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## EVALUATION

# Mid-Term Evaluation Report of the Initiative for Conservation in the Andean Amazon, Phase 2 (ICAA2)

This publication was produced at the request of the United States Agency for International Development. It was prepared independently by Management Systems International for the E3 Analytics and Evaluation Project.



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# FINAL EVALUATION REPORT

MID-TERM EVALUATION OF THE INITIATIVE FOR  
CONSERVATION IN THE ANDEAN AMAZON, PHASE 2 (ICAA2)

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This publication was produced for review by the United States Agency for International Development. It was prepared by Management Systems International for the E3 Analytics and Evaluation Project.

## **COVER PHOTO**

**Credit: Robert Hofstede, MSI**

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## MID-TERM EVALUATION OF THE INITIATIVE FOR CONSERVATION IN THE ANDEAN AMAZON, PHASE 2 (ICAA2)



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### **DISCLAIMER**

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## ACRONYMS

ACONAMAC	Asociación de Comunidades Nativas Asháninkas de Masisea y Callería
ACR TT	Tamshiyacu Tahuayo Communal Conservation Area
AIDER	Asociación para la investigación y Desarrollo Integral
AIDSEP	Asociación Interétnica de Desarrollo de la Selva Peruana
AMPA	Amazónicos por la Amazonía
AOR	Agreement Officer's Representative
C&G	Conservación y Gobernanza (consortium)
CAN	Comunidad Andina
CIFOR	Center for International Forestry Research
COICA	Coordinadora de las Organizaciones Indígenas de la Cuenca Amazónica
COR	Contract Officer's Representative
CSO	Civil Society Organization
DAR	Derecho Ambiente y Recursos Naturales (Peruvian NGO)
DIREPRO	Dirección Regional de la Producción
DOI	United States Department of the Interior
E3	Bureau for Economic Growth, Education and Environment (USAID)
ECOLEX	Corporación de Gestión y Derecho Ambiental
EI	Economic Incentives
FA	Fondo Acción (consortium)
FAB	Office of Forestry and Biodiversity (USAID)
FECONAPIA	Federación de Comunidades Nativas de Puerto Inca y Afluentes
FECONAPU	Federación de Comunidades Nativas del Alto Purús
FECONAU	Federación de Comunidades Nativas del Ucayali y Afluentes
FENAMAD	Federación Nativa del Río Madre de Dios y Afluentes
FEPRIKESAM	Federación de Pueblos Indígenas Kechwa de San Martín
FONDAM	Fondo de las Américas
FPIC	Free Prior and Informed Consent
GOREL	Gobierno Regional de Loreto
GOREMAD	Gobierno Regional de Madre de Dios
HED	Higher Education for Development
IIAP	Instituto de Investigación de la Amazonía Peruana
IBC	Instituto del Bien Común
ICAA2	Initiative for Conservation in the Andean Amazon, Phase II
IL	Indigenous Landscapes (consortium)
IP	Implementing Partner
IRG	International Resources Group
ISU	ICAA Support Unit
LAC/RSD	Latin America and Caribbean Bureau's Regional Sustainable Development Office
LMT	Loreto and Manu-Tambopata (consortium)



MABOSINFRON	Asociación de Manejo y Conservación de Bosques sin Frontera de la cuenca del río Novia
MDD	Madre de Dios (consortium)
MINAGRI	Ministry of Agriculture
MINAM	Peru Ministry of Health
MINCULTURA	Peru Ministry of Culture
MSI	Management Systems International
NGO	Non-Governmental Organization
NOAI'KE	Nacionalidad Originaria A'i Kofan Ecuador (formerly FEINCE)
NP	National Park
NZDZ	Net Zero Deforestation Zone
ORAU	Organización Regional de AIDSESEP-Ucayali
PA	Protected Area
PES	Payment for Environmental Services
PHES	Payment for Hydrological Ecosystem Services
PIAVCI	Pueblos Indígenas en Aislamiento Voluntario o Contacto Inicial (Indigenous Peoples in Voluntary Isolation and Initial Contact)
PM	Purús-Manu (consortium)
PMCC	Purús-Manu Conservation Corridor
PNAP	PN Alto Purús
PROCREL	Programa de Conservación, Gestión y Uso Sostenible de la Diversidad Biológica de Loreto
RA	Rainforest Alliance
REDD	Reducing Emissions from Deforestation and Forest Degradation
RN	Reserva Nacional
RONAP	Recolectores Orgánicos de Nuez Amazónica del Perú
RPF	Rio Pucuno Foundation
SAR/Env	Operating Unit for South America Regional/Environment
SERNANP	El Servicio Nacional de Áreas Naturales Protegidas por el Estado
SL	Sustainable Landscapes (consortium)
SLP	Sustainable Livelihood Practice
SOW	Statement of Work
SPDA	Sociedad Peruana de Derecho Ambiental
TEEB	The Economics of Ecosystems and Biodiversity
TNC	The Nature Conservancy
TSP	Technical Support Partner
UN	United Nations
USAID	United States Agency for International Development
USFQ	University of San Francisco in Quito
USFS	U.S. Forest Service
WCS	Wildlife Conservation Society
WWF	World Wildlife Fund/World Wide Fund for Nature

## PREFACE

The program addressed by this evaluation, USAID’s Initiative for Conservation in the Andean Amazon, Phase II (ICAA2), promotes a variety of interventions from the community to the national policy level intended to contribute to the maintenance of the Amazon biome. It is implemented by multiple partners across several countries. Recognizing the complex nature of this endeavor, the E3 Analytics and Evaluation Project team for the evaluation has structured this report to facilitate an understanding of ICAA2 as well as the evaluation results. To that end, chapters in this volume are supported by annexes that allow readers to enhance their understanding of program aspects at any point when reviewing the evaluation findings.

Chapter 1 of this report describes the purpose of this mid-term evaluation, presents the evaluation questions and describes the background and structure of ICAA2. This section also discusses the development hypothesis and objectives of ICAA2 in both their original form – a standard USAID Results Framework – and a more recent conceptual framework that focuses on the cause and effect logic in results chains aligned to the various program components. Notably, many of the evaluation questions focus on progress against these results chains.

Chapter 2 explains the methodology for the evaluation and the limitations of the study.

Chapter 3 present findings and conclusions relating to ICAA2’s performance to date across the subset of activities and results chains subject to review as part of the evaluation. Throughout this report, readers are reminded of which results chain a particular question or set of questions explores, and are guided to annexes that provide a brief overview of the results chains and the evaluation team’s assessment of progress along these chains, to the extent this could be determined.

Chapter 4 present findings and conclusions relating to the effects of ICAA2’s management structures on program performance.

Chapter 5 present findings and conclusions relating to the effects of certain design features of ICAA2 on program performance.

Chapter 6 presents a summary of the evaluation conclusions and recommendations relating specifically to these findings. For ease of reference, recommendations are included in a table next to the corresponding conclusion upon which they are based.

# EXECUTIVE SUMMARY

## Evaluation Purpose and Scope

The purpose of this mid-term performance evaluation of USAID's Initiative for Conservation in the Andean Amazon, Phase II (ICAA2) is: to better understand ICAA2's performance; to identify and address any immediate opportunities for improvement; and to inform the design of the third phase of the program. USAID also has a secondary interest in identifying any potential advantages or disadvantages of funding ICAA2 as a regional program as opposed to multiple bilateral projects. The evaluation used six of the program's ten results chains as frameworks for examining causal relationships and performance. These six results chains focused on sustainable livelihoods, economic incentives, large-scale planning, knowledge generation and dissemination, indigenous territories and conservation units.

## Evaluation Questions

The evaluation questions were developed through a series of consultations with USAID that culminated in the SOW for this evaluation (see Annex A).

### **EQ A: How are program elements performing towards achieving results?<sup>1</sup>**

- A1. Where USAID partners are promoting sustainable livelihood practices, to what degree have those practices been taken up by target groups?
- A2. Where target groups have taken up sustainable livelihood practices promoted by USAID partners, what were the effects of such uptake?
- A3. Is there evidence that increasing capacity, increasing knowledge, and improving design for environmental incentives leads to the creation of a sufficient enough favorable condition for the development and implementation of economic incentives for conservation?
- A4. What evidence is there of better landscape management planning by government and civil society that can be linked to ICAA efforts to strengthen these types of entities?
- A5. To what degree do ICAA partnerships (alliances) beyond the consortia, i.e., with government, civil society, universities, etc., influence landscape management planning?
- A6. What changes (in policy, levels of cooperation, nature of dialogue, discussion among relevant actors, etc.) have been influenced by ICAA2 information products - i.e., what evidence do we have of the impact of these products vis-à-vis the results chains?
- A7. What is the progress towards territorial consolidation (measured through such indicators as land titling, internal guard systems, planes de vida, and internal governance)?
- A8. What is the evidence of improved management practices in protected areas?
- A9. How are new management practices in protected areas addressing key threats to biodiversity?

### **EQ B: How is program performance being affected by management structures at the USAID-level, program-level and mechanism-level?**

### **EQ C: How effectively is the overall strategic design of the initiative leading to results that will ensure long-term conservation of natural resources in the Andean Amazon?**

- C1. Is there value added from having this program operate regionally versus having multiple bilateral projects?

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<sup>1</sup> EQs A1 and A2 findings are disaggregated by on the ground and institutional levels. EQs A8 and A9 are disaggregated by indigenous territories and non-indigenous conservation areas.

C2. How is the work being done by partners creating synergies at the various levels of engagement (regional, national, sub-national, or local)?

## Background and Rationale for ICAA2

In 2006, USAID initiated ICAA Phase I, which was designed to work innovatively across and within boundaries to save one of the world's most biodiverse areas by strengthening indigenous groups, convening national and regional policy dialogues on the main drivers of forest destruction, and empowering local organizations and agencies to create and manage new protected areas and indigenous territories. In 2011, USAID initiated ICAA2 to work in Bolivia,<sup>2</sup> Colombia, Ecuador and Peru. ICAA2 has a \$75 million budget for a five-year period (2012-2016) and is managed by USAID/Peru's regional platform – the Operating Unit for South America Regional/Environment (SAR/Env). The Office of Forestry and Biodiversity in USAID's Bureau for Economic Growth, Education and Environment (E3) provides technical assistance to SAR/Env and ICAA2 through the E3 Measuring Impact Project. USAID administers ICAA2 through three partner groups: a set of seven landscape consortia, a regional support unit and four technical support partners (TSPs). USAID partners report on progress under ICAA2 based on a common set of performance indicators established in relation to the original Results Framework.

## Evaluation Methodology

To address the evaluation questions, the study team examined effectiveness through pre/post assessments of behavior change on the part of direct beneficiaries using qualitative research methods, including primarily document review, semi-structured interviews and group interviews. Annexes E and F elaborate on these methods on a question-by-question basis. The field research took place in Peru, Ecