

3. EXECUTIVE SUMMARY

Overall Program Description

The Rainforest Alliance and its partners Corporación Gestión y Derecho Ambiental (ECOLEX) and Asociación para la Investigación y el Desarrollo Integral (AIDER) are pleased to present this final project report for ICAA's Sustainable Landscapes (SL) project, implemented from 30, September 2011 – 31, January, 2016.

The **goal** of the Sustainable Landscapes (SL) project was to conserve biodiversity in protected areas and their buffer areas in two critically-threatened, highly biodiverse and culturally diverse, impoverished landscapes in the Sucumbios/Napo region of the Ecuadorian Andean Amazon and the Madre de Dios (MDD)/Cusco area of the Peruvian Andean Amazon.

To achieve this goal, SL addressed the **primary threats of ecosystem degradation and habitat loss** due to land-use conversion in these landscapes by piloting an integrated natural resources management (NRM) model based on:

1. Promoting sustainable landscape planning and application of sustainable natural resource management practices;
2. Improving environmental governance and resource management; and
3. Creating sustainable economic alternatives for local groups and communities.

Achievements Overview

Guided by a theory of change and in alliance with local communities, cooperatives and producer associations, businesses, government agencies, and other stakeholders, SL advanced significantly in reducing threats to biodiversity in all project landscapes. The project's integrated approach continuously strengthened capacities of local allies to improve their livelihoods by incentivizing forest conservation and sustainable management, and also capitalized on opportunities to achieve conservation impacts at the national-scale through establishing policies and management tools based on local lessons learned. As a result of implementation of its integrated NRM model and its continuous focus on creating conditions for post-project sustainability, the SL project:

- **Improved management of over 943,000 ha** in critically threatened protected areas, indigenous territories and smallholder producer lands, many with monitoring mechanisms in place to promote adaptive management and strengthen legal and sustainable forestry and agroforestry practices.
- **Facilitated access to 16 economic incentives initiatives** for conservation, reforestation and restoration, credit and loans, and private-sector incentives, **totaling over 2,500,000 million USD, benefitting 3,156 individuals**. These and other incentives **directly enhanced the economic value of 70,681 ha** of indigenous territories, concessions within protected areas and private lands, and supported sustainable NRM in a much broader area.
- **241 business plans, marketing materials, BMP training guides, management plans, zoning maps, community governance tools, communications materials and other products** created to strengthen planning, governance and economic activities, **delivered to 473,382 stakeholders** from local land managers to the international conservation community.
- **Strengthened capacity of 34 local organizations and enterprises, and over 19,386** NC leaders, producer associations, smallholders, tourism operators, local government officials and other actors to implement these tools and sustainably manage their over 943,000 ha of land and 16 economic incentives initiatives into the future, through **completing over 101,044 person-hours of training**.
- Enhanced local governance, opened doors for sustainable harvesting and created conditions for replicating successful experiences throughout the Andean Amazon by supporting communities, municipalities and regional and national government agencies to **develop 63 policies, regulations and agreements that consolidate enabling conditions for sustainable landscape planning, governance and economic opportunities**.

Illustrative achievements against ICAA Program Intermediate Results (IR) and Results Chains

SL's integrated model – implemented together with local allies – captured synergies and complementarities across ICAA results chains to maximize impacts in project landscapes. Illustrative examples of key achievements follow, organized by ICAA IRs.

IR1 – Selected Landscapes Managed Sustainably

- In MDD, SL promoted legal, responsible forest management across 132,000 ha. More transparent and equitable distribution of revenues from forest management in NCs supported conservation of over 78,000 ha and benefitted over 300 families. Throughout the Tambopata District, ecotourism was more sustainably managed through analyzing visitation trends, reducing impacts and monitoring tourism's footprint.
- In Cusco, the Technical Roundtable for Coffee and Cocoa production improved stakeholder coordination and created enabling conditions to upscale coffee and cocoa BMPs.
- In Napo, over 39,000 ha in the Sumaco Biosphere Reserve are more sustainably managed through developing land-use and management plans from the parish to the farm-level. Parish Kichwa youth lead implementation of restoration, forest conservation and NRM monitoring prioritized in these plans.
- In Sucumbios, application of Destination Management Methodology (DMM) is reducing the impacts of tourism and promoting adaptive management and monitoring, directly improving conservation in well over 100,000 ha, and is being replicated nationwide.

IR2 – Key Elements of Natural Resource Governance Functioning in Critical Landscapes

To facilitate and reinforce IR-1 achievements:

- In MDD, land tenure and rights of use were clarified for 4 NCs, consolidating their basis for legal, sustainable land management and facilitating harvesting permits and approvals. The same NCs strengthened their sustainable land management and territorial enforcement through the participatory development of life plans, zoning plans, statutes and regulations and other tools. To surmount regulatory bottlenecks faced by NCs, SL facilitated approval of regulations for palm fruit management, applicable across roughly 5 million ha in the Peruvian Amazon.
- In Cusco, building on farmer best practices and in alliance with the Roundtable, fire management ordinances were approved, conserving ecosystems and upscaling BMPs on over 1.9 million ha.
- In Napo, parish board members and community leaders strengthened their administrative and management skills to implement parish land use plans and govern their communities. The indigenous Kichwa community of Wamani accessed the MAGAP Commercial Reforestation Incentives Program, a priority local land-use strategy, and in so doing demonstrated how government incentives programs can respond to local needs.
- In Sucumbios, for the first time, Kichwa communities and the government agreed to regulations governing fishery resource use rights in the LBR.

IR3 – Increased Capacity to Utilize PES-like and Other Economic Incentives

Building on the planning, organizational and governance achievements under in IR1 and IR2:

- In MDD, local associations sold over 1.5 million USD in Brazil nut through preferential contracts. NCs – for the first time – accessed government production credits and repaid 100% of their debts. In total, NCs accessed over an estimated 900,000 USD in credit to upscale diversified forest management activities. NCs like Tres Islas completed their first-ever sales of value-added timber products, demonstrating the viability of this new income stream from responsible forest management. 5 NCs are now in various stages of accessing REDD+ finance as another source of seed capital for their emerging diversified, forest-based economies.
- In Cusco, over 100 coffee and cocoa farms are building climate resiliency, reducing deforestation, promoting ecosystem restoration and healthy home environments through implementation of climate

change adaptation and mitigation BMPs and implementing new technologies to reduce costs, water and soil contamination and GHG emissions.

- In Napo, 6 Kichwa parish communities are accessing – or prepared to access – incentives for forest conservation, restoration, reforestation and sustainable forest management. A new model for naranjilla¹ production – the primary local deforestation driver – has been established at the regional, parish and producer level through a strengthened Naranjilla Roundtable, formation of a producer association, and establishment of 7 BMP demonstration parcels.
- In Sucumbios, 14 lodges and community associations improved their enterprise development capacities; resulting in economic benefits to over 150 community members. In the case of the Sani Isla community, through receipt of a 150,000 USD credit. Tourism operators and park authorities integrated local communities and NCs more strongly into tourism management; 24 guides have secured better jobs and increased employment; and NC canoeists secured for the first time profitable service contracts with lodges. Through increased enterprise development skills, the Sani Warmi womens' handicrafts association is now selling its products nationally and internationally.

IR4 – Greater Understanding and Solutions for Environmental Issues

Case studies and research was completed to test assumptions about project interventions, drive continuous improvement and strengthen adaptive management of local actors. In MDD, findings from applied research on new NTFPs support income diversification and sustainable management. In Cusco, the economic impacts of roya were analyzed, enhancing understanding of local institutions and companies on how to address this critical threat to coffee production. In Sucumbios, lessons learned from an analysis of impacts of tourism on water quality and biodiversity are driving adaptive management actions. And in Napo and Cusco, a landscape analysis tool was completed, to promote more informed land-use planning and investment decisions amongst local governments.

Cross-Cutting Themes and Key Issues

- *Improved Policies and Policy Implementation:* 3 policies, 16 regulations and 44 agreements were developed, adopted and/or implemented, to strengthen sustainable NRM and create conditions for replication, including a Regional Biodiversity Strategy for MDD and a Ministerial Accord to replicate the DMM at the national level in Ecuador.
- *Increase Gender Awareness and Gender-Related Program Outcomes:* As of October, 2014 the SL consortium received the highest Gender Scorecard ranking of all ICAA implementing partners. Implementation of its Gender Action Plan enhanced leadership and decision-making roles for women in community activities and increased their participation in productive activities. From 2013 to 2015 women's participation in SL training events increased from a baseline range of 25%-35%, to over 40%.
- *Strengthening of Selected Organizations and Institutions and Partner Organizations:* SL enhanced the organizational and management capacities of 34 local associations and enterprises to improve planning and governance and grow sustainable economic alternatives. Many of these groups were women-led.
- *Improve Capacity Through Training:* Capacity building of project beneficiaries was a critical component of SL's sustainability strategy. Nearly 800 trainings totaling over 100,000 person-hours of training were delivered on topics that reinforced knowledge and capacity of local actors to achieve

¹ Naranjilla is a fruit grown in Amazon regions that has strong and growing domestic markets and is exported to certain European countries. It is in the tomato family, but appears more like a citrus fruit.

project objectives. These trainings have been fundamental to achieving project objectives and creating the local competencies to carry forward project activities into the future.

- *Increase Indigenous Peoples (IP) Participation:* SL trained members of 19 indigenous peoples, with most directed to prevalent IP groups in project landscapes. % of IP participation ranged from 37% to 84% and increased over the life of the project.

Performance Management Plan – PMP: SL had 10 indicator targets, including one self-defined indicator (enhanced enterprise capacity of local groups). SL exceeded 8 indicator targets, by a range of 9-47% depending on the indicator. SL achieved its self-defined indicator target of 34. SL achieved 99.7% of Indicator 3 – persons with economic benefits (3,156 achieved vs 3,165 target). This small variance is due to delays in government processing of paperwork for community access to incentives programs. It is expected community beneficiaries will receive these government incentives in the near future.

Environmental Compliance: SL secured approval for its IEE and EA, amending these to incorporate an extension into the Napo province and implementing the requisite mitigation measures. In July 2015 independent consultants conducted a final external evaluation of implementation of the EA Mitigation and Monitoring Plan. Evaluation findings indicate that on the whole SL implemented the EA mitigation measures and that the project ***“excelled at improving policies and institutional capacities to strengthen the adoption and sustained application of project-promoted best management practices” and that across all landscapes SL was “effective at establishing conditions for permanence (sustainability) of impact mitigation”.***

Funding Level and Funding Sources: SL executed 100% of authorized federal funds for the life of the project (9,335,948 USD). SL exceeded its life of project cost share target of 2,334,000 USD by over 15%, applying 2,702,863.32 USD in cost share to strengthen the project’s integrated landscape planning, environmental governance and sustainable economic alternative objectives. In addition, SL channeled 2,117,800 USD in leverage funds from value chain companies, local and national government agencies, NGO collaborators and other key stakeholders in the Andean Amazon.

Challenges and Adjustments: Challenges addressed in order to achieve project objectives included:

- Insecurity, resulting in a modification of the Ecuador landscape of work to extend forestry and agricultural activities into the Napo province.
- USAID restrictions on activities in partnership with national government, due to its exit from Ecuador. SL adjusted activities accordingly, re-orienting work to support communities to access government incentive programs and work at more local scales.
- High staff turnover, slow response times and procedural confusion in national government agencies delayed or prevented communities in Ecuador and Peru from accessing economic incentives or consolidating land tenure. SL strengthened coordination and technical capacities of local agencies; built capacities of communities and local partners to provide direct follow-up with government; and built alliances with other NGOs and institutions to provide ongoing technical support to communities.

Lessons Learned: Based on SL experiences, examples of lessons learned to support future opportunities to upscale impacts across the Amazon region at the national or biome level, include:

- Leverage project experience creating enabling conditions to resolve regulatory, financial, and markets-based bottlenecks preventing local communities from improving their livelihoods and NRM, by addressing:
 - Lack of access to finance for business development in rural communities.
 - Integration of sustainability criteria into the rural finance sector & lending policies.
 - Better guidance and training tools for conservation incentives program investment plans.

- Better engaging the private sector to unleash investment for value chain development in NCs and commodity landscapes offers a strategic opportunity to multiply impacts. Work to do so could include:
 - Build markets, value-chain integration and company commitments to upscale sustainable NTFP and forest products from native communities domestically, within emerging Amazon economies of Brazil, Colombia and Peru.
 - Deepen alliances throughout the value-chain between producer associations, indigenous federations, the financial sector and agricultural and forest products companies – to collectively address critical bottlenecks.
 - Harness growing global industry commitments to deforestation-free supply chains by establishing rigorous, consistent methods for deforestation-free implementation, monitoring, verification and transparency that all companies sourcing from the Amazon could apply within their supply chains.
- Integrate livelihoods development in protected area planning and management in high visitation sites.

4. OVERALL PROGRAM DESCRIPTION

The **goal** of the Sustainable Landscapes (SL) project was to conserve biodiversity in protected areas and their buffer areas in two critically-threatened, highly biodiverse and culturally diverse, impoverished landscapes in the Ecuadorian and Peruvian Andean Amazon.

SL's **overarching strategy** to accomplish this was to directly address the principal threats to biodiversity and their primary drivers in these landscapes, mitigating threats that had the most significant impact on biodiversity and local livelihoods and that could be effectively countered directly given the core competencies of the Rainforest Alliance and its project partners ECOLEX and AIDER.

Primary **threats tackled** by SL included ecosystem degradation and habitat loss due to deforestation or land-use conversion. The core drivers of these threats included:

1. Limited institutional capacity by local governments and communities for natural resource management (NRM) and planning;
2. Limited participation in and access to programs by local groups for resource management and sustainable production chains; and
3. Weak organizational capacity and market linkages of local producers, associations, communities and NRM businesses to cultivate sustainable economic alternatives to unsustainable activities that contribute to deforestation, biodiversity loss and poverty.

SL's 3, inter-related **objectives** were designed to respond directly to these core drivers:

4. Promote sustainable landscape planning and application of sustainable practices in NRM;
5. Improve environmental governance and resource management; and
6. Create sustainable economic alternatives for local groups and communities.

SL project design and implementation was guided by a theory of change², with conceptual models and results chains revised and adapted annually to ensure the overall project model continued to respond to local contexts, threats and opportunities.

² SL established a program-specific theory of change, conceptual models and results chains, which in turn contributed to the overall ICAA program results chains described in Annex 1.

Introduction to the Madre de Dios (MDD)/Cusco, Peru Landscape:

Deforestation and ecosystem degradation were driven by illegal and informal timber extraction and informal mining and small-scale agricultural expansion, each driven in part by a lack of community cohesion, planning and organizational capacities, and lack of access to profitable economic alternatives to forego illegal activity. Access to finance and incentives to secure capital necessary for sustainable production activities was largely absent, as lenders had low confidence in ability of native communities (NCs) to repay, and communities are very remote. SL worked with the NCs of Tres Islas (TI), Palma Real (PR), Boca Paríamanu (BP), Infierno, Sonene, and Puerto Arturo (PA), the association of Brazil nut gatherer associations RONAP, located alongside the interoceanic highway, and ASCART, in the Tambopata National Reserve (TNR), as well as directly with the TNR and tourism operators in the region. SL worked with mestizos, concessionaries and indigenous peoples (IPs) including: Ese Ejas, Shipibos, Yine, Amahuaca and Kicharuna ethnicities.

Higher on the slopes of the Andean Amazon SL worked in mosaic coffee and cocoa production areas within the La Convención (districts of Echarati and Quellouno) and Calca (Yanatile district) Provinces, in the buffer zone of the Megantoni National Sanctuary. At the national level smallholder coffee and cocoa expansion was a primary deforestation driver and in the project zone SL analyses determined deforestation rates of 538 ha/yr (0.24%) over a 20 year period. Poor profits and practices, lack of access to credit, and limited local institutional capacities and the 2012-2014 *roya* epidemic, influenced by climate change, all contributed to ongoing deforestation due to land use change. Local allies included government agencies and the following cooperatives: Bioazul, Jose Olaya, Chaco Huayanay, Paquivo, Alto Urubamba, Mateo Pumacahua and the Asociación de Productores Agropecuarios Los Angeles de Pachiri (APA Pachiri).

Introduction to the Napo/Sucumbios Landscape:

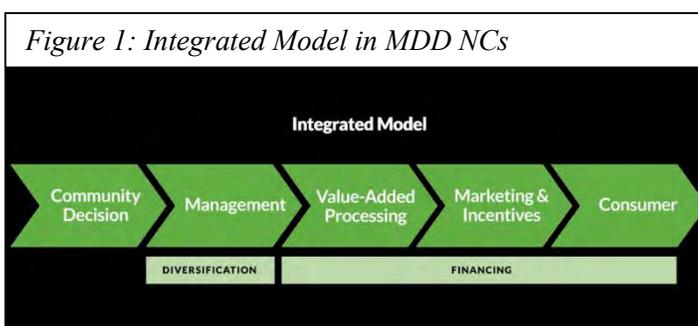
In northern Sucumbios and Orellana provinces, ecosystem degradation and livelihoods threats were driven by unsustainable land use planning, a lack of economic alternatives, and pressures on local communities due to petroleum expansion. In this area, SL worked in the Cuyabeno Wildlife Reserve (CWR), Limoncocha Biological Reserve (LBR) and Yasuni National Park (YNP), with Siona communities, 14 lodges and local associations, municipal governments and park authorities. In Napo, in the buffer zone of the SNGNP SL worked in the Hatun Sumaco (HS) parish, which includes the Jatun Sumaku (JS), Wawa Sumaku (WS), Wamani, Pacto Sumaku (PS), Pucuno Chico (PC), Volcán Sumaku (VS) and Challuayacu indigenous Kichwa communities.

Additional context on threats follows in subsequent sections. A landscape map is available in Annex 5.

5. ACHIEVEMENTS OVERVIEW

SL reduced biodiversity threats in Andean Amazon landscapes by establishing an integrated model for landscape management based on landscape-scale planning for sustainable NRM, enhanced local environmental governance and the creation of sustainable economic alternatives for local peoples.

In MDD, SL laid the foundations for a sustainable indigenous economy based on diversified use of forest resources in order to counter threats of illegal timber extraction, informal mining and agricultural expansion. SL strengthened local governance and NC capacities for sustainable NRM through participatory development and approval of forest management plans (FMPs) covering over 132,000 ha as well as over 20 community statutes, regulations, life plans, NTFP management plans, zoning plans and other management tools. NCs diversified their use of the forest, thereby increasing its value – expanding beyond Brazil nut collection to responsible harvesting and value-added processing of timber, *tamshi* vines and palm fruits like *ungurahui* and *aguaje*, as well as community-based tourism.



Over 900 individuals benefitted economically from i.e., preferential contracts for sales of over 1.5 million USD in Brazil nut; access to over 900,000 USD in finance; and legal sales of value-added timber products that increased profits while reducing harvesting of trees by one-third. One NC, Palma Real, now receives roughly 12,000 USD annually for REDD+ credit transactions, a new revenue stream that provides the capital necessary to strengthen its nascent community tourism enterprise. Average regional NC annual income is roughly 500 - 1,500 USD/family³; yet through this approach some families have increased their income by more than 200%; now earning 3,000 USD/family⁴. Increased administrative, organizational and development capacities were critical to achieving these gains, and resulted in aggregation of production, improved product quality and access to preferential markets. As local economic opportunities grew community participation in NRM increased. Over 20 production and monitoring committees are now operational, further reinforcing local organizational capacities. Women now lead production committees and processing of new NTFPs – whose management created new jobs locally – and are more engaged in NR decision making. These new opportunities also reinvigorated youth engagement – the PR board of directors is made up of youth leaders.

When combined with economic improvements, BMPs have resulted in a slowed rate of deforestation in NCs such as Tres Islas⁵. In total over 132,000 hectares are now under improved management in native communities and concessions in the buffer zone of the TNR, promoting integrated landscape management and enhanced biodiversity conservation in this critically threatened region. Elements of this model are now being consolidated and replicated beyond the TNR through approval of the Regional Biodiversity Strategy for Madre de Dios, engagement in the MDD Regional Financing Roundtable and with MINAM's Forest Conservation Incentive Program, and national regulations for approval of palm fruit management plans.⁶

In Cusco, SL countered threats of deforestation driven by low productivity and profitability by promoting implementation of integrated farm management models based on the SAN Standards, a globally recognized certification system. 8 model farms were established as sites of local learning and demonstration for other producers, and local technical capacities were built amongst 3 local governments and 6 cooperatives who are delivering BMP trainings to their producer network of roughly 1,500. Notably, women have taken a

³ Based on interpretation of socioeconomic diagnostics collected by SL in project communities; in rare instances family annual incomes may rise to approximately 4,000 USD/yr.

⁴ In the community of Tres Islas 16 families who form part of the Timber Committee have experienced these gains.

⁵ See: <http://www.rainforest-alliance.org/es/publicaciones/manejo-integral-baja-resolucion>

⁶ For a short video summarizing these achievements see: <http://www.rainforest-alliance.org/multimedia/icaa-madre-de-dios-ra>

more active role in farm management and decision-making. In addition, through piloting implementation of climate change adaptation and mitigation BMPs, over 100 coffee and cocoa farms have built climate resiliency and reduced deforestation and emissions, and are implementing improved soil and wastewater practices, to reduce ecosystem degradation. Successful new BMPs and awareness of broader regional issues such as declines in quality, need for local income diversification and a *roya* outbreak were addressed at the regional level through facilitating the Technical Roundtable for Coffee and Cocoa, which improved stakeholder coordination and created enabling conditions to upscale coffee and cocoa BMPs. In collaboration with Roundtable actors, fire management ordinances were approved in the Districts of Echarati and Santa Ana. These contribute to ecosystem conservation and upscaling of BMPs on over 1.9 million ha. The Cusco project area is within the buffer zone of the Megantoni National Sanctuary. Implementation of sustainable agricultural models, enhanced stakeholder coordination and improved regulatory frameworks contributed to reducing threats to biodiversity loss within and around this protected area.

In Sucumbíos, SL developed and implemented the ‘Destination Management Methodology’ (DMM) to reduce the impacts of tourism on water quality and ecosystem functions, protect wildlife, and generate sustainable economic alternatives. SL supported the creation of 3 visitor management plans that enhanced planning and management in over 600,000 ha of these PAs. Local authorities began to independently regulate 12 lodges in the CWR to monitor and ensure their compliance with BMPs. 14 lodges and community associations improved their enterprise development capacities; resulting in economic benefits to over 150 community members. In the case of the Sani Isla community, through receipt of a 150,000 USD credit. Tourism operators and park authorities integrated local communities and NCs more strongly into tourism management; 24 guides have secured better jobs and increased employment; and NC canoeists secured for the first time profitable service contracts with lodges. Through increased enterprise development skills, the Sani Warmi womens’ handicrafts association is now selling its products nationally and internationally. As a result of independent case studies, actors in CWR are improving their wastewater treatment systems to reduce impacts on water quality, and understand the need for energy efficient canoe motors to reduce disturbance on wildlife – which is planned as a mandatory regulation in 2016. The DMM has been proposed for replication across the entire National Protected Area Network through a Ministerial Accord⁷.

In Napo, SL worked with 6 Kichwa and 1 mestizo community to implement a long-term forest conservation strategy that connects Parish communities to government programs and buyers to counter threats caused by a lack of land-use planning, rural poverty and unsustainable practices. Kichwa leaders and communities strengthened their NRM planning and governance skills through creating the first-ever land-use plan for the newly-formed 39,000 ha Parish of HS, 7 integrated management plans for each community and 6 FMPs, 7 model farm management plans within each community, and over 12 statutes, regulations, monitoring protocols, zoning and land-use plans, and conflict resolution agreements. These management tools reinforce principles of integrated, sustainable NRM through forest conservation, restoration and reforestation with native species, waterway protection and transforming the production of naranjilla – the primary deforestation driver in the parish – towards a sustainable model and orienting expansion into degraded lands to reduce deforestation pressures. Based on these plans, over 3,000 ha of lands are set aside for the SocioBosque forest conservation program, 7,700 ha zoned for legal, sustainable forest management – with first legal sales already secured – and 250 ha established to pilot the MAGAP Commercial Reforestation Incentives Program and SocioBosque Passive Restoration program – some of the first instances of application of these programs in Amazon Kichwa communities. Hundreds of members of the Kichwa parish are benefitting economically. Two local associations comprised of Kichwa community members, now support implementation of these initiatives, as well as organize the local naranjilla value chain and facilitate

⁷ For a short video summarizing these achievements see: <http://www.rainforest-alliance.org/multimedia/icaa-cuyabeno-ra>

legal sales. Located within the Sumaco Biosphere Reserve and in the buffer zone of the Sumaco Napo Galeras National Park and Cerro Sumaco Protected Forest, HS's forest friendly conservation and development model reduced threats to biodiversity and ecosystem services in the broader region⁸.

Creating conditions for sustainability of these and other results post-project was integral to SL project design, and evidenced in the means by which life of project results were achieved:

- **Over 943,000 ha under improved management** in critically threatened protected areas, indigenous territories and smallholder producer lands, many with monitoring mechanisms in place to promote adaptive management and/or consolidated legal and sustainable timber, NTFP and agroforestry production alternatives.
- **Facilitated access to 16 economic incentives initiatives** for conservation, reforestation and restoration, credit and loans, and private-sector incentives, **totaling over 2,500,000 million USD, benefitting 3,156 individuals**. These and other incentives **directly enhanced the economic value of 70,681 ha** of indigenous territories, concessions within protected areas and private lands, and impacted sustainable management across a much broader area.
- **241 business plans, marketing materials, BMP training guides, management plans, zoning, community governance tools, communications materials and other products** created to strengthen planning, governance and economic activities, **delivered to over 473,382 stakeholders** from local land managers to the international conservation community.
- **Strengthened capacity of 34 local organizations and enterprises, and over 19,386** NC leaders, producer associations, smallholders, tourism operators, local government officials and other actors to implement these tools and sustainably manage their over 943,000 ha of land and 16 economic incentives initiatives into the future, through **completing over 101,044 person-hours of training**.
- Enhanced local governance, opened doors for sustainable harvesting and created conditions for replicating successful experiences throughout the Andean Amazon by supporting communities, municipalities and regional and national government agencies to **develop 63 policies, regulations and agreements that consolidate enabling conditions for sustainable landscape planning, governance and economic opportunities**.

6. ICAA INTERMEDIATE RESULTS AND RESULTS CHAINS

SL implemented an integrated approach, promoting: i) landscape-scale planning; ii) improving local environmental governance; and iii) generating sustainable economic alternatives in highly-threatened landscapes in the Andean Amazon. As part of this work, the project coordinated with actors at the regional and national level to upscale and replicate successful project interventions to transform land-use practices across the Amazon, beyond project landscapes.

To underscore this integrated approach, this section of the report groups achievements by the project's four sub-landscapes of Sucumbíos, Napo, Cusco and MDD.

6.1 IR1 – SELECTED LANDSCAPES MANAGED SUSTAINABLY

6.1.1 LARGE-SCALE PLANNING

⁸ For a short video summarizing these achievements see: <http://www.rainforest-alliance.org/multimedia/icaa-wamani-ra>

PROMOTING INTEGRATED LANDSCAPE PLANNING AND USE

MDD: Legal, responsible forest management across 132,000 hectares.

The Andean Amazon's native communities, producer associations and local governments need long-term landscape management plans that balance the needs of the local economy with the needs of the local environment. By enhancing the economic value of standing forests, sustainable production alternatives can help to combat current threats of illegal logging, agricultural expansion, and others. Accordingly, SL developed - with the producer associations of AFIMAD, ASCART, RONAP and PALSAMAD and corresponding native communities and local concessions - 10 new PLARS. Amongst these are 7 GOREMAD- approved forest management plans and Brazil nut management plans that enable native communities to responsibly harvest and legally sell their timber and Brazil nut.

To ensure communities could implement these and other plans successfully, SL developed over a dozen technical products (i.e, NTFP management plans for NCs and concessionaries). The project delivered over 100 trainings on issues such as forest management planning, Brazil nut and palm fruit harvesting BMPs, and timber and NTFP harvest organization. Building local capacities to engage in legal management activities and promoting legal compliance helped to enhance dialogue and coordination between communities and the regional forestry authority – an important enabling condition for the approval of harvesting authorization requests. Now, local groups in MDD are managing directly and legally more than 132,000 ha of their lands for integrated and sustainable production of five important forest products – timber, Brazil nut, the liana *tamshi*, and the palm fruits of *aguaje* and *ungurahui*.

MDD: Threats from ecotourism transformed into opportunities to promote conservation and sustainable livelihoods.

Ecotourism is one of the few land-use strategies in Madre de Dios that can compete economically with business-as-usual, unsustainable alternatives like illegal mining or timber extraction⁹. However, without proper planning and management at the regional, district and local levels, ecotourism itself can become a threat to biodiversity and ecosystem functioning. Since the construction of the Interoceanic highway visitation rates to MDD greatly increased. This visitation has been concentrated in a limited number of attractions, such as Lake Sandoval, stressing the wildlife and health of these emblematic sites. To reduce threats to vulnerable sites and improve regional-scale planning for sustainable ecotourism, SL, together with civil society, RNTAMB park authorities and local businesses, established a Regional Consultative Committee for Tourism, and developed two new PLARS and a collection of technical studies and management documents. To support landscape-scale planning for sustainable ecotourism and operationalize objectives of the committee, SL developed a number of tools. These included tourism use regulations, studies on limits of acceptable change (LAC) in key visitation sites, site management plans, tools for monitoring of tourism use and a guide to new and additional tourism attractions in MDD. 17 trainings were delivered to local actors to implement of these tools, as well as sustainable tourism BMPs.

This approach has enhanced the organization and management of tourism throughout the RNTAMB: tourism operations are obligated to comply with these norms and management tools, and the existence of quantifiable data through LAC studies and other monitoring tools promotes ongoing performance evaluation and adaptive management, helping ensure that corrective actions can be taken to maintain ecosystem integrity of visited sites. Achievements to date have led SERNANP to consider applying the LAC methodology developed by SL at the national level.

⁹ Kirkby, C. (2010) *The Market Triumph of Ecotourism*. PLoS One. Available at: <http://www.ncbi.nlm.nih.gov/pmc/articles/PMC2947509/>

Napo: Over 39,000 ha in Sumaco Biosphere Reserve better managed, from the parish to the farm-level.

The indigenous parish of Hatun Sumaku (HS) was formed in 2012 and – at project outset – the parish and its 7 communities had not yet developed any long-term vision and land-use plans to manage their territory. Located within the Sumaco Biosphere Reserve, the Sumaco Napo-Galeras National Park (PNSNG), and the Cerro Sumaco Protected Forest, the HS parish is in a critical biodiversity corridor. The lack of organized land-use activities led to forest degradation, deforestation due to expansion of the agricultural frontier, and other threats to wildlife and ecosystem functioning.

In collaboration with MAE, the Provincial Government of Napo, Parish Government of HS, parish communities, and other stakeholders, SL laid the foundation for long-term, integrated sustainable natural resource management from the parish to the farm-level, creating a series of planning and management tools to identify and conserve forestlands, avoid further expansion of the agricultural frontier, restore degraded lands and enhance local incomes. Through a participatory process that reflected the worldview of the parish's Kichwa communities, SL:

- Created the Parish's first Territorial Land Use Plan (PDOT), covering over 39,000 ha;
- Facilitated development and approval of 6 Integrated Management Plans (5 approved) and 6 Forest Management Plans for parish communities of (PC, Wamani, WS, JS, VS; Challwayaku);
- Created 7 'model farm plans' – one in each parish community; and
- Established a community-based monitoring and surveillance system to ensure legal compliance and respect for guidelines set forth in planning documents.

In total, SL developed 7 PLARs and 12 technical guides (i.e., land use maps, management plans, socioeconomic analyses) to enhance conservation and sustainable management within the Sumaco Biosphere Reserve. To ensure local actors had sufficient knowledge and technical skills to implement these plans, from FY13-FY15 SL delivered 29 trainings reaching 1,677 individuals. Over this time, level of female participation increased from 14% to 29%. Management and planning documents were 'nested' from the parish to the farm-scale – land-use zoning, priorities and eligible activities were consistent at all scales, reinforcing an integrated approach to landscape scale management. In total, over 3,000 ha are now under conservation, 7,700 ha brought under legal forest management, and 250 ha under restoration.

BUILDING PARTNERSHIPS BETWEEN MULTIPLE STAKEHOLDERS

Cusco: Coffee and cocoa production practices improved across the landscape, through enhanced stakeholder coordination.

La Convencion province is a mosaic landscape dominated by coffee and cocoa production. Similar to other landscapes in the Andean Amazon, a critical mass of local stakeholders exist, with the potential to drive important changes in local policies and production practices. However, the lack of coordination of each actors' agenda, investment priorities and technical proposals prevented them from effectively addressing critical shared challenges posed by i.e., climate change and productivity declines. To achieve the multi-stakeholder coordination required to transition the coffee and cocoa sector towards biodiversity conservation, climate change mitigation and sustainable productivity gains, in 2012 SL took over the facilitation of the inoperative Provincial Technical Coffee Roundtable. SL expanded its scope to include cocoa production, brought together all actors (i.e., municipal governments, representatives of national agencies like SENASA, AGROBANCO, AGROIDEAS, technical extension agents, cooperatives, trade guild representatives, researchers, donors and producer representatives), and facilitated over 15 sessions whereby participants crafted a shared vision for the future of coffee and cocoa production in the region, and took concrete steps towards executing it. To promote informed analysis of critical issues, SL convened 12 workshops whereby participants analyzed project studies on i.e., the economic impact of *roya amarilla* and

GHG emissions hotspots in coffee production practices and discussed how each of them, and the sector, should best deal with these issues.

As a result of this approach, Cusco has significantly improved institutional alignment and effective coordination. Several PLARs were developed, including a Strategic Plan for Coffee Competitiveness, which aligns the sector behind a shared vision and focus of sustainably intensifying production; integrating climate change adaptation and mitigation into coffee management; and further strengthening institutional coordination. To promote sustainability, the roundtable itself now has a strategic plan, internal regulations to govern its functioning and the Regional Agricultural Authority has taken over its leadership, giving continuity to the Roundtable in the future. Most importantly, participant engagement in the Roundtable has informed development of policy frameworks and institutional capacities for sustainable management. For example, the Municipalities of *Santa Ana* and *Echarati* established burn control and prevention plans and cooperatives like Chaco Huayanay and businesses like BioAzul have adopted climate-smart agricultural practices, driving the implementation of these practices among their over 250 person producer base (roughly 30% of all producers in the zone Yanatile and Lacco Yavero watersheds) by integrating it into their extension services.

6.1.2 PROTECTED AREAS

STRENGTHENING OF PROTECTED AREAS SYSTEMS THROUGH NATIONAL, REGIONAL AND LOCAL PROCESSES

Sucumbíos: New Destination Management Methodology reduces impacts of tourism and promotes adaptive management and monitoring – replicated in 10 PAs nationwide.

Ecotourism is a core pillar of Ecuador's economic growth strategy: the Ministry of Tourism projects reaching 1.6 million visitors in 2016, doubling visitation rates since 2006. The majority of these tourists visit protected areas – the most fragile, threatened and emblematic ecosystems in one of the world's most biodiversity rich countries. MAE and local park authorities were unprepared to manage the growing impacts of tourism in the National Protected Area Network (SNAP), especially in Amazon PAs of CWR, LBR and YNP. They lacked planning tools required to promote, monitor and adaptively manage tourism, and the technical skills to implement these. Moreover, other critical stakeholders – tourism operations and local communities – were not integrated into landscape-scale tourism planning and management activities. The lack of coordination compounded negative impacts of tourism on protected areas and minimized the opportunities for local communities to benefit economically from local tourism initiatives.

At MAE's request, SL co-designed with MAE staff, local PA managers and park guards and monitoring technicians the 'Destination Management Methodology' and corresponding Visitor Management Plans (VMP), management tools that promote organization and planning of sustainable tourism activities within PAs in order to conserve biodiversity, promote sustainable livelihoods, reduce the impacts of tourism's footprint, and monitor and adaptively manage tourism over time.

SL and park authorities initially piloted VMPs in CWR, LBR and YNP, directly enhancing management of over 104,373 ha within these PAs where monitoring and management activities were carried out in tourism recreation and public use zones. These initial pilots were so successful that MAE developed VMPs in 7 other PAs¹⁰, improving management of an estimated 100,000 ha. Each VMP was developed by local PA management staff and technicians, in consultation with local actors. SL – with support from USFS – provided technical quality control and backstopping, together with national MAE authorities. Carried out

¹⁰ PAs of: Cotopaxi National Park; Cotacachi Cayapas Ecological Reserve; Chimborazo Wildlife Reserve; Pulumahua Geobotanical Reserve; Puntilla Costera Marine Wildlife Reserve; Manglares Churute Ecological Reserve; Machalilla National Park.

through 14 workshops training 203 local PA staff (approx. 30% women) and through ongoing technical support, this approach has transferred technical skills and ownership of the VMPs to local PA staff, who have begun to implement the VMPs independently. For example, YNP initiated monitoring in the Añangu (21,393 ha) site. In June 2015 during routine monitoring park staff observed 5 pink river dolphins, 5 blue and yellow macaws, and brown throated sloths, among other species; this data provided a baseline to begin to evaluate presence and abundance of key species in visitation sites. Local PA staff design and implement VMPs, resulting in a cost-savings of nearly 40,000 USD for each one developed. MAE intends to replicate this approach across the entire approximately 2.4 million ha PNAP and has developed a Ministerial Accord to promote its adoption across the entire national protected area network¹¹.

6.1.3 INDIGENOUS TERRITORIES

FACILITATING THE EFFECTIVE PARTICIPATION OF INDIGENOUS COMMUNITIES IN TERRITORIAL PROCESSES

MDD: More transparent and equitable distribution of forest management revenues in NCs supported conservation of over 78,000 ha and benefitted over 300 families.

Historically timber and NTFP harvesting rights in NCs were assigned based on luck, habit and traditional privilege, rather than any transparent and just system for allocating rights and revenues from harvests of communal natural resources. In TI for example, timber harvesting was done by only 5 or 10 community members who had access to equipment needed to extract and process wood, excluding many other members from participating. This resulted in inequity, caused internal strife and limited interest in the broader community to participate in sustainable management activities.

To address this critical constraint and create enabling conditions required for sustainable land management in native communities, SL supported NCs to restructure their harvesting benefits distribution mechanisms. Over the life of the project discussion workshops were continuously held for these purposes; as a result, in 6 NCs, participatory agreements have been reached in community assemblies, transparently allocating timber harvesting rights under approved management plans. Moreover, through community assemblies, the TI, PA and BP NCs identified all community members interested in joining the timber committee, doubling the number of members benefitting from timber harvesting. The timber committees are now reinvesting a portion of proceeds into their ongoing activities, increasing the long-term viability of their nascent harvesting activities. This new way of distributing timber benefits within the NCs is an important milestone as it promotes transparency, inclusion and good governance from timber management, mitigating previous issues related to inequitable harvesting rights and resultant internal governance conflicts.

Benefits distribution mechanisms were built upon participatory socioeconomic diagnostics, community land-use zoning plans, life plans, and timber and NTFP management plans developed with NCs and referenced elsewhere in this report. They thus represent a capstone accomplishment and key enabling condition for communities to ‘bring to life’ their long-term vision for sustainable natural resource management and promote social inclusion, equity, and transparency in their management plans.

Napo: Kichwa youth lead restoration, forest conservation and NRM monitoring activities on behalf of their communities.

To increase their awareness and technical skills to manage their community natural resources sustainably, 13 young Kichwa men and 11 young women in the parish of HS graduated from the Environmental Leadership School (ELS), a leadership and training program for rural youth promoted by the Ecuadorian

¹¹ For additional information please see the Destination Management Methodology: <http://www.rainforest-alliance.org/es/publications/metodologia-de-gestion>

government. Upon completion of the intensive training program, the 24 youth leaders received a diploma from the Ministry of Education and are now qualified for certain NRM jobs. Participation in the program had a transformative impact on HS youth: the 24 leaders trained over 2,000 HS community members on environmental topics through delivering over 139 replication workshops using the ELS curricula. Moreover, armed with their new technical skills, HS ELS graduates decided to form their own association – ASOCOSAKAWA – to provide technical assistance to HS communities and help ensure the responsible management of their ancestral lands into the future.

The youth forestry association quickly emerged as a leader and key driver of many of HS’s most important new NRM initiatives. The association was legally registered and SL continuously trained its membership on georeferentiation, selection of reforestation sites, land preparation, production and collection of seedlings and plantation establishment, and preparation of government dossiers for different programs and permitting processes. Now, ASOCOSAKAWA:

- Leads implementation of the MAGAP Commercial Reforestation Program on over 50 ha;
- Monitors land use and legal compliance under the community Control and Surveillance system, in the 5,056 ha community of Wamani;
- Prepared program dossiers for Wamani to restore over 200 ha under the SB Passive Regeneration Program;
- Signed its first government contract, for \$3,000 USD with the Municipality of Archidona, to restore 600 ha of degraded lands; and
- Actively promotes its service offering in regional trade fairs.

ASOCOSOKAWA is an example for Kichwa youth in other communities of the potential for young leaders to transform their community and future natural resource management. Members actively participate in FOIN meetings (Indigenous Federations of Napo – a sub-branch of COICA), and one of the local leaders has voiced interest in running for FOIN’s presidency.

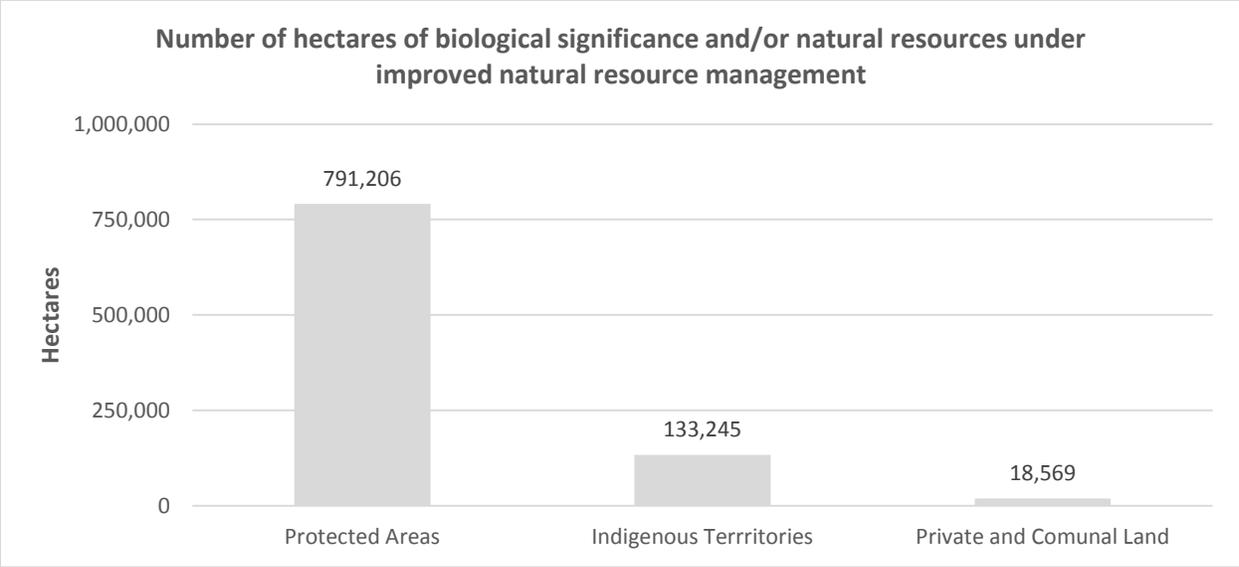
6.1.4 PRIVATE AND COMMUNAL LAND

NOTE: Description of results under private and communal land are captured with reference to Brazil Nut management in MDD concession areas and coffee and cocoa farm management in Cusco

6.1.5 INDICATORS 1 and 2

Through the achievements described above and application of SL’s integrated approach to strengthening local actors to improve their landscape-scale planning, environmental governance and market-based sustainable livelihoods activities, natural resource management improved across 943,020 ha (see Figure 2).

Figure 2: Indicator 1 – Over 940,000 hectares of biological significance and/or natural resources under improved natural resource management as a result of USG assistance



Note that Indicator 2 was not applicable for the SL project.

6.2 IR2 - KEY ELEMENTS OF NATURAL RESOURCES GOVERNANCE FUNCTIONING IN CRITICAL LANDSCAPES

6.2.1 LAND TITLING AND TENURE

LAND TITLING AND FORMALIZATION OF RIGHTS OF USE & FACILITATION OF CONFLICT RESOLUTION PROCESS

MDD: Land tenure and rights of use clarified for 4 MDD NCs, consolidating basis for legal, sustainable land management.

NC territorial management and sustainable natural resource management requires secured land tenure and rights of use, yet many NCs in MDD, including Infierno, Palma Real, Sonene, Tres Islas and San Jacinto, lacked this security, leading to systemic conflicts amongst NCs and the state on boundary delineation, use rights and effective enforcement of the law facing illegal settlement and timber extraction.

To address this and create enabling conditions required for sustainable NR planning, governance and livelihoods alternatives in NCs, SL collaborated with SERNANP, GOREMAD, FENAMAD, SUNARP (Superintendencia Nacional de los Registros Públicos), the RNTAMB, the People’s Defense and Regional Directorate of Land Tenure, and the NCs to resolve tenure and use rights issues. Over 25 workshops were held, 2 PLARS developed, and a collection of technical work products completed. The results of this work are summarized in Table 1 below.

Table 1: SL results and impacts in clarifying land use tenure and use rights in NCs

Summary of conflict	Results	Impacts
RNTAMB and Infierno NC: When designated in 2000, nearly 1,000 ha of RNTAMP overlapped with the ancestral lands of Infierno.	<ul style="list-style-type: none"> • Agreement established between Infierno and RNTAMP to redefine boundary limits and rights of use. • Updated Infierno land title on file with SUNARP. 	<ul style="list-style-type: none"> • Territorial rights of Infierno recognized by RNTAMP. • Infierno can carry out community tourism on these lands and thus benefit economically.

<p><i>PR and Sonene NCs, and RNTAMB:</i> Unclear boundaries between NCs and RNTAMP leading to confusion and conflicts regarding NC rights to harvest wood or Brazil nut.</p>	<ul style="list-style-type: none"> • Participatory revision of maps. • Boundary delineation, including signage and corresponding awareness raising events. • Agreement with new territorial limits established with Sonene and PR. 	<ul style="list-style-type: none"> • No further conflicts have been reported. • Enhanced collaboration between RNTAMP and native communities.
<p><i>PR and GOREMAD:</i> PR's historic claims to culturally important lands had gone unrecognized by local government.</p>	<ul style="list-style-type: none"> • Technical dossier completed (includes georeferentiation, socioeconomic analysis, and other required documents) and presented to GOREMAD. 	<ul style="list-style-type: none"> • Pending government approval, the expanded PR tenure would ensure the community's use of lands for agriculture and a community cemetery.
<p><i>TI and San Jacinto NCs:</i> 30-year conflict due to disputed boundaries between neighboring communities – each community has legal title to the same area.</p>	<ul style="list-style-type: none"> • Conflict resolution roundtable established with FENAMAD and others. • Field inspection and new boundary delineation proposal developed. • New boundaries approved in both community assemblies. • Signage and delineation in field completed. 	<ul style="list-style-type: none"> • No further conflicts have been reported.

As a result of these advances, 4 NCs and the RNTAMB clarified land tenure and use rights on their lands, in several cases resolving entrenched boundary conflicts of over 30 years. This clarity represents an important enabling condition required for NCs and local authorities to sustainably manage and better govern their territories.

Napo: 4 Kichwa communities clarified territorial boundaries, improved internal governance and prepared to secure land tenure with government.

Securing land title in Amazon indigenous communities is a process fraught with overlapping land-use rights, superposition of government lands atop traditional indigenous territories, and complex and unclear bureaucratic procedures. In Napo, the Gran Sumaco project, implemented prior to SL, had attempted unsuccessfully to secure land title for HS communities. Yet land title remained as a critical prerequisite to legal, sustainable management activities.

In the communities of Challwayaku, VS, WS and JS, SL facilitated a participatory process of clarifying community boundaries and preparing these communities to secure legal title for their lands from MAE. As part of this process, SL facilitated 4 workshops with the communities of Challwayaku, VS and JS, resulting in these communities signing mutual agreements to clarify prior overlapping land claims. Building on this, in October 2014, SL and the communities completed and submitted 4 technical dossiers to MAE for approval, and provided continuous follow up to clarify inquiries, update certain documents and secure approvals from provincial authorities. As part of the process, each community developed land-use zoning guidelines, community regulations, statutes and other zoning, planning and governance documents. Guided by their vision to promote sustainable natural resource management, 3 statutes were developed and 4 internal regulations governing the administration, use and harvesting of natural resources were proposed and approved in community assemblies. While the communities have not yet received formal title due to delays in government processing, they are well advanced and approval is anticipated. Access to land title is fundamental for communities to legally harvest and sell timber and other natural resources, as well as access government incentives programs such as SocioBosque and the MAGAP Commercial Reforestation Program – programs prioritized in the HS PDOT and in community integrated management plans.

6.2.2 INDIGENOUS RIGHTS

DEVELOPMENT OF LIFE PLANS

MDD: Strengthened community planning and governance tools contribute to sustainable land management, effective territorial enforcement, and enhanced governance in 5 NCs.

Many NCs still govern themselves by internal plans, statutes and regulations imposed by outside parties and later generalized for use across the Amazon in the 1970s and 1980s. As a result, these internal planning and governance documents create more internal problems than they solve. They often do not respond to local realities, especially with respect to collective resource use rights. Such rights are of growing importance as NCs become integrated within market-based economies.

To ensure that NC life plans and self-governance tools respond to local realities and lay the foundation for integrated, sustainable natural resource management, SL worked hand-in-hand with 5 NCs (BP, Infierno, PA, PR, Sonene) to complete a socioeconomic and environmental diagnostic. NCs used the diagnostics as a basis to collectively define new life plans, community statutes and regulations, and organizational structures (i.e., clarified composition of boards of directors, establishment of ‘production committees’ to manage different timber and NTFPs, etc.). In total, over 70 workshops were held in the 5 communities and 19 technical products developed. SL trained community participants on technical and socio-organizational topics; the participants debated rights and responsibilities and arrived at agreements on how to govern themselves and their territories. These agreements were codified in community approvals of 8 planning and governance documents. In addition, 4 NCs (PR, Sonene, Infierno, TI) developed and implemented self-governance improvement plans.

Impacts of improving NC planning and governance: Halting illegal timber extraction.

In August 2015, the TI timber committee successfully stopped the illegal extraction of 1,200 board feet of *shihuahuaco* by external parties. This achievement is the result of SL’s work with TI to establish the timber committee with its statutes and regulations, integrate it within the TI Life Plan and promote coordination with its board of directors, and conduct continuous training of committee members, including on the use of monitoring equipment. This denouncement evidences that community members are putting into practice their plans and communal regulations, demonstrating their ability to organize and regulate their legal, responsible timber harvesting into the future.

These community-led planning and governance tools have significantly enhanced governance within NCs: they lay the foundation for successful communal zoning, management planning, harvesting and value-added processing activities, and establish the organizational structures required for sustainable community production activities and effective self-governance to occur into the future.

STRENGTHENING INDIGENOUS LEADERS & FACILITATING ACCESS TO LEGAL SERVICES

Sucumbíos: For the first time, Kichwa communities and government agree to regulations governing fishery resource rights in the LBR.

SL catalyzed transparent, open dialogue between local authorities and the Kichwa Association of Limoncocha (ASOKIL) to resolve issues of chronic overfishing, increasing water contamination and growing resource conflicts between protected area authorities, the tourism sector, and native communities in the LBR. Through a participatory process including inputs and revisions of 66 individuals, ASOKIL and park authorities debated, co-developed and approved the *Sustainable Fishing Code of Conduct for the LBR*, which establishes rules to govern use of fishery resources and includes regulations on, i.e. fishing schedules

and sustainable fishing practices (e.g., prohibition of the use of nets), among others that contribute to the sustainable management of the LBR's fishery resources.

STRENGTHENING INDIGENOUS LEADERS & STRENGTHENING INDIGENOUS GOVERNANCE

Napo: Board and Community Leaders strengthened administrative and management skills to better govern HS.

In the newly formed HS Parish, Board and community leaders lacked understanding of the roles and responsibilities of their leadership positions, resulting in lack of compliance with procedures for managing community assemblies, insufficient oversight of compliance with community statutes and regulations, and other procedures for accessing government funding to implement their PDOT. Building on 3 diagnostics to evaluate training, organizational and administrative priorities amongst HS leadership, SL delivered a 6-module training course to 5 HS board members and 32 leaders of the 7 HS communities on issues fundamental to effective board functioning and community management, including: institutional and legal framework under the code of autonomous decentralized territorial organizations; budget management; public procurement; strategic management; territorial development plans; and project development in accordance with SENPLADES guidelines.

The training has already served to enhance local leadership capacities and improve parish governance, evidenced by:

- Current board leaders identified deficiencies in parish administration and developed an action plan to resolve these;
- Members of the parish board have contracted services using appropriate procurement policies; and
- HS leaders who completed the course have confirmed their intent to run as candidates in upcoming community leadership election cycles, diversifying the pool of local leaders.

6.2.3 FORESTRY AND FAUNA LEGISLATION

STRENGTHENING OF GOVERNMENT INSTITUTIONS AND CIVIL SOCIETY FOR THE DEVELOPMENT OF POLICIES

MDD: Regulations for palm fruit management approved; applicable across the Peruvian Amazon (est: 5 million ha).

The forests of native communities in the MDD region are heavily degraded. High-value timber has been logged unsustainably, so non-timber forest products such as fruits from palm trees offer an opportunity for local residents to diversify their income without clearing forests. However, at project outset, no legal regulations existed to guide the development of, and approve, forestry management plans for palm trees. Without such regulations producers were unable to market their products legally and thus gain better prices; secure loans for production and processing; or further add value to their forests through diversifying production.

To address this critical gap, SL delivered 19 trainings to key stakeholders, developed 6 technical documents and awareness-raising products, and facilitated development of 2 PLARs to establish the regulation. In collaboration with other partners, SL supported the Regional Forestry and Wildlife Resource Management Program of Loreto and the Madre de Dios Regional Forestry and Wildlife Agency, in the process of designing, consulting and validating the regulation. SL carried out a participatory process to include stakeholders' recommendations, a key component of regulation development. The *Sustainable Practices Manual – Gathering palm fruits with artisanal climbers*, prepared together with the native community of Tres Islas, and phenological information on *aguaje* and *ungurahui* palms provided the technical foundation required to ensure that sustainability criteria were included in the regulations, providing a holistic approach to palm forest management.

In April 2014, Ministerial Resolution No. 162-2014-MINAGRI was approved, creating the legal framework required to prepare Forestry Management Plans to utilize palm trees such as *aguaje*, *ungurahui*, *irapay*, *yarina*, *chambira*, *huasai*, *pona*, and others. Now, over 400 people in four MDD NCs are harvesting palm fruits legally and sustainably. Across MDD, over 100 applications from local land managers for approval of palm fruit forest management plans are being processed. The regulations enhance the economic potential of over 130,000 ha of MDD palm fruit forests, and are applicable nationwide¹².

Cusco: Fire management ordinances approved, conserving ecosystems and upscaling BMPs across over 1.9 million hectares.

In coffee and cocoa production landscapes around the SNM, it was common practice during the dry season to expand production area by burning forestlands and lands under natural regeneration. This destroys critical ecosystems and contributes to landscape fragmentation; reduces soil fertility and degrades soils; and – based on analyses conducted by SL – is a primary source of GHG emissions in coffee and cocoa production in the region. Compounding these problems, while producers often attempted to implement controlled burns, due to poor management and strong winds, these often became uncontrolled fires that would consume broader swaths of the landscape, destroying the lands of neighboring farmers.

To transform the approach to fire management in the region, SL produced 5 technical analyses and awareness raising documents, including local ‘Fire Prevention and Control Plans’ and carried out 6 related trainings to local stakeholders from producers to municipal authorities. Leveraging SL’s relationships with producer associations and companies and the convening power of the Coffee and Cocoa Technical Roundtable, SL conducted events in the population centers of San Martin, Ivochote, Lacco Yavero, and Estrella and with the municipalities of Echarati, Santa Ana and the province of La Convencion.

4 ordinances which integrate the BMPs and recommendations from the Fire Prevention and Control Plans have now been developed and approved, two at the town level (Estrella and Ivochote), and two at the Municipal district level, Santa Ana y Echarati, covering over 1.9 million ha. These legally binding local regulations include mandatory provisions that must be complied with for future coffee and cocoa production activities undertaken in the region. As a result, it is expected that in the coming years, across 1.9 million ha, reductions will be achieved in fire frequency and intensity in the region, with corresponding reductions in forest cover loss and land-use change. Beyond the Cusco region, the plans and local ordinances serve as reference points for the development of strategies and policies for low-emissions, sustainable coffee and cocoa production.

Napo: For the first time, Indigenous Amazon Community Implements MAGAP Commercial Reforestation Incentives Program.

Although one of its program objectives was to provide economic opportunities for indigenous communities, technical and administrative aspects of the MAGAP Commercial Reforestation Program (an incentives program that provides 100% up-front financing to communities to establish forest plantations) limited its probability of successful implementation in the Amazon and prevented the Kichwa community of Wamani from participating.

Together with MAGAP and the community of Wamani, SL adapted the technical guidelines for MAGAP program implementation to respond to the sociocultural, economic and environmental realities of the Wamani community. Locally-viable native tree species were identified and planted in an integrated, low-density *taungya* agroforestry system to promote restoration of degraded lands and reduce community labor requirements. Moreover, as the program requires external technical assistance yet there are few

¹² For more information, please see: “*Normativa legal para el aprovechamiento sostenible del bosque*”, available at: <http://www.rainforest-alliance.org/es/publications/tdr-caso-exito>

organizations qualified in the Amazon to do so, SL supported the State University of the Amazon (UEA) to achieve its registration as a forestry operator. The UEA worked hand in hand with ASOCOSAKAWA to plant 6,000 saplings in 10 pilot hectares and prepare an additional 50 ha to access the program. To date, approximately 75% of the planted saplings have survived – indicative of the sound planting design, the technical capacities of ASOCOSAKAWA as well as opportunities for learning and improvement in subsequent plantings.

SL delivered 9 trainings throughout this process in addition to providing ongoing technical support. The model demonstrated by the Wamani community opens the door for other Kichwa communities in the Andean Amazon to participate in the MAGAP Program¹³.

6.3 IR3 – INCREASED CAPACITY TO PES-LIKE AND OTHER ECONOMIC INCENTIVES

6.3.1 PES HYDROLOGICAL AND REDUCTION OF EMISSIONS FROM DEFORESATION AND DEGRADATION -REDD

TECHNICAL/INSTITUTIONAL STRENGTHENING FOR THE DESIGN/IMPLEMENTATION OF ECOSYSTEM INCENTIVES

MDD: NCs access REDD+ finance as seed capital for sustainable forestry.

Access to finance is critical to implementing sustainable forest management in impoverished native communities. Emerging incentives from Peru's national REDD+ program offers new opportunities to channel resources to native communities, yet technical and administrative capacities of NCs and local organizations must be built to access and manage these.

To capitalize on additional incentives to keep forests standing, provide finance flows to consolidate diversified production activities in MDD's native communities, and build local capacities, SL coordinated with MINAM's PNCB program, FENAMAD, AFIMAD and local NGOs to prepare the NCs of PA, PR, Sonene, BP, and Infierno to the PNCB's new forest conservation incentives program. These communities' participation in the program was not originally envisioned; to ensure their eligibility, SL connected the communities to MINAM representatives; facilitated the systematization of information and documentation from the communities; created discussion spaces for community, government and NGO representatives to analyze the opportunities to include Tambopata as an eligible region; and helped the communities prepare dossiers for submission.

To date, PR and Sonene have been accepted and Infierno's application is pending approval. These communities will receive roughly 3 USD/ha/yr for land area conserved, representing an approximate total of 68,000 USD/yr across the 22,790 hectares they've inscribed under the program. This represents a significant new income stream that – as per PNCB specifications – will be re-invested in community enterprise development. Accessing this incentive enables NCs to consolidate and enhance the sustainability of their production and value-added processing of Brazil nut, timber, palm fruits and *tamshi*. AFIMAD, FENAMAD and native community leadership actively engaged in the application process and completed required support materials, and are better prepared to take a leadership role in program monitoring and ensuring compliance in the future.

¹³ For additional information, see: “*De lo nacional a lo local: Comunidad kichwa Wamani accede a un programa de incentivos económicos para conservar el bosque*”: http://www.rainforest-alliance.org/sites/default/files/publication/pdf/MAGAP_VERSION_FINAL-ENERO%2028.pdf

TECHNICAL/INSTITUTIONAL STRENGTHENING FOR THE DESIGN/IMPLEMENTATION OF ECOSYSTEM INCENTIVES

Napo: 6 Kichwa communities prepared to access incentives for forest conservation, restoration, reforestation and sustainable forest management (SFM).

As described in Table 2, 6 HS parish communities are in different stages of receiving payments for their integrated, sustainable land management activities, with the community of Wamani serving as the most advanced model for implementation of HS Parish community integrated management plans.

Table 2: Forest conservation, restoration and reforestation incentives in HS

Community	SocioBosque – Conservation		SocioBosque - Restoration		MAGAP Commercial Reforestation Program		Legal SFM	
	Area (ha)	Approx Income (USD/yr)	Area (ha)	Approx Income (USD/yr)	Area (ha)	Approx Income (USD/yr)	Est Area (ha)	Approx Income (USD/yr)
Wamani	1,285	22,485	200	9,100	50	70,000	1,500	2,780
Pucuno Chico	556	13,031	Approximately 5,200 ha with forest management plans developed.					
Challwayaku	467	11,577						
VS	281	7,501						
WS	424	10,639						
JS	695	14,838						

- **Conservation:** The Wamani and PC communities are already receiving SB incentives and apply revenues from their investment plan to support sustainable production and control and vigilance activities, amongst others. Wamani used funds to pay for ASOCOSAKAWA’s monitoring work, for example. While the other four communities await their land titles – a requirement to access SB – they have prepared program documents and approved areas to be included under the SB program in community assemblies.
- **Restoration:** The Wamani pilot is one of the first in the Napo province and it serves as another example of how HS communities can benefit from government incentive programs, and build motivation and local knowledge for replication in other communities.
- **Reforestation:** 50 hectares piloted in the community of Wamani, as described elsewhere in this report.
- **SFM:** for the first time a Wamani community member sold timber under a legal harvesting license and with community authorization: Manuel Shiguango sold 13.73 cubic meters of coco for a total of 2,780.26 USD, to INDUMAD. This is approximately three times the price usually paid to HS community members for similar volumes, and is the result of the legal sales and identification of a buyer interested in supporting sustainable, legal timber production. This success demonstrates to the community that forest harvesting in compliance with legal requirements can result in legal sales that secure a better price while reducing timber extraction rates. Legal, sustainable timber harvesting is now being promoted under forest management plans across nearly 7,700 ha of HS’s 7 communities.

Access to these economic incentives was possible due to achievements in planning and governance, and contributes to forest conservation and restoration, habitat connectivity, carbon stock enhancement and other ecosystem services. Lessons learned as a result of this experience include:

- Strengthen relationships with technical representatives in government agencies to facilitate securing required document approvals, as management positions change constantly.
- Some incentive programs, like MAGAP, require adaptation to account for local conditions
- Critical bottlenecks for indigenous communities to access these programs include a lack of secure land title and overly complex and technical application requirements
- Recommendations to improve access to incentive programs include: i) simplify application processes to authorize provincial authorities to approve without sending to national authorities and ii) build

local capacities from the outset (i.e., in the UEA and ASOCOSAKAWA) to manage administrative processes, to promote sustainability and ongoing compliance with incentives programs.

6.3.2 SUSTAINABLE LIVELIHOODS

DEVELOPING PRODUCTION CHAINS & FACILITATING ACCESS TO DIFFERENTIATED MARKETS

MDD: Over 1.5 million USD in Brazil nut sold through preferential contracts.

The Brazil nut is one of the world's most widely consumed non-timber forest products (NTFP). Nearly 15,000 people – about 12.5% of MDD's population – are directly employed by the Brazil nut industry. Yet, to capitalize on the potential of Brazil nut harvesting to transform local livelihoods, it is critical to take a market-based approach that promotes sustainable land use practices, improvements in production and quality, and preferential contracts with buyers to improve local incomes, thereby increasing access to necessary capital for harvesting and processing improvements and further enhance the business case for Brazil nut production vis-à-vis unsustainable economic activities.

As part of implementation of its integrated model for diversified, sustainable land management in Amazon native communities¹⁴, SL delivered technical assistance and organizational strengthening to AFIMAD, ASCART and RONAP on this market-based approach. As a result, these organizations achieved sales of more than 1,500,000 USD in Brazil nut to the local businesses of CANDELA, CANDOR and La Nuez from the 2012-2015 period. In addition to increased sales volumes, AFIMAD NCs further enhanced their bottom-line by: a) improving contract terms with CANDELA for these sales, increasing the premium paid for Organic certification by 50% against the prior year's prices (an increase from 1 sol to 1.50 soles), and b) reducing transport costs 5 soles per sack, representing a cumulative cost-savings of roughly 5,000 USD to AFIMAD NCs. Improved contractual terms in particular may have a significant positive impact on enhancing the long-term economic viability and sustainability of Brazil nut production at the landscape-level: these terms are now being taken as a point of reference for how to enhance equality and economic benefits to native communities, for other Brazil nut producing organizations throughout the Tambopata District.

FACILITATING ACCESS TO PROGRAMS AND FINANCING SOURCES

MDD: For the first time, native communities repay 100% of production credit. Access over 900,000 USD in credit.

As noted elsewhere in this report, access to finance is critical to implementing sustainable forest management in impoverished native communities. Yet, due to a lack of government and company confidence, lack of 'traditional' assets that can be used as collateral, limited familiarity with credit and loan systems and complicated bureaucratic procedures, it is rare for native communities to access required funds. As a result, they are forced to secure credit from informal intermediaries on very unfavorable terms, jeopardizing their ability to earn a living from their forests.

As part of implementation of its integrated model, SL engaged with AGROBANCO and provided continuous technical assistance to demonstrate that – when enterprise capacities are developed and credit packages are customized to fit local realities – NCs can be just as bankable as any other customer.

¹⁴ For more details on this model, see these communications materials: 1) webinar (English): <http://www.rainforest-alliance.org/multimedia/icaa-andean-amazon-webinar-nov15>; 2) model systematization (Spanish): <http://www.rainforest-alliance.org/es/publications/manejo-integral-baja-resolucion>

For the first time in Peru, native communities accessed AGROBANCO credit for Brazil nut activities and repaid 100% of their debt. In January 2015, roughly 86 Brazil nut producers from 4 AFIMAD member communities accessed 46,000 USD in credit at a 7% interest rate/semester: by July it was fully repaid. As part of this process, AGROBANCO adapted the requirements of its credit package, opening credit lines on shorter timelines to meet requirements of MDD NCs. As a result of this successful experience, AGROBANCO is willing to repeat their credit and finance the upcoming 2016 harvest.

NC access to finance was further strengthened through other loan and credit programs:

- AGROBANCO provided 45,270 USD in credit from its Program 14 financial package to two NCs for sustainable forest management; and
- ASCART secured a 113,000 USD loan to cover 2014 Brazil nut harvesting costs, which has been successfully repaid.

Table 3: Reimbursable credit secured by NCs

Beneficiary	2013 (USD)	2014 (USD)	2015 (USD)	2016 projection (USD)	Total (USD)
ASCART	48,148	114,401	113,542	136,364	517,725
AFIMAD			45,270	60,000	

Over time, local associations and their NC bases have accessed more credit (Table 3). These trends and recent experiences demonstrate that NCs and local producer associations are building a culture of credit repayment previously absent in NCs, can use financing responsibly, and warrant access to future credit lines. In total, roughly 300 members of NCs directly benefitted from access to roughly 900,000 USD in reimbursable and non-reimbursable credit over the life of the project. The new credit products developed by AGROBANCO – with SL support – for native communities have created more favorable conditions for NCs to access finance across the entire Peruvian Amazon.

PROMOTING BETTER PRACTICES FOR MANAGEMENT OF NATURAL RESOURCES

MDD: Tres Islas completed first-ever sales of value-added timber products, establishing viability of new income stream from responsible forest management.

MDD's forests are severely degraded; most high-value merchantable timber species have been illegally extracted in previous years. Moreover, illegal timber harvesting remains an easier alternative for making a quick buck than legal sales. These and other factors caused few native communities in MDD to pursue legal, sustainable timber harvesting as a legitimate economic alternative. Yet, as part of an integrated approach to landscape-scale planning, sustainable harvesting, value-added processing, access to finance and differentiated markets, sustainable timber harvesting can significantly improve local incomes while conserving forest resources.

SL strengthened the administrative, organizational and technical skills of over 130 members of AFIMAD to promote sustainable forest harvesting, extraction, value added processing and legal timber sales under preferential contracts. With local leaders, SL established timber production committees in the communities of BP, PA, TI, Infierno, Sonene, PR. Through delivering over 150 workshops SL trained committee and community members on silvicultural BMPs such as liana cutting, directional felling and reforestation; value-added processing BMPs; and on marketing and enterprise development. As a result, TI completed their first-ever sales of value-added timber products and have since consolidated timber as an important contributor to their community economy: TI to date has sold over 19,000 USD in slatboards (*tabillas*) and other products, increasing their timber incomes by nearly 400% and are now selling timber in compliance with their approved management plans. Each subsequent sale reinforces to NCs the potential of sustainable timber harvesting and value added processing to enhance economic incomes while reducing timber extraction volume: whereas previously the community cut 8 trees to cover its needs, now it can cut 1/3 as much and earn the same – if not a better – income. NCs are showing that their communities can earn more while reducing pressures on their forests.

PROMOTING BETTER PRACTICES FOR MANAGEMENT OF NATURAL RESOURCES

Cusco: Over 100 coffee and cocoa farms build climate resiliency, reduce deforestation, promote ecosystem restoration and healthy home environments.

Land clearance for smallholder coffee and cocoa expansion is a primary deforestation driver across Peru, as well as in the buffer zone of the Megantoni National Sanctuary. In this mosaic production landscape, unsustainable coffee production practices, a lack of integrated farm planning and diversified production techniques, mismanagement of waste, and growing fluctuations in climate conditions threatened the farm economy and quality of life, and caused mosaic deforestation.

To address these threats to the sanctuary and local communities, SL implemented a climate-smart agricultural model. In eight model farms, soil analyses were completed and integrated land-use plans developed, to guide implementation of the climate-smart agricultural approach. SL and partners provided continuous technical assistance to spur implementation of BMPs, including: forest conservation; application of kudzu to restore and protect soils; establishment of live fences; implementation of improved wastewater treatment systems and other new technologies that build adaptive capacity to climate change, reduce emissions, prevent deforestation and enhance carbon stocks.

To promote replication, model farms served as local ‘learning laboratories’: sites of workshops and learning exchange with other participating producers. SL delivered 18 such workshops, training over 300 producers on climate change adaptation and mitigation practices consistent with the Sustainable Agriculture Network (SAN) Climate Module. At project close, 100 farms covering roughly 1,600 ha had complied with over 90% of the criteria established in the SAN Climate Module¹⁵ and at least 80 had established improved wastewater treatment systems¹⁶. Improved wastewater treatment systems, together with application of micro-efficient organisms to improve solid waste management, reduce emissions while also improving family health and quality of life. Through delivery of an additional 17 workshops on improved waste management, over 100 producers have implemented BMPs to reduce the presence of mosquitos and the accompanying risk of malaria, dengue, zika and yellow fever; odors from fecal matter; and health problems resulting from improper waste management.

SL promoted this approach at the landscape scale through the Technical Roundtable for Coffee and Cocoa, and – through engagement with SERFOR, the coffee industry, the Directorate of Agrarian Policy and other actors – it is increasingly considered as part of the technical design of Peru’s coffee NAMA (Nationally Appropriate Mitigation Action), offering opportunities to replicate lessons learned and successes in Cusco across all of Peru’s coffee production regions.

STRENGTHENING TECHNICAL CAPACITY AND ORGANIZATION OF PRODUCER GROUPS AND CIVIL SOCIETY / PROMOTING BETTER PRACTICES FOR MANAGING NR / FACILITATING ACCESS TO PROGRAMS AND FINANCE / DEVELOPING PRODUCTION CHAINS

Napo: A new model for naranjilla production established at the regional, parish and producer level through a strengthened roundtable, formation of ASOPROBISUM, and 7 sustainable demonstration pilots.

Informal naranjilla production was the primary income source for Kichwa communities in the HS parish and the primary driver of deforestation locally. Lack of access to legal markets and organized production made producers dependent upon informal intermediaries. These intermediaries advanced to HS producers dangerous quantities of highly toxic, red-listed pesticides to stimulate short term production increases and then discounted the cost of these pesticides from their subsequent naranjilla purchases. Business-as-usual

¹⁵ A voluntary add-on to the SAN standard that verifies producer compliance with climate change adaptation and mitigation BMPs.

¹⁶ Compliance data comes from independent external verifications.

naranjilla production thus exhausted soils, driving forest clearance; kept producers entrenched in a cycle of poverty; and adversely impacted public health - with high levels of residual pesticides in local ecosystems linked to suicides and illness.

As described below, SL engaged all actors to work in concert and begin transform naranjilla production to tackle the drivers of unsustainable production at the regional, parish and producer level.

Regional Naranjilla Roundtable aligned agendas of stakeholders and resolved coordination, financing and regulatory challenges:

- SL facilitated the Naranjilla Roundtable and coordinated the development of its strategic plan, the overarching goal of which was to drive a transition towards clean naranjilla production in the region and specifically within the parish of HS, and establish and support a formal producer association to promote clean, legal naranjilla production. To advance roundtable members towards these goals, SL facilitated development of 2014 and 2015 annual operating plans, and provided follow up to ensure that each of the 10+ roundtable members – including the Ministry of Public Health, AGROCALIDAD, State University of the Amazon, MAE, MAGAP, and Napo Provincial Government – met their commitments.
- Over the life of the project, the roundtable was instrumental in establishing a naranjilla producer association (ASOPROBISUM) and providing technical support, coordination and resources necessary to establish clean naranjilla demonstration pilots.
- Consistent with its strategic plan, with SL facilitation, members of the Naranjilla Roundtable secured approval of an initial amount of 120,000 USD from the Provincial Government of Napo to establish a pulp processing plant in Wamani College, located within the community of Wamani. The plant will be completed in coming years; its installation should greatly enhance local revenues and economic alternatives by enabling ASOPROBISUM to produce its own pulp, achieve higher prices per unit and access differentiated markets.
- To further institutionalize implementation and monitoring of naranjilla BMPs and ensure cross-sectoral collaboration to promote clean-naranjilla production, members signed an agreement to continue roundtable activities at least through September 2016, including BMP monitoring. This commitment helps ensure continuous improvements in clean naranjilla production processes. It also builds on SL work in FY15 to further consolidate and strengthen the roundtable by facilitating a transition to MAGAP leadership. In addition, a new four-year GEF-funded project in HS project has agreed to assume technical coordination responsibilities for the roundtable.

ASOPROBISUM legally registered, organized & coordinates clean naranjilla production in HS Parish:

- To enhance production, organization and market-access for clean naranjilla, SL facilitated the legal constitution of and provided technical assistance to **ASOPROBISUM**. ASOPROBISUM established a long-term vision and strategic plan; internal organization structure and defined roles and responsibilities; value chain analysis for competitive positioning; business plan and an agreement with a major naranjilla buyer, PROFOODs, to sell clean naranjilla.
- To strengthen business and marketing skills for over 130 HS Kichwa community members, SL delivered trainings on a series of basic business skills to build the capacities of ASOPROBISUM members to implement their strategic and business plans and begin to implement priority activities. Trainings prioritized enhancing understanding of agriculture as a business; demonstrating how to keep basic inventories of materials, productivity and input usage records and formal documentation of economic and social business processes to enhance productivity.
- To further advance the Naranjilla Roundtable's strategic plan and recommendations in ASOPROBISUM's business plan, the State University of the Amazon and naranjilla pilot farmers initiated the process to establish a unique brand and product attributes with the Ecuadorian Institute of

Intellectual Property (IEPI). Once achieved, this recognition will enable ASOPROBISUM to sell differentiated products under a special label similar to a mark-of-origin.

7 clean naranjilla pilot farms established as centers of learning, replication and documented success

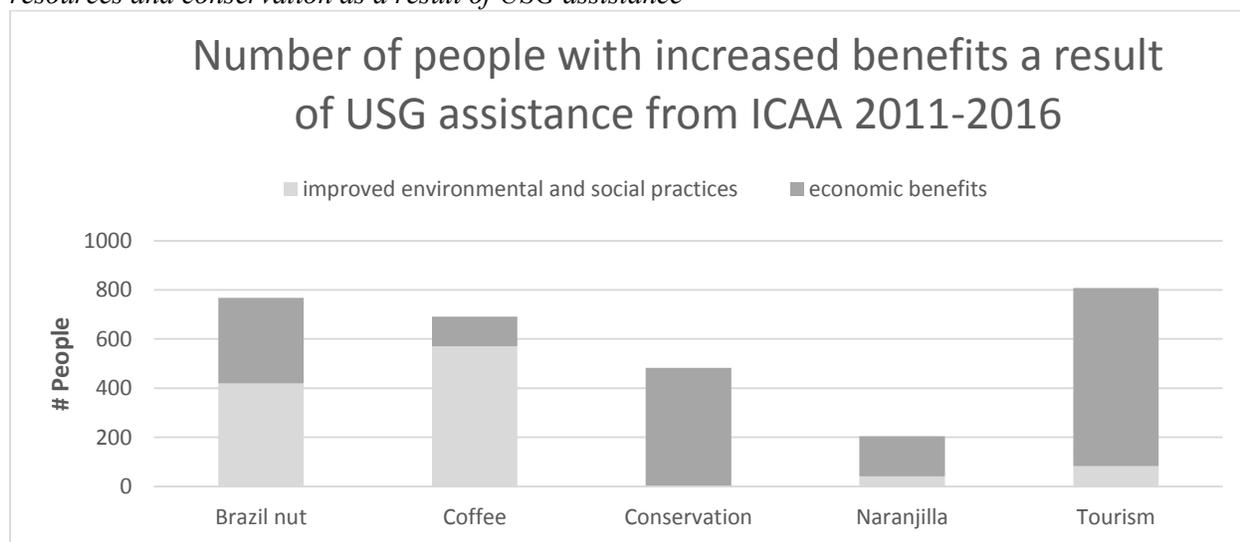
- SL established agreements with 7 HS Kichwa producers to promote clean naranjilla production, avoid deforestation and serve as centers of learning. Building on these, the project completed participatory land-use planning to identify appropriate sites for naranjilla production, completed soil analyses and established implementation plans to guide pilot farm establishment for each producer.
- To consolidate the application of sustainable agroforestry and clean naranjilla BMPs, SL completed over 10 manuals, posters and guidance materials, and delivered continuous trainings. To evaluate the efficacy of this approach, in August, 2015 SL completed an evaluation of implementation of BMPs based on the Sustainable Agriculture Network (SAN) Standards. The 7 pilot farms showed significant improvement from the initial diagnostics completed in 2014: producers are now implementing 81.3% of SAN principles and criteria, more than doubling their initial compliance of 35%. The highest performance was achieved on principles of ecosystem conservation; water conservation; and soil conservation and management – demonstrative of achievements producers have made to take a whole-farm approach to their naranjilla management and to mitigate environmental impacts. The evaluation also documented a significant reduction in production costs through application of BMPs; expenses were on average 60% lower. The results of the evaluation indicate a high degree of adoption of BMPs and significant positive impacts on farmers' bottom-lines; it's hoped that news of these cost-savings will catalyze replication of these BMPs among more HS naranjilla producers.

In total, over 75 trainings have been delivered to the Naranjilla Roundtable and ASOPROBISUM members, ASOPROBISUM and other HS naranjilla producers ranging from business planning to BMP implementation. Over 20 products have been developed, ranging from training materials, to land-use and business plans, to BMP monitoring reports. In pilot plots and through the regional roundtable, producers continue to show their neighbors and government actors how implement clean naranjilla that reduces costs, increases productivity, uses IPM rather than harmful agrochemicals, conserves forests and restores degraded lands.

6.3.3 INDICATORS 3, 4 and 5.

SL implemented a combination of activities to improve economic benefits, from access to government programs, preferential sales contracts and other market-based incentives. These status of these activities at project close is summarized in Annex 6.

Figure 3: Indicator 3 – 3,156 people with increased economic benefits derived from sustainable natural resources and conservation as a result of USG assistance



As described in Figure 3, SL increased economic benefits through 6 activities:

Responsible Brazil nut:

- 419 NC members benefitted directly and indirectly from implementing BMPs and achieving FT and Organic certifications, resulting in 3 preferential sales contracts (Indicator 4) delivering additional benefits to these Brazil nut producers, impacting a total of 68,685 ha (Indicator 5).
- 348 NC members benefitted directly and indirectly from improvements in NCs and producer associations administrative and business management skills for Brazil nut production, which resulted in receipt of 2 AGROBANCO credits (indicator 4) for the harvesting season.

Sustainable Coffee:

- 75 coffee producers and their families with direct and indirect benefits from implementing BMPs, resulting in Organic certification for Cooperativa Agraria Cafetalera Chaco Huayanay and thus with additional economic incentives (Indicator 4) for their coffee producers, covering 104.5 ha (Indicator 5).
- 496 coffee producers and their families with direct and indirect benefits from implementation of BMPs to reduce costs and increase productivity, resulting in economic benefits.
- 120 coffee producers and their families with direct and indirect benefits due to BMP implementation and SL training, leading to credits from AGROBANCO.

Conservation Incentives (Ecuador):

- 482 HS community members in 6 HS communities (Indicator 4) benefitted directly or indirectly from participation in the following programs:

- Applying for or renewing participation in the SocioBosque-Conservation Program, with 2 communities (Wamani, Pucuno Chico) receiving economic benefits (Indicator 3), covering 1,840 ha (Indicator 5).
- Two additional incentives were applied in Wamani (Indicator 4): The MAGAP commercial reforestation program, in a pilot area of 52 ha (Indicator 5), and the SocioBosque-Restoration program.
- 204 MDD NC community members in PR and Sonene communities (Indicator 4) benefitted directly and indirectly through acceptance into the Forest Conservation Incentives Program.

Clean Naranjilla:

- 41 Kichwa pilot farmers and their families benefitted directly and indirectly through cost-savings secured from implementing BMPs.
- 163 naranjilla producers and family members of ASOPROBISUM benefitted from financial support from receipt of small grants program investment.

Sustainable community tourism:

- 726 indigenous community members benefitted directly and indirectly from improved business management skills and technical capacities, securing access to credit, increased pay and new jobs. Additionally, native guides were trained by SL and improved their salaries after obtaining their training certifications (82 people with direct and indirect benefits)

In total, 3,156 individuals benefitted economically (Indicator 3) from the implementation of 16 initiatives to promote the implementation of economic incentives (Indicator 4) and other economic incentives. Throughout the project 70,681 hectares were brought under increased economic benefits (Indicator 5).

6.4 IR4 – GREATER UNDERSTANDING AND SOLUTIONS FOR KEY ENVIRONMENTAL ISSUES

SL completed three capstone case studies that evaluate the successes and limitations of BMP interventions and other initiatives taken by local actors to reduce threats to biodiversity in project landscapes. Additional analyses were completed on issues including research on phenology and production potential of NTFPs. The studies and analyses enhanced understanding of these actors on the effectiveness of their current conservation and livelihoods strategies and inform the evolution and adaptive management of these approaches to enhance conservation outcomes. Study results follow.

STRENGTHENING OF CAPACITIES FOR THE MANAGEMENT OF KNOWLEDGE/UNDERSTANDING AND INVESTIGATION & INVESTIGATION AND ANALYSIS

Napo and Cusco: Landscape analysis tool completed, promoting more informed land-use planning and investment decisions amongst local governments.

The Decision-Support-System (DSS) was completed for Napo and Cusco landscapes, enabling local government officials and technicians and other key local stakeholders to visualize and analyze trends in deforestation, habitat fragmentation and in government investment projects. The DSS includes analyses of land use and cover change on over 380,781 ha in Cusco and 387,985 ha in Napo, and a forest cover fragmentation analysis within targeted units in these broader landscapes: 18,569 ha in Cuzco and 14,960 ha in Napo. The DSS's ultimate objective is to enhance the capacity of local governments to make informed decisions about landscape-scale management in their jurisdictions. Through hosting four socialization and training meetings among key stakeholders in Cuzco (i.e., Socioeconomic Development Unit management

and technical staff from the municipalities of Echarati and Quellouno and PROCOMPITE technicians involved in project design and information management) and Napo (i.e., Directors of SocioEconomic and Productive Development in Napo and technical staffers), local actors identified potential priority applications in their regions. To further promote replication and adoption 3 technical work products and publications have been developed and disseminated, including an overall summary of the DSS and its utility for local governments. The DSS has been published in an online platform (<http://geopaisaje.geoi-bol.com/>) that is free-of-charge and managed and updated through CONDESAN, author of the DSS and SL's partner in this work.

Sucumbíos/Orellana: Lessons learned from analysis of impacts of tourism on water quality and biodiversity drive adaptive management in CWR.

From April – September 2015, SL completed an analysis of the impacts of sustainable tourism BMPs implemented by 12 CWR lodges on water quality and biodiversity. Specifically, the case study evaluated: 1) the effluent waste levels from different improved wastewater treatment systems and related impacts on water quality; and 2) the noise-levels resulting from use of standardized (2 cylinder) versus energy-efficient (4 cylinder) canoe motors, and corresponding impacts on biodiversity.

Study results indicate that in the 2 wastewater treatment systems installed in the CWR lodges at the recommendation of MAE, there has been a significant and greater than expected deterioration in effluent water quality across all sites and with both treatment methods. The main adverse impacts on water quality stem from a range of variables including: total electrical conductivity, phosphates, total nitrogen, and chemical and biological oxygen demand. Study findings caused great surprise among lodges and MAE, as they indicate that the different biodigester models promoted by MAE have not been as effective as anticipated in reducing impacts to water quality.

Study results on the evaluation of noise-quality and corresponding impacts on biodiversity of standard versus energy efficient canoe motors, conclude that 4 cylinder motors emit 12 decibels less (94 to 82) than 2-cylinder motors during peak use and 6 decibels less on average (49 to 43). Noise produced by 2-cylinder motors requires an extra 90 meters to be dissipated (380 meters vs 290 for 4-cylinder motors), indicating a greater degree of disturbance with CWR species, especially those that frequent the river's edge and use vocal methods of communication, such as the hoatzin; kingfisher; pink dolphins and various monkey species. The study confirmed that 2-cylinder motors do not meet current environmental noise regulations.

The case studies sought to provide independent, third-party data to enhance environmental-decision making among CWR actors and promote adaptive management and continuous improvement to reduce tourism's impacts. The development of the studies was thus highly participatory. In order to ensure that the presentation of the findings facilitated understanding by local actors, SL convened a September 2015 meeting whereby CWR lodge owners, MAE environmental quality management and protected area managers reviewed the study implications and the steps required to address deficiencies in wastewater treatment systems and further promote implementation of 4-cylinder motors.

Regarding water quality, both parties agreed that MAE will strengthen its control system and conduct further pilots to identify and prove more locally-appropriate biodigestors that function effectively in the CWR's aquatic ecosystem (the inappropriateness of the biodigester models for use in the semi-flooded CWR environment was determined to be a key limitation). Moreover, MAE will design a water quality monitoring system; lodge owners will initiate water quality and quantity monitoring based on this system. Compliance with implementation of new water treatment and monitoring systems will be verified as part of CWR's BMP environmental regulations. Both actors have begun implementation of these actions and have been very responsive and committed to addressing this issue.

Regarding use of 4-cylinder motors; MAE had already established a regulation to transition to use of these motors as of 2016; the case study thus confirms the appropriateness of the regulation as a means to reduce impacts of tourism on biodiversity, in addition to other benefits of reducing costs and water pollution.

Cusco: Economic impacts of *roya* analyzed, enhanced awareness of local institutions and companies on how to address going forward.

To enhance understanding of the implications of the 2012-2014 *roya amarilla* outbreak, SL completed an analysis of the economic impacts in Cusco and Junín and the efficacy of BMPs in limiting the intensity and/or severity of *roya* outbreaks. A random sampling of 166 coffee producers was selected from a universe of 400, in three areas of the districts of Echarate and Quelluno: San Martín (21%), Estrella (41%) and Ivochote (38%). Data was collected through individual and group surveys and interviews.

Key findings include:

- There has been a substantial change in the varieties used: before 2013 91% of coffee farms were comprised of Mundo Novo (56%), Typica (19%) and Caturra (11%) varieties, however by 2015 their use declined to 26% and resistant hybrid varieties like Timor increased from 8% to 70%. In the long-term this change may have a negative impact on coffee quality.
- 46% of producers have plantations older than 15 years. This may have contributed to the intensity of the *roya* outbreak, and presents an opportunity to renovate old plantations by using a combination of different coffee varieties that balance objectives of cup quality with resistance to pests and diseases.
- The intensity index for *roya* was 47% amongst farms that had not received training in the past 12 months and 43% amongst those who did. This low variation indicates that the outbreak was epidemic and surpassed any preventive measures farmers had taken.
- Though two government programs were in place to address *roya*, only 46% and 16% of producers had accessed them.
- As a result of the outbreak 67% of farmers laid off workers; indicating the negative impacts on temporary farm laborers. 43% are cultivating other crops and 13% have abandoned their farms.
- 84% of farmers experienced economic losses, with an estimated loss of 3,386 USD on average. On the assumption that the coffee price is 2.12 USD/kg and coffee production is the only income source for a family of 5, losses pushed small and medium producers below the poverty line.
- 98% have an inappropriate shade-distribution in their farms, which created favorable conditions for the spread of *roya*.
- Capacity of producers to rebound from the *roya* outbreaks has been drastically limited due to a large reduction in the workforce as a result of high demand for unskilled labor to work on municipal government projects.

The study concludes by highlighting that *royas* impacts, combined with large-scale off-farm migration to work in municipal projects, resulted in a *roya* epidemic that had economic implications across all farm sizes and aspects of technical implementation in coffee farms. It also highlights that – in spite of these challenges – 30% of farmers have maintained their coffee production and that these should serve as a next generation of model farms. To ensure the understanding and application of these results to inform local government and company plans, SL presented report findings to these actors, who were extremely receptive to study findings in order to better mitigate *roya* outbreaks and improve their intervention plans in the future.

INVESTIGATION AND ANALYSIS

MDD: Findings from applied research on new NTFPs strengthen income diversification and sustainable management.

Native community forests have dozens of potential NTFPs that – if managed and harvested sustainably – can increase the economic value of their standing forests, diversify local incomes, and promote forest conservation. In MDD, Brazil Nut is a classic example, yet other NTFPs such as the liana *tamshi* – used in

handicrafts – and palm fruits like *ungurahui* and *aguaje* are gaining traction as viable livelihoods alternatives with growing local, regional and national market demand.

NCs have begun to upscale harvesting and production of these NTFPs, yet, little information existed on i.e., appropriate harvesting practices, fruiting cycles and patterns, and good practices to standardize value-added processing procedures to ensure their profitability. This information was required to ensure sustainable harvesting and adapt and improve community management of these forest resources over time.

Together with the NCs of *Tres Islas* and *Palma Real* – leaders piloting the harvesting of these NTFPs - SL produced and disseminated two participatory research products:

- The ‘*Tamshi Vine Guide*’ helps users identify the primary *tamshi* species used in the Peruvian Amazon by their biological characteristics and summarizes key production and biological characteristics of *Heteropsis flexuosa*, the most common species. Further guidance and recommendations on management, harvesting and handicrafts product development are put forth, resulting from a participatory inventory of tamshi carried out with the women’s handicrafts production committee in the PR community.
- The ‘Participatory Evaluation of the Phenology of Aguaje and Ungurahui Palm Fruits’ undertaken with the community of TI, determines biological bases of these palm fruits (i.e., fruiting cycles and periods of fruit maturity, identification of mature fruits, etc) to enable TI’s palm fruit committee to more precisely define fruiting periods and organize their harvesting and production accordingly.

Study findings are being integrated into community harvesting, management planning, and value-added processing activities, strengthening their sustainable NRM management, income diversification and enterprise development. The *Tamshi Vine Guide* provided data critical to inform the design of regulations to approve *tamshi* management plans, which are currently being discussed with MINAGRI, and, if approved, would promote improved *tamshi* management across the Peruvian Amazon.

Please see Annex 3 for references to the corresponding publications noted in this section as well as other SL-supported research publications.

7. CROSS-CUTTING THEMES AND KEY ISSUES

7.1 IMPROVE POLICY AND POLICY IMPLEMENTATION-INDICATORS POL1-3

Figure 4: Indicator POL1 – 63 PLARS (3 policies, 16 regulations, 44 agreements) proposed, adopted and/or implemented.



To integrate biodiversity conservation into landscape scale planning, SL supported the design and approval of 3 policies: the Regional Biodiversity Strategy for Madre de Dios and 2 Municipal Ordinances for Fire Prevention and Control. To promote legal timber harvesting, strengthen NC governance for SLM, regulate sustainable tourism across nearly 1 million ha of protected areas in the Ecuadorian Amazon, and create a legal framework to approve palm fruit management plans, and SL facilitated the development, proposal and approval of 16 regulations. To clarify land tenure, ensure community assembly endorsement of land zoning and management plans, promote the replication of VMPs at the national level in Ecuador, and otherwise formalize commitments from communities, local tourism operators and the government for sustainable landscape management, SL facilitated the proposal and/or approval of 44 agreements. See Annex 2 for a full list of SL-supported PLARs.

7.2 INCREASE GENDER AWARENESS AND GENDER-RELATED PROGRAM OUTCOMES

The following section includes results of SL's gender SCORECARD results, a summary of implementation of its Gender Action Plan, and a gender breakdown of participants in training courses.

Table 4: Sustainable Landscapes Gender SCORECARD Results

	SCORECARD Elements	RA		AIDER		ECOLEX	
		Points in Feb 2012	Points at Oct 2014	Points in Feb 2012	Points at Oct 2014	Points in Feb 2012	Points at Oct 2013
1	Gender indicators for ICAA work	0	1	0	1	1	1
2	Gender goals for ICAA work	0	1	0	1	1	0
3	Data on results that indicate which in activities your organization has improved the lives of women in an objective and verifiable way.	0	1	0	1	1	0
4	Specific reports on gender produced with ICAA funds	1	1	0	0	0	0
5	Gender results reported in ICAA annual reports	1	1	0	1	1	1
6	Organizational gender policy	0	0	1	1	0	0
7	Orientation practices for new staff, including discussion on gender as a cross-cutting issue	1	0	1	1	0	1
8	Gender guide available for the team	1	1	0	1	0	0
9	Enhanced capacity for ICAA staff to address gender as a cross-cutting issue	1	1	0	1	1	1
10	Gender issues relevant to activities are regularly addressed in team meetings and discussions.	0	1	0	1	1	1
	MAXIMUM POINTS [10 points maximum]	5	8	2	9	6	5

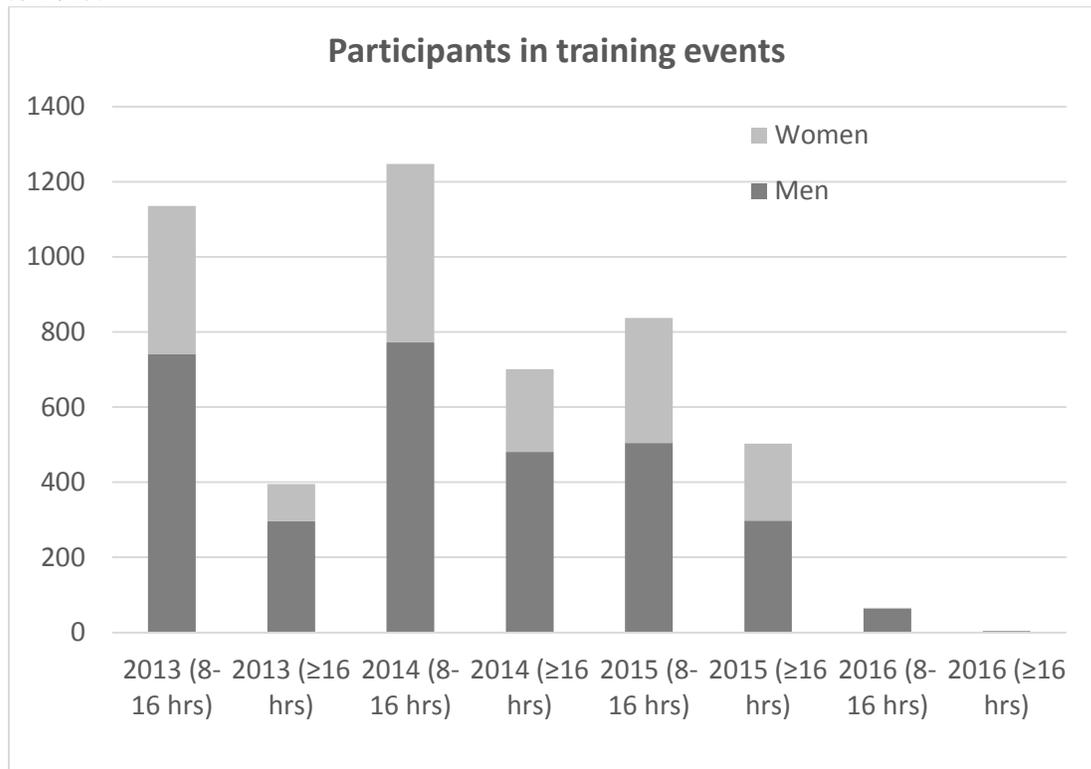
NOTE: SL reported latest available data, from October, 2014. As ECOLEX did not complete the scorecard in 2014, October, 2013 data was used.

From project inception for RA and partner AIDER's scores have increased considerably, in fact SL's gender scorecard ranking is the highest of all ICAA partners as of October, 2014. SL made gains in integrating gender as a transversal theme primarily through strengthening its attention to establishing gender related indicators and goals to orient ICAA work; collect verifiable data on how SL activities such as NRM planning, livelihoods alternatives, small grants program implementation, and other work has tangibly benefitted women, communicating gender results in ICAA reports, and building expertise of staff on gender related issues, amongst others.

At project outset, SL, with support and guidance from the ICAA Support Unit, developed a Gender Action Plan to support achieving equality between men and women in project intervention areas. The Gender Action Plan reinforces the SL project implementation model by i) enhancing women's engagement and decision-making in community planning; ii) strengthening their role in local governance spaces; and iii) diversifying and strengthening women's participation in sustainable value chain development – including participation in farm- and forest-level production activities but also in downstream value chain work to strengthen their business, negotiation, marketing and financial management skills. Illustrative achievements follow:

- Led by Maria Licuy, the Association of Agricultural Production and Commercialization Sacha Laran (ASOCROSACH) is producing organic fertilizer to sell to ASOPROBISUM and the growing number of ‘clean naranjilla’ producers in Hatun Sumaku Parish. Moreover, the 29 members (14 women) are currently participating in national trade fairs – including ‘canastas solidarios’ – organized by MAGAP to promote consumption of locally produced goods, to better position and sell of more their products.
- In Ivochote, SL strengthened the leadership abilities of 46 women producers. Women leaders enhanced their understanding of key issues at the nexus of gender and sustainable agricultural land management, such as: the recognition of women’s importance in decision-making and management at the household level and in the farm and in the socio-economic development of the family unit; their capacity for influence and action; and other issues important to enable compliance with SAN Standard criteria related to family well-being and development.
- 3 women model farmers in Ivochote and Lacco Yavero highlighted livelihoods and environmental improvements they achieved with SL in the ‘First Meeting of Coffee- and Cocoa-Producing Women in La Convencion’. Their accomplishments, leadership and public engagement also reflect the results of implementation of SL’s gender strategy.
- The Sani Warmi association developed and implemented a Small Grants Program project designed to increase their positioning in niche markets by developing labels and promotional materials to better brand and market their handicrafts products to tourists and at trade fairs. Their development and implementation of this project consolidated their administrative, business and marketing, and financial management competencies, further ‘professionalizing’ the association and strengthening the women’s leadership role in the community.
- The Iluku women’s association – which forms part of ASOKIL – further formalized and strengthened their organizational capacities through SL technical assistance to enhance their administrative functioning and improve the marketing and exhibition of their handicrafts.
- Women’s leadership in Brazil nut collection in indigenous communities has been redefined; they now are recognized as having harvesting rights and thus can access credit independently. As a result, of the 23 credits processed by AGROBANCO for Brazil nut collection, 9 (over 39%), were destined for women heads-of-household.
- Multiple women’s groups strengthened their leadership and NR administrative capacities through participation in the SL SGP.

Figure 5: Participants in Training Events: Female participation in <8hr training events increased from 35% to 40% from 2013 to 2015 and in >16hr training events increased from 25% to 40% from 2013 to 2015.

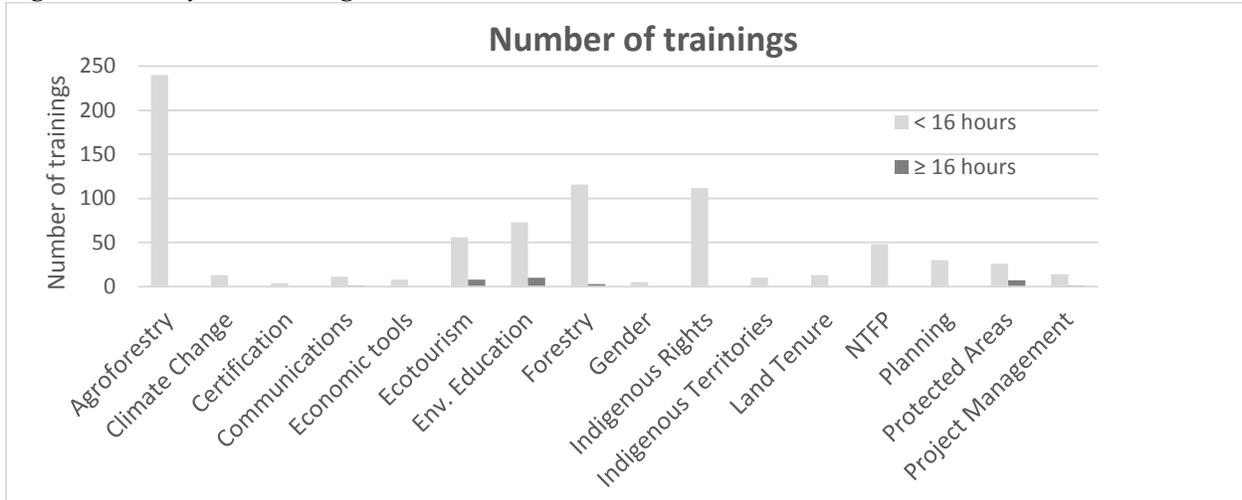


7.3 STRENGTHENING OF SELECTED ORGANIZATIONS AND INSTITUTIONS AND PARTNER ORGANIZATIONS

Although Indicator CAP-4 was not an SL indicator, SL heavily prioritized the strengthening of local organizations, institutions and partners as a core aspect of project implementation and as part of its overarching strategy to maximize sustainability of post-project interventions by leaving local partners with sufficient knowledge and capacity to carry forward their project activities. Over the life of the project SL strengthened the capacity of 34 local organizations and enterprises. These groups are made up primarily of NC leaders, producer associations, smallholders and tourism operators. In addition to institutional strengthening of these associations, for example AFIMAD, FENAMAD, ASOCOSAKAWA, ASOPROBISUM, amongst many others, the representatives of these organizations and enterprises were trained continuously on an individual level, simultaneously building capacity for sustainable NRM at the individual and organizational level, and doing so in the same landscapes and complementary thematic areas (see following section for additional details).

7.4 IMPROVE CAPACITY THROUGH TRAINING –INDICATORS CAP1-CAP3

Figure 6: Nearly 800 trainings delivered



Capacity building of project beneficiaries was a critical component of SL’s sustainability strategy. Over 100,000 person-hours of training were delivered over LOP on the 16 topics identified above, all in the context of reinforcing knowledge and capacity to implement integrated landscape scale planning, improve environmental governance and create sustainable local economic opportunities in project landscapes. These trainings have been fundamental to achieving project success and creating the local competencies and skills to carry forward project activities into the future.

These trainings reinforced technical guidance and recommendations in many of the over 240 project products developed by SL. Materials such as business and marketing plans, BMP guides, management plans, community zoning and boundary delineation exercises, and guidance materials on legal forest management, resource rights and other issues were delivered and applied in many of these training events. In so doing, participants - whether NCs leaders, production committees, local associations, governments, lodges and other actors – were able directly apply theoretical knowledge in SL project products in practical settings – often in their communities or farms, reinforcing their sustainable land management competencies. See Annex 4 for additional details on these training materials.

7.5 INCREASE INDIGENOUS PEOPLES PARTICIPATION

SL trained members of 19 indigenous peoples: Afroecuatoriano; Amahuaca; Ashaninka; Aymara; Cofan; Ese Eja; Harakbut; Kichwa; Kichwa runa; Matsiguenka; Montubio; Negro Afroecuatoriano; Quechua; Quijus; Secoya; Shipibo; Shuar; Siona; Yine.

Most trainings were delivered to the dominant indigenous peoples in project landscapes, including: Kichwas, Siona, Secoya, Ese Eja, and Shipibos. % participation fluctuated from year to year, as a function of a greater percentage of workshops held with coffee and cocoa producer communities in Cusco in 2014, which lack presence of IPs. % participation increased slightly over time, rising from 37% in 2013 to 57% in 2014 and levelling off at 44% in 2015. In 2016, nearly all trainings were delivered to indigenous peoples, as project activities were centered on maximizing conditions for sustainability amongst MDD NCs.

Figure 7: Indigenous participation ranged from 37% to 84% and increased slightly over time.



8. PERFORMANCE MANAGEMENT PLAN-PMP

SL met or exceeded 9 of 10 indicator targets. Analysis of variance follows, with further explanation for indicators that are not life of project indicators as established via the ISIS platform.

Indicator	Variance	Explanation
Ind. 1: Hectares under improved NRM	Exceeded annual target 3 out of 4 years.	Indicator 1 is not a life of project target but varies annually. In total, over 943,020 ha brought under improved management, significantly exceeding annual targets due to application of the VMP methodology in FY14 and improved monitoring and management in Tambopata concessions to expand impacts in FY15. In FY15, achieved 306,914 ha, exceeding by 17% the target of 262,537 ha.
Ind. 3: People with increased economic benefits	Achieved 99.7%.	Achieved 3,156, target 3,165. Land title delays prevented HS communities from receiving SB funds and the Infierno community has been delayed in receipt of Forest Conservation Incentive Program funds due to local strikes, however anticipates receipt of funds soon, benefitting directly over 150 individuals.

Ind. 4: Initiatives that promote the implementation of economic incentives	Exceeded by 23%	Achieved 16, target 13. SL facilitated entry of three communities into the Forest Conservation Incentive Program.
Ind. 5: Hectares under implementation of economic incentives	Exceeded by 47%	Indicator 5 is not a life of project target, however SL has substantially exceeded annual targets. Achieved 70,681 target 48,071. Access to markets and finance with CANDELA, RONAP and CANDOR upscaled impacts.
Ind. 7: Products generated	Exceeded by 21%	Achieved 241, target 199. Enhanced efforts to translate technical information to products that can be used by communities and the general public.
Ind. 8: Copies of products disseminated	Exceeded by 23%	Achieved 473,382 target 384,301. Social media and outreach efforts to disseminate project videos were successful, including high rates of visibility on facebook and multiple articles posted to the Guardian – a major UK media outlet, driving up dissemination totals far beyond anticipated figures.
Ind. POL-1: PLARs proposed, adopted, or implemented	Exceeded target 4 out of 5 years.	Indicator POL-1 is not a life of project target but varies annually. SL surpassed indicator targets in all but the year of project start-up, FY12. In total, 63 PLARs have been proposed, adopted and/or implemented. In FY16, SL achieved 3 PLARs against a target of 1. 2 ordinances for fire management were approved and an agreement facilitated between MINAM and indigenous groups to access the forest conservation incentives program.
Ind. CAP-2: Person-hours of training	Exceeded by 9%	Achieved 101,044, target 92,532. Result of high demand and commitment of beneficiaries, and focus on enhancing sustainability of project interventions.
Ind. CAP-3: People trained	Exceeded by 25%	Achieved 19,386 target 15,488. See CAP-2.
SL Ind: Groups and organizations with improved organizational and enterprise capacity	N/A	Target of 34 groups met.

9. IMPLEMENTATION DETAILS

9.1 ENVIRONMENTAL COMPLIANCE

SL's Amended IEE (LAC-IEE-12-25) was approved in June 2012 and the corresponding EA (LAC-EA-13-01) in December 2012. SL began implementation of mitigation measures thereafter, and later updated its EA (LAC-EA-15-02) to reflect the project's landscape change to Napo, securing USAID approval. As set forth in the EA, the project aimed to mitigate the following impacts:

- The disruption of nesting sites and impacts to wetland ecosystems due to aguaje harvesting in the absence of established Best Management Practices (BMPs);
- Conversion of standing forest into plantations motivated by economically successful commercial reforestation;
- Impacts on soil, watersheds and biodiversity from the harvesting and extraction of even small parcels of timber stands on steeply inclined slopes, such as those found in the Napo project area;
- Unmitigated impacts on biodiversity and the environment when BMPs are not sustained beyond life-of-project;
- Project activities that cumulatively impact already overwhelmed environmental governance institutions; and
- Transformation of standing forest to more lucrative albeit more sustainable practices such as silvopastoral management, amongst others.

Illustrative examples of measures implemented to mitigate these included:

- Preparing Wamani to restore 200 ha of degraded lands by accessing the new Socio-Bosque Passive Regeneration program;
- Monitoring degree of implementation of *naranjilla* and forestry BMPs, and monitoring of compliance with impact mitigation measures in *aguaje* management plans;
- Creating local organizations including ASOCOSAKAWA, ASOPROBISUM and a Control & Surveillance Committee, to improve local environmental governance;
- Strengthening the new Forestry and Wildlife Law Regulations to consider sustainable NRM management criteria and reduce regulatory bottlenecks for NCs.

In July 2015, in coordination with USAID, SL contracted independent consultants to conduct a final external evaluation of implementation of the EA Mitigation and Monitoring Plan. The consultant team reviewed over 200 project documents, visited 11 sites in Cusco, Madre de Dios, and Napo that were subject to the EA, and interviewed 70 stakeholders. **Evaluation findings indicate that on the whole SL implemented the EA mitigation measures and that the project “excelled at improving policies and institutional capacities to strengthen the adoption and sustained application of project-promoted best management practices” and that across all landscapes SL was “effective at establishing conditions for permanence (sustainability) of impact mitigation”.**

Given the importance of these factors in ensuring post-project sustainability and the potential for replicability in other parts of the Amazon, the following lessons learned from the evaluation are provided, to inform future USAID programming in the region¹⁷.

Lessons learned - drivers of success in impacts mitigation included:

- Established, guaranteed certified coffee and cacao market for sustainable coffee and cacao.

¹⁷ For additional details, please refer to: Kellogg, M.J. and Barrios Garcia, F. (October, 2015). “*Final evaluation of implementation of Sustainable Landscapes Consortium’s Environmental Assessment Mitigation and Monitoring Plan*”

- (Leveraging of) the cooperatives and companies buying certified coffee and cacao and administering group certification (and who themselves are chain of custody certified).
- BMPs have increased production (volumes) and quality and decreased crop disease and pests.
- BMPs improve farm-family quality of life.
- Farm and product diversification (value adding), and innovation in best management practices, to adapt to changing conditions.
- The development of a multi-actor, public-private vision for quality, sustainable coffee and cacao development in the region.
- Promotion and formalization of the palm fruit economy and management.
- Youth involvement in territorial control and sustainable harvesting and management.
- Formalizing communal commitment to a natural resource management planning process.
- Establishment of community-based monitoring systems.
- Market-based recognition of quality product generated by BMPs.
- Incorporation of the financial sector along the value chain.
- PALSAMAD leadership, innovation and adaptive management.
- Institutionalized BMPs into the *Naranjilla* roundtable
- Identification of degraded lands and economic incentive for restoration and conservation.

9.2 FUNDING LEVEL

As detailed in the following table, SL executed 100% of authorized federal funds for the life of the project.

Ecuador	Peru	Total
4,486,369.45 USD	4,849,578.55 USD	9,335,948.00 USD

9.3 FUNDING SOURCES

SL exceeded its life of project cost share target of 2,334,000 USD by over 15%, applying 2,702,863.32 USD in cost share to strengthen SL integrated landscape planning, environmental governance and sustainable economic alternative objectives. In addition, SL channeled 2,117,800 USD in leverage funds from value chain companies, local and national government agencies, NGO collaborators and other key stakeholders in the Andean Amazon to reinforce project objectives. More details on the application of cost share and leverage resources are provided in the following table.

Project name	Project ¹⁸ leverage (1 or 2)	Funding Source (Name)	Funding source type	Total	Project Purpose(s): Stress how they match ICAA efforts, 25 word or less
Sustainable Forestry in Peru	1	Symantec	Corporation	75,187.40	The overall goal of this project was to conserve biodiversity and ensure sustainable livelihoods by educating communities in Madre de Dios in sustainable economic and environmental practices.

¹⁸ As per definitions provided by the ICAA Program, Project Leverage category '1' is project official cost-share, and category '2' is leverage ('magnet') funds.

Gibson Peru	1	Gibson	Foundation	1,546.18	In Peru, this project assisted already-certified NTFP producers to begin the process of planning for timber management.
Contract Management of Tambopata National Reserve and National Park Bahauja Sonene - Madre de Dios	2	National Service for Protected Areas Peru - SERNANP	Gov.	282,000.00	Through monitoring within the Reserve and National Park, information and reports to the authorities of the illegal activities that cause deforestation were generated.
Strengthening Small and Medium Sized Forest Enterprises	1	Interamerican Development Bank	Multilateral	644,963.96	To support small and medium sized forest enterprises to adopt sustainable forestry management practices and gain greater access to the market as well as favorable financing instruments.
Sustainable Productivity for Disorganized Producers	1	Progreso Foundation	Private	178,812.69	To improve productivity in cocoa farms, consistent with SL's sustainable economic alternatives approach.
UNEP GEF	1	UNEP GEF	Multilateral	28,405.86	To promote land use for biodiversity conservation in cocoa production landscapes, working with cocoa farmers in areas of high biodiversity.
UNDP - BCC	1	UNDP - BCC	Multilateral	138,005.01	To transform productive practices in the coffee sector - including within priority Peru coffee production areas - by increasing market demand for certified sustainable coffee.
Peru Opportunity Fund (Phase 1 and 2)	1	Peru Opportunity Fund	Private	667,078.07	To consolidate and upscale sustainable coffee production and productivity enhancements in priority Peruvian production landscapes.
Arntz Foundation	2	Arntz Foundation	Private	10,000.00	Assist groups to improve practices, increase productivity and organize supplies in order to meet demand and access markets for sustainable farm, forest or tourism goods and services.
Marketing of organic and Fair Trade Brazil Nut	2	AFIMAD	Private	48,000.00	Facilitating sales of brazil nut from selected areas under management.
Forestry and Wildlife Monitoring and Control in the Madre de Dios Region	2	Dirección Regional Forestal y de Fauna Silvestre de Madre de Dios	Gov.	20,000.00	Support to project activities provided by Forestry and Wildlife Monitoring and Control in the Madre de Dios Region Unit.

Tomberg Family Foundation	2	Tomberg Family Foundation	Private	10,000.00	To support local communities and producer associations to implement BMPs, organize production and access markets for sustainable products and services.
Sustainable tourism in Ecuador	2	Tour operators	Private	24,000.00	Support the implementation of sustainable tourism principles in select destinations.
Sustainable tourism in Ecuador	2	Ministry of Environment of Ecuador-MAE	Gov.	5,000.00	Support the implementation of sustainable tourism principles in select destinations.
Strengthening business capacities of small forest producers in Madre de Dios	2	Asociación para la Conservación de la Cuenca Amazónica	Private	40,000.00	Improving management capacities in community forestry initiatives, in alignment with ICAA and SL program objectives.
SL Small Grants Program	1	Private Donors	Private	45,123.48	The objective of the Small Grants Program is to strengthen the capacities and skills of local groups through supporting them to better manage small-scale businesses and stimulate their organizational and administrative capacities to manage natural resources.
Support to Destination Management Methodology	1	GIZ	Bilateral	25,826.05	The program supports sustainable tourism initiatives in alignment with SL planning and biodiversity conservation efforts.
Implementation of inorganic waste management in Aguarico River Basin and Cuyabeno	2	Ecuadorian Italian Fund - FIE	Gov.	420,000.00	Implement an inorganic waste collection system with communities and tour operators in Aguarico River Basin and Cuyabeno.
Competitiveness Project in cocoa production in the Basin of Laco Yavero	2	Local Municipality, Quellouno	Gov.	800,000.00	Working with 300 families in planting new cocoa plantations, quality control, productivity improvement and marketing with sustainable agricultural practices and emphasis on biodiversity conservation.
PROCOMPITE	2	PRO-COMPITE	Gov.	120,000.00	Echarate and Quellouno Municipalities deliver funds to local community groups to implement best practices in coffee and cacao.
Sustainable Development Model for Peruvian Coffee	2	IBD-FOMIN	Private	70,000.00	Implement a multi-platform certification and agricultural productivity program through organizations and convention coffee companies.
PROCOMPITE AGROBANCO	2	Progreso Foundation	Private	24,000.00	Focused in working in cacao productivity with community groups in Ivochote.

Sani Isla Sustainable Tourism Credit	2	Cooperativa de Ahorro y Crédito Coca Ltda.	Private	153,000.00	Credit to improve hotel infrastructure, in alignment with improving Sani's business model and tourism competitiveness (activities promoted by ICAA).
Ecollaboration	2	Nespresso	Private	1,800.00	Expanding the program to new clusters and new areas, further upscaling BMPs promoted by ICAA.
Sustainable tourism in Peru	2	Tour operators	Private	10,000.00	Travel, accommodation and meals support for instructors, park technical staff and ICAA 2 project beneficiaries.
Improvements in the processing of Brazil Nuts	2	PRO-COMPITE	Gov.	50,000.00	This project aims to improve the infrastructure of ASCART's Brazil nut processing plant.
Improving cocoa processing and value chains in Ivochote	2	APECMU	Private	30,000.00	Construction of warehousing facilities to store cocoa produced in Ivochote, reinforcing project sustainable economic alternative activities.
AIDER	1	AIDER	Private/Gov	458,417.54	Strengthening of management of the Tambopata National Reserve and Bahuaia Sonene National Park in MDD, to reinforce SL biodiversity conservation objectives in PAs and buffer areas.
ECOLEX	1	ECOLEX	Private/Gov	10,084.50	Organizational strengthening of local government authorities in the Napo province.
RA resources	1	Rainforest Alliance Inc.	Private	429,412.58	Strengthening of Sustainable Landscapes project implementation.
Total matching Funds (Cost-Share)				2,702,863.32	
Total Leveraged				2,117,800.00	

The application of over 4.8 million USD in cost share and leverage resources consolidated project intervention models and results, particularly related to improved environmental governance, local organizational strengthening, enhanced BMP implementation and improved access-to-markets amongst local communities. These resources also contributed to replicating and upscaling project successes more broadly across the Andean Amazon.

10.LESSONS LEARNED

The following lessons learned are put forward to inform future programming the Amazon region, with a particular emphasis on: i) program design, and ii) future opportunities to upscale impacts across the Amazon region at the national or biome level¹⁹.

Lessons learned to strengthen program design and promote alignment with USAID's broader investment portfolio:

- Using a **theory of change to guide project implementation facilitated integration of project interventions, a continuous focus on addressing priority threats, adaptive management and impacts maximization**. SL's conceptual models and results chains were revised and adapted annually and utilized in frequent strategy and monitoring sessions as a benchmark to evaluate advances against project objectives and biodiversity threats mitigation, and adapt interventions accordingly. Beyond promoting adaptive management and enhancing technical quality, the application of a TOC created a culture whereby the project team constantly sought to achieve transformative impact for beneficiaries, test assumptions and maintain attention on priority threats instead of just achieving of work plan activities or indicator targets.
- The SL project conceptual model based on integrated landscape scale planning, enhanced environmental governance and creation of sustainable economic opportunities **manifests many principles and actions of USAID's Nature, Wealth and Power 2.0** framework. As identified in SL's final EA evaluation, elements of adaptive management, independent monitoring, sustainable income diversification, access to markets, and decentralized governance correspond closely to NWP principles, including:
 - *NWP Nature Principle 1, safeguard natural capital's productive capacities*
 - *NWP Wealth Principle 3, create frameworks and incentives to improve alignment of public and private interests*
 - *NWP Power Principle 2, decentralize powers and responsibilities to representative and accountable authorities*
 - *NWP Wealth Principle 4, strengthen markets and the role of rural producers in competitive but non-extractive natural resource value chains.*

These and other elements of the SL conceptual model may thus be useful to assess when considering integration of new USAID programming within other regional initiatives.

- **Biodiversity conservation and climate change mitigation programming can be integrated**, if designed under the right parameters. Funded under the biodiversity conservation earmark, the SL project was designed to tackle core threats to biodiversity in high-carbon density landscapes. There was high overlap between tackling threats to biodiversity, threats to forests and reducing GHG emissions due to land-use change and unsustainable land management. An opportunity to cost-effectively leverage current ICAA investments to promote regional integration may be through leveraging successful interventions such as the SL integrated model for NCs and low-emissions coffee and cocoa value chains to inform the design and implementation of REDD+, NAMAs, and degraded land restoration programs that are national priorities for Brazil, Colombia, Peru and other Amazon countries.

¹⁹ For additional lessons learned, please refer to a prior memo shared by SL with USAID entitled "*Achieving alignment, replicability and scale in regional projects: lessons learned and recommendations to inform USAID programming, based on Sustainable Livelihoods (SL) and NZDZ project implementation*"

Future opportunities to upscale impacts across the Amazon region at the national or biome level:

SL improved natural resource management across over 900,000 ha and improved the livelihoods of over 3,000 members of indigenous and rural communities. At a pilot scale, the project generated experiences resolving critical regulatory, financial, political or market-based bottlenecks and piloted creation of important enabling conditions to resolve these. These experiences provide **lessons to address these bottlenecks at the national or regional Amazon scale, creating enabling conditions** for more local communities and land users to conserve their forest resources while living better off of them. Examples of these bottlenecks, and opportunities to address them, include:

- **Lack of access to finance for business development in rural communities:** Develop additional customized credit lines with AGROBANCO, AGROIDEAS and other government development banks that provide credit on terms acceptable to local communities, and develop corresponding training programs for local development agencies or indigenous federations to support NCs in accessing these.
- **Integrate sustainability criteria into rural finance sector & lending policies:** Enrich existing credit programs by, i.e. ensuring that lending terms address requirements in new environmental legislation related to REDD+ or wildlife conservation. For example, require land use zoning and designation of high conservation value forest areas prior to extending credit for forestry or agricultural activities.
- **Strengthen guidance and training tools for conservation incentives program investment plans:** Incentive programs like the Forest Conservation Incentives Program and SocioBosque require participating communities to develop investment plans for improved natural resource management, yet little best practice guidance has been developed to help NCs successfully initiate enterprise development activities.
- Integrating the private sector to unleash investment for value chain development in NCs and commodity landscapes offers a strategic opportunity to multiply impacts. Work to do so could include:
 - **Build markets, value-chain integration and company commitments to upscale sustainable NTFP and forest products from native communities domestically, within emerging Amazon economies** of Brazil, Colombia and Peru. Integrating NCs into growing sustainable value chains will be easier if done locally, can build on existing initiatives like the O'HEE brand AFIMAD now uses to position itself²⁰, and leverage growing domestic demand that already exists for NTFPs that are still lesser known globally. This may help build a better networked constituency of Amazon consumers and producers.
 - **Deepen alliances throughout the value-chain between producer associations, indigenous federations, the financial sector and agricultural and forest products companies** – to collectively address critical bottlenecks.
 - **Harness growing global industry commitments to deforestation-free supply chains** by establishing rigorous, consistent means of implementation, monitoring, verification and transparency that companies sourcing from the Amazon could apply within their supply chains.
- **Integrate livelihoods development within protected area planning.** As nearly 25% of the Amazon basin is under protected area management, strengthening sustainable economic opportunities through NR value chain development and ecotourism in and around these PAs may support conservation gains at relatively low cost. The DMM and VMPs developed by SL and USFS, in both Colombia and Ecuador, offer a framework for integrating sustainable livelihoods within PA management.

²⁰ See: <http://thefrogblog.es/2015/09/01/una-marca-con-sabor-a-bosque/>

11. CHALLENGES AND ADJUSTMENTS

SL addressed many challenges in order to achieve project objectives and successfully implement its conceptual model of integrated landscape-scale planning, improved environmental governance and sustainable livelihoods alternatives in order to reduce key threats to biodiversity in project landscapes. A summary of the most significant LOP challenges and measures taken to adaptively manage follow.

- Over the course of FY2012 and FY2013, security conditions in Sucumbíos deteriorated so severely that it was not viable to implement the SL project model amongst local land users or ensure staff safety in some sites of work. After conducting thorough assessments of the possible alternatives to continue work in Sucumbíos, extensive consultations with local and national stakeholders, including NGOs and donor agencies active in the region, and through consistent communication with USAID, SL expanded the Ecuador landscape to implement governance, forestry and agricultural activities in Napo, a more stable and secure province.
- As a result of USAID's departure from Ecuador, in FY14 USAID imposed restrictions on activities in direct support of strengthening Ecuadorian national government agencies, representing a lost opportunity to have country-wide impact on sustainable tourism activities in protected areas and other natural resource use activities in PA buffer areas. Due to in part to these restrictions hectares under improved management in Ecuadorian protected areas declined from over 600,000 to 104,000 from FY14 to FY15, and an opportunity was lost to directly improve PA management across nearly 1,500,000 ha of Amazon PAs. SL adjusted relevant activities to consolidate capacities of local authorities, communities and other stakeholders to access national government incentives programs and promoted knowledge transfer and replication of successful intervention models – such as the VMPs – rather than direct technical assistance to national government agencies. In spite of these challenges the project conceptual model was successfully implemented and indicator targets largely met/exceeded, however, USAID's departure adversely impacts the ability of local communities, NGOs and government authorities to further replicate and consolidate successful ICAA intervention models.
- High staff turnover, slow response times and procedural confusion in national government agencies delayed or prevented communities in Ecuador and Peru from accessing economic incentives or consolidating land tenure. Illustrative examples of the most severe of these cases and how SL addressed these follows:
 - Despite dossier submission in October, 2014, land title for 4 HS communities was not granted prior to Ecuador project close in September, 2015. This also prevented these 4 communities from accessing SB funds. However, to position communities for access to SB, SL completed SB dossiers and submitted these together with communities – who continue to provide ongoing follow up, together with ongoing support from local partner ECOLEX. It is anticipated that land titles will be received shortly.
 - Though the Wamani community was accepted into the MAGAP and SB-restoration programs and gov't representatives have completed field verifications confirming appropriate implementation, MAE and MAGAP did not disburse funds prior to project close. Follow up is being given by Wamani, ASOCOSAKAWA and the State University of the Amazon to ensure this administrative procedure is completed and funds are received.
 - In MDD, NTFP Management plan approvals for MDD NCs were delayed since March, 2015 due to a lack of regional forestry authority staff who are competent to approve them, and frequent personnel changes. After enhanced SL engagement with new authorities and delivery of socialization workshops, these plans were approved.
 - In MDD, SL facilitated access of 2 NCs to the new Forest Conservation Incentives Program, however due to government delays and recurrent strikes in December, 2015 and January, 2016, MINAM has not deposited payments into community bank accounts, and processing of

dossiers submitted for Infierno and several other NCs has not yet been completed. NCs, RA, AFIMAD and FENAMAD – co-developers of the application materials, are providing ongoing follow up to ensure timely receipt of funds and completion of government paperwork processing.

As evidenced above, in addition to strengthening coordination with, and technical capacities of, local government agents to processes these documents, SL mitigated impacts of these delays by co-developing with local actors requisite materials and building their own capacities to give follow up to these administrative processes post-project. As a complementary strategy, SL, created alliances for ongoing external support from other local partners such as AFIMAD or the State University of the Amazon. While in 4 cases government fund transfers were not received prior to project close, in all cases communities are positioned to receive these in the near future. To put these figures in perspective, in over a dozen other cases SL efforts to resolve government processing delays resulted in approved management plans, annual operating licenses, and/or receipt of funds from economic incentives programs.

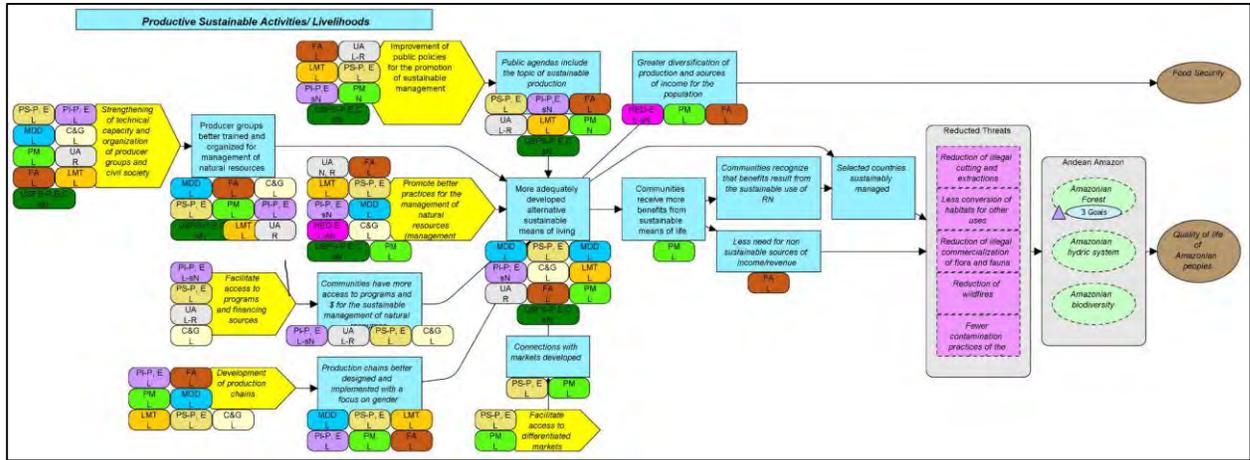
- In Q3, FY13, SL conducted a sample diagnostic in producer farms in the Cusco region, confirming a severe outbreak of *roya* and reinforcing other study findings that 86% of coffee crops in the region were infected. From this point forward, SL integrated enhancing understanding of *roya*'s distribution and methods to address it, and promoting an aligned inter-institutional response to the *roya* outbreak, as cross-cutting intervention strategies in the region. SL alerted SENASA to the situation and began to address it with local governments and through the Coffee and Cocoa Technical Roundtable. As a result, attention to climate change and improving genetic material emerged as key strategic lines of action in the regional coffee strategy developed in FY14, and in FY15 SL completed an important case study evaluating the impact of *roya*, to inform decision making. *Roya* led to temporary farm abandonment and reduced capacity to implement BMPs, however SL created conditions to re-engage farmers as they returned to farm (which began to occur in FY15) by using model farms as learning sites, and building future farming leaders through CRFAs.

As evidenced in section 8 – *Performance Management Plan – PMP*, on the whole, SL was able to navigate these and other challenges to fulfill or exceed PMP targets and achieve significant improvements in biodiversity conservation and sustainable livelihoods in project landscapes.

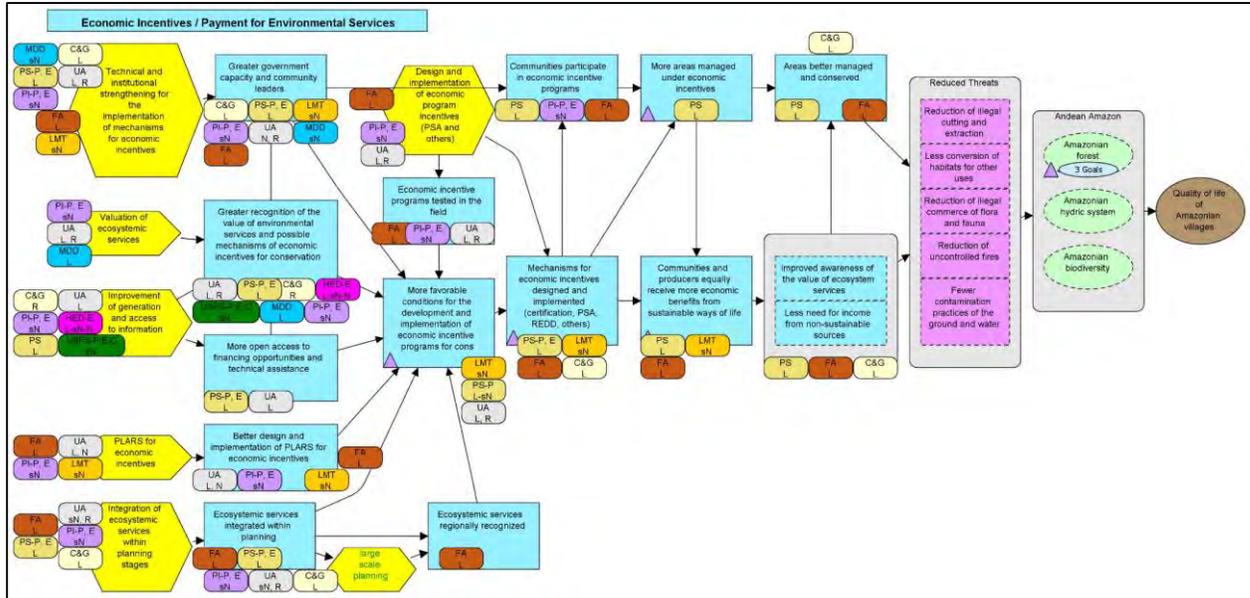
12.ANNEXES

12.1 ANNEX 1 - Theories of change of the themes to which SL contributed

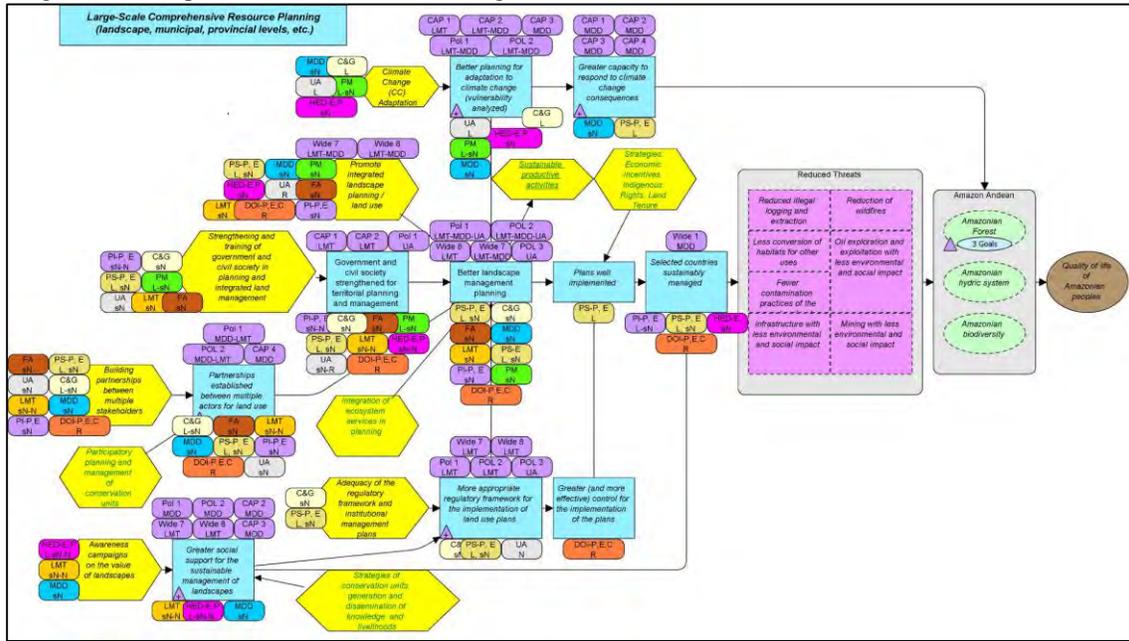
Productive Sustainable Activities/Livelihoods



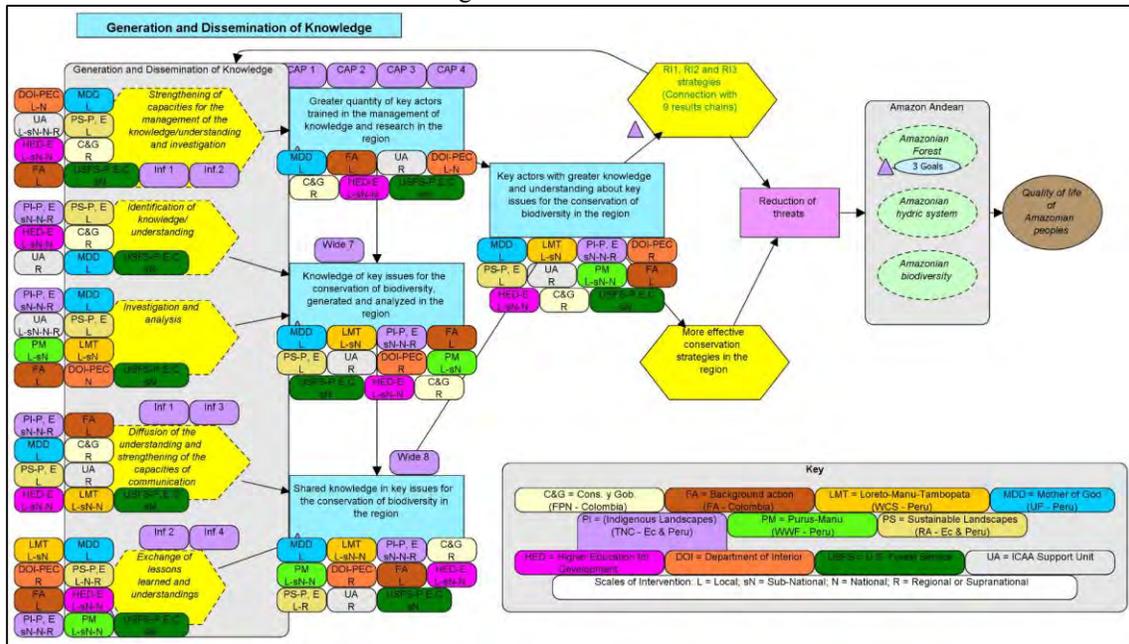
Economic Incentives / Payment for Environmental Services



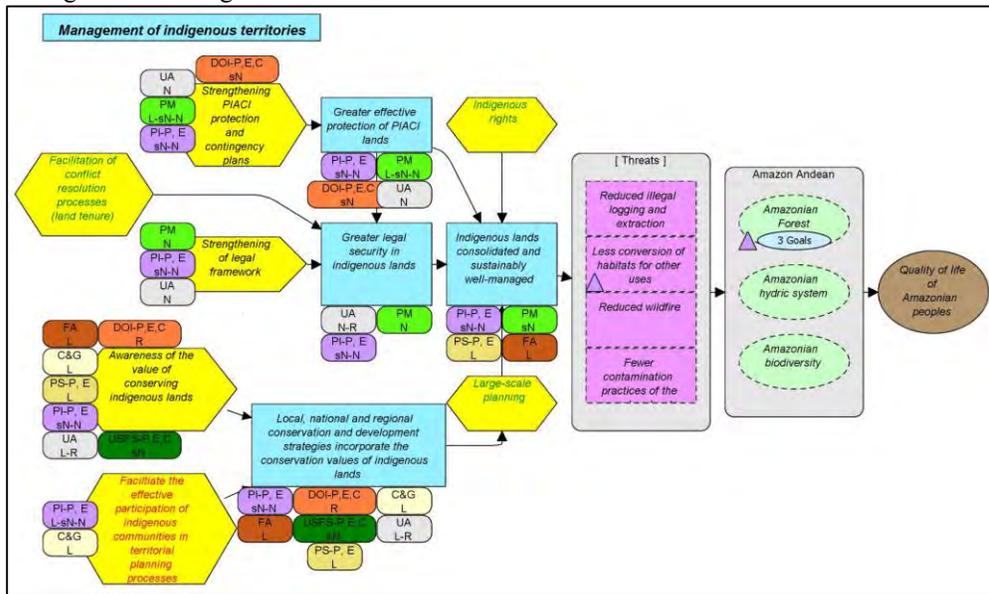
Large-scale Comprehensive Resource Planning



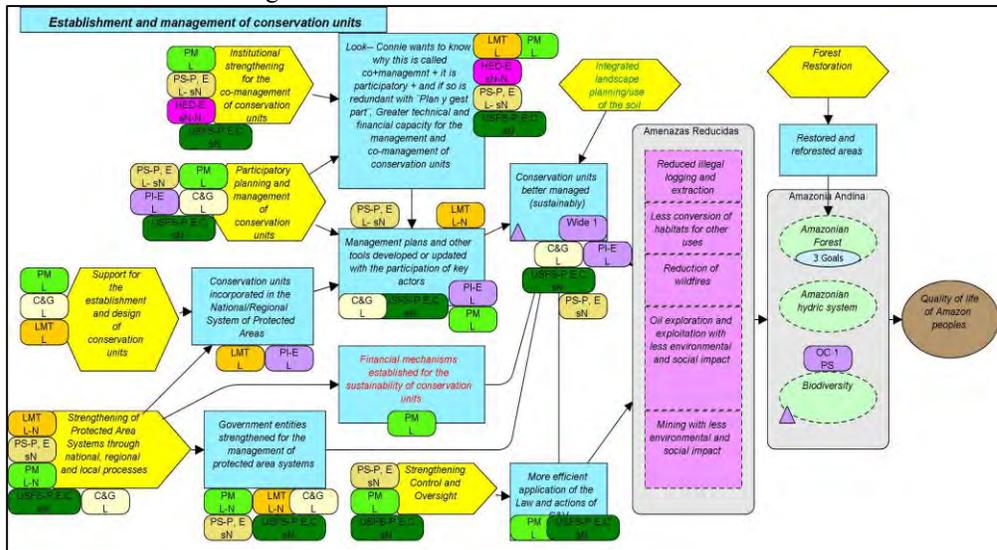
Generation and Dissemination of Knowledge



Management of Indigenous Territories



Establishment and Management of Conservation Units



12.2 ANNEX 2 - List of Law and Policies

SL facilitated proposal and approval of various policies and regulations. Illustrative examples follow. Each is in various stages of implementation.

Type	Title	Country
Policy	Madre de Dios Regional Biodiversity Strategy	Peru
	(2) Municipal Ordinances adopting Fire Control and Prevention Plans, in Santa Ana and Echarati	Peru
Regulation	(4) 2013 Annual Operating Plans for Forest Harvesting, for: NCs of Tres Islas; Palma Real; Puerto Arturo; Boca Pariamanu	Peru
	Ministerial Resolution No.0162-2014-MINAGRI, Terms of Reference for Palm Fruit Management Plans	Peru
	Harvesting Permit for Forest Products on Private Property, for NC of Boca Pariamanu	Peru
	(3) Statutes revised and updated for NCs of Palma Real, Sonene, Infierno	Peru
	4 Statutes revised and updated for ancestral kichwa communities of: Challwayaku, Jatun Sumaku, Volcan Sumaku, Wawa Sumaku.	Ecuador
	Sustainable Tourism Operations Manual, regulating tourism management in the Protected Areas of CWR, LBR, YNP	Ecuador
	HS Parish Territorial Land Use Plan	Ecuador
	Environmental Management Plan and Environmental File	Ecuador

12.3 ANNEX 3 - References of research publications.

The following is a list of research publications produced by SL. Products not currently online will be available shortly at <http://www.rainforest-alliance.org/es/publications>.

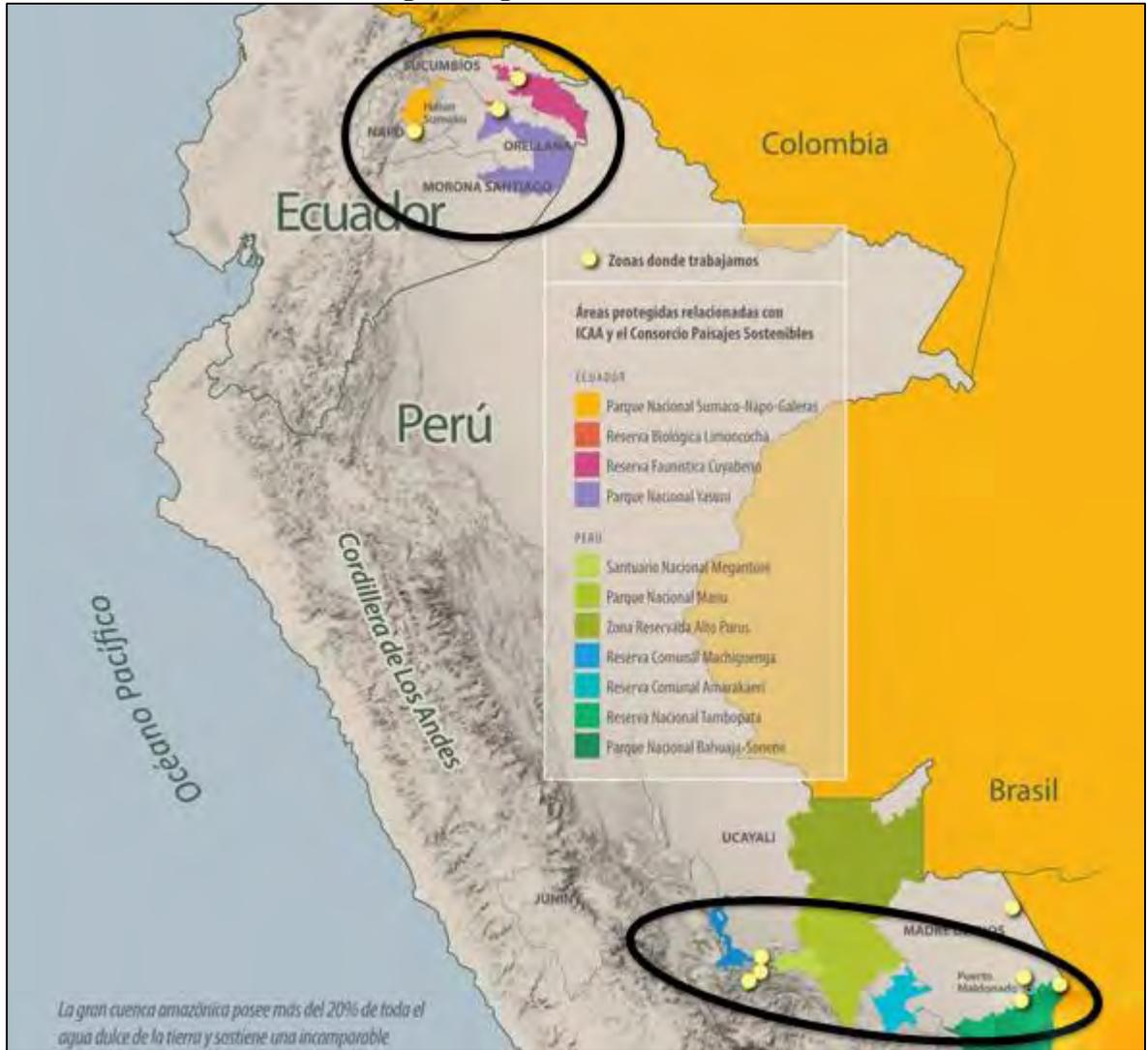
- Artieda, C., 2015. Estudio de costos de transporte fluvial en la Reserva de Producción de Fauna Cuyabeno. Rainforest Alliance. Sucumbíos, Ecuador.
- Bastidas, L., Ortiz, E., Peralvo, M., 2015. Proyecto Análisis de Paisaje en Cusco y Napo, Análisis de Fragmentación Hatun Sumaco (Napo, Ecuador) y Zonal Ivochote (Cusco, Perú). Rainforest Alliance. Quito, Ecuador. 16 p.
- Bustamante, M., Peralvo, M., et al., 2015. Geo Paisaje: hacia decisiones más informadas. Rainforest Alliance. Sucumbíos, Ecuador.
- Chavez, M., 2015. Automatización de los procesos de operaciones y administración del proyecto Comunitario Sani Lodge. Rainforest Alliance. Sani, Ecuador. 25 p.
- Che Piu Deza, H., Hodgdon, D., 2015. Hacia los paisajes sostenibles: Fortalecimiento del manejo forestal y promoción de la diversificación de ingresos en una comunidad indígena. Un estudio de caso en la comunidad nativa de Tres Islas. Rainforest Alliance, Fondo Multilateral de Inversiones (FOMIN). Madre de Dios, Perú. 24 p. Ver: <http://www.rainforest-alliance.org/es/publications/tres-islas>
- Hodgdon, D., Martinez. G., 2015. Transformando la producción forestal no maderable a pequeña escala en una empresa competitiva: Un estudio de caso del trabajo con asociaciones de castañeros. Rainforest Alliance, Fondo Multilateral de Inversiones (FOMIN). Madre de Dios, Perú. 20 p. Ver: <http://www.rainforest-alliance.org/es/publications/brazil-nut>
- Martinez, J., Sotomayor, G., 2015. Impactos en los Recursos Naturales agua y biodiversidad lograda a través de buenas prácticas implementadas dentro de la Reserva de Producción de Fauna Cuyabeno. Rainforest Alliance. Sucumbíos, Ecuador. 86 p.
- Rainforest Alliance, 2015. Evaluación participativa de la fenología de las palmeras aguaje (*Oenocarpus bataua*). Comunidad Nativa Tres Islas, Madre de Dios, Perú. 40 p.
- Rainforest Alliance, 2015. Impacto Económico de la Roya Amarilla del Cafeto: Región Cusco, Cuenca de Lacco Yavero e Ivochote, Perú. 91 p.

12.4 ANNEX 4 - References of the training materials produced and distributed

The following is an illustrative list of training materials produced by SL. Materials not currently online will be available shortly at <http://www.rainforest-alliance.org/es/publications>.

- Armas, M., Borbor, L., Lemache, V., 2013. Manual de Operaciones para turismo sostenible en las áreas protegidas de Cuyabeno, Limoncocha y Yasuní. Rainforest Alliance, Ministerio de Ambiente, Rainforest Alliance. Sucumbíos, Ecuador.
- Centeno, P, 2013. Manual de Prácticas Sostenible de recolección de frutos de palmeras en bosques comunales con subidores artesanales (estrobos). Rainforest Alliance. Puerto Maldonado, Perú. 13 p. Ver: <http://www.rainforest-alliance.org/es/publications/agriculture-practices-manual>
- Dominguez, I. 2015. Guía Legal de Manejo Forestal, Ecolex. Quito, Ecuador. 36 p.
- Departamento del Interior de Estados Unidos. 2015. Fortalecimiento de la Capacidad de Gestión para la Gestión del Turismo Sostenible en la Reserva de Producción de Fauna Cuyabeno, protección para la Conservación de la Biodiversidad y Pueblos Indígenas: Análisis de Turismo Sostenible y Recomendaciones. Washington DC.
- Lopez, F., Paredes, D., 2015. Manual de Buenas Prácticas Agrícolas en el cultivo de Naranja. Parroquia Hatun Sumaku, Archidona. Rainforest Alliance. Napo, Ecuador. 28 p.
- Lopez, F., Paredes, D., 2015. Manejo integrado de plagas en el Cultivo de la naranja. Parroquia Hatun Sumaku, Archidona. Rainforest Alliance. Napo, Ecuador. 8 p.
- Lopez, F., Paredes, D., 2015. Manual de elaboración de productos orgánicos. Rainforest Alliance. Napo, Ecuador. 13 p.
- Gutiérrez, F., 2015. Manual para el Aprovechamiento Forestal en los bosques húmedos, de las comunidades de la Parroquia Hatun Sumaku, Archidona. Rainforest Alliance. Napo, Ecuador. 12 p.
- Gutiérrez, F., 2015. Manual para el Establecimiento y Manejo de Sistemas Agroforestales para las comunidades de la parroquia Hatun Sumaku, Archidona. Rainforest Alliance. Napo, Ecuador. 20 p.
- Ministerio de Ambiente, Rainforest Alliance., 2015. Metodología de Gestión de Destino. Quito, Ecuador. Ver: <http://www.rainforest-alliance.org/es/publications/metodologia-de-gestion>
- Rainforest Alliance, ECOLEX, 2015. Afiche Manejo integrado de desechos sólidos.
- Rainforest Alliance, AIDER, 2015. Afiche Plan Operativo Anual de la Comunidad Nativa Boca Pariamanu.
- Rainforest Alliance, AIDER, 2015. Afiche Plan General de Manejo Forestal de la Comunidad Nativa Palma Real.
- Rainforest Alliance, ECOLEX, 2015. Afiche de protección de la Flora y Fauna Silvestre de la Parroquia Hatun Sumaku.
- Rainforest Alliance, ECOLEX, 2015. Afiche de 10 medidas de mitigación y adaptación de los efectos del cambio climático.
- Rainforest Alliance, 2015. Afiche Buenas Prácticas en el Transporte Fluvial, Ruido y Biodiversidad en las áreas protegidas de la Amazonía Ecuatoriana.
- Rainforest Alliance, 2015. Afiche Buenas Prácticas en el Manejo del agua, en la infraestructura de las áreas protegidas de la Amazonía Ecuatoriana.
- Gonzales Diaz, J., Martinez, J., 2015. Guía de alambre tamshi (*Heteropsis fleuxosa*): Identificación, bases biológicas para su aprovechamiento sostenible, resultado de inventario y manejo comunal en CN Palma real, Madre de Dios, Perú. 40 p.
- Gonzales Diaz, J., Martinez, J., Paredes, M., 2015. Evaluación participativa de la fenología de las palmeras aguaje y unguahui en la comunidad nativa Tres Islas, Madre de Dios, Peru. 28 p.

12.5 ANNEX 5 – SL Landscape Map



12.6 Annex 6 - Summary of activities to improve economic benefits

Activity	Detailed description	Stage of implementation	Environmental sustainability analyses	Capacity to manage	Market analyses
Brazil nut harvesting	See text in section "Indicators 3,4,5"	Mature	Yes - Integrated within land-use planning, zoning and approved management plans. Reinforced by community statutes and regulations.	Primary production activity. Business plans and enterprise dev't capacity enhanced. Significant training on BMP implementation completed.	Completed. Sales to CANDOR, CANDELA, La Nuez on ongoing basis.
Sustainable coffee production	See text in section "Indicators 3,4,5"	Mature – ongoing sales into international markets	Yes – integrated within land use plans, required by certification schemes.	Primary production activity. Business plans and enterprise dev't capacity enhanced for selected cooperatives. Primary production activity. Significant training on BMP implementation completed.	Completed. Ongoing sales into international markets.
Clean naranjilla production	See text in section "Indicators 3,4,5"	Nascent – pilot sales in legal markets.	Yes - Integrated within land-use planning and zoning, reinforced by community statutes and regulations.	Primary production activity. Significant training on BMP implementation completed.	Business and marketing plan completed. MOU with buyer established.
Forest conservation incentives program (REDD+)	See text in section "Indicators 3,4,5"	Nascent – access to program just completed, as program is new.	Yes - Integrated within land-use planning and zoning, reinforced by community statutes and regulations.	Training and technical assistance completed, however should be consolidated further.	N/A
Conservation Incentives	See text in section "Indicators 3,4,5"	Nascent to Mature – depending on community	N/A	Depending on community, capacity ranges from high to low.	N/A
Sustainable Tourism	See text in section "Indicators 3,4,5"	Mature – servicing international clients	Yes – completed through diagnostics and definition of improvement plans, with monitoring by government.	Primary economic activity. Significant training on BMP implementation completed.	Technical assistance to strengthen enterprise competitiveness, improve marketing and ensure profitability completed.
Legal forest* management	Pilot sales completed in communities of Wamani and multiple MDD NCs.	Nascent – pilot sales	Yes - Integrated within land-use planning and zoning, reinforced by community statutes and regulations.	Significant training on BMP implementation completed.	Technical assistance to strengthen enterprise competitiveness, improve marketing and ensure profitability completed. TI has template business plan, to be replicated in other

					communities, and used to access AGROBANCO funds.
Palm fruit* production	PALSAMAD production and early pilots in NCs	Continuous sales into local markets and national markets	Yes - Integrated within land-use planning and zoning, reinforced by community statutes and regulations.	Significant training on BMP implementation completed.	Marketing and business plan completed.
Tamshi* production	Initiating local sales	Nascent – pilot sales	Yes - Integrated within land-use planning and zoning, reinforced by community statutes and regulations.	Significant training on BMP implementation completed.	Participation in trade fairs however formal plans remain to be developed.
REDD+ carbon credits	Approx 12,000 USD annually payment received by PR for role in REDD+ project in RNTAMB	Mature – multiple disbursements received from CONDOR TRAVEL	Yes - Integrated within land-use planning and zoning, reinforced by community statutes and regulations. Required as part of REDD+ agreements.	N/A	PR is investing revenues in development of community tourism operation. Marketing plan completed, which draws from broader Tambopata marketing plan
Cocoa agroforestry	Sales of certified cocoa as well as BMPs to reduce costs and improve productivity	Mature – ongoing sales into international markets	Yes – integrated within land use plans, required by certification schemes.	Business plans and enterprise dev't capacity enhanced for selected cooperatives.	Completed. Ongoing sales into international markets.

* indicates that although tamshi, palm fruit production, REDD+ carbon credits, legal forest management, and cocoa agroforestry generated economic benefits, individuals receiving these economic benefits are already: a) captured by other production activities such as 'conservation incentives' or 'Brazil nut harvesting'; or b) not eligible to be included under the scope of interpretation of Indicator 3, thus they were not quantified in Indicator 3 totals.

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Participatory, landscape-scale planning



Improving environmental governance and organizational enterprise capacity



Creating sustainable economic alternatives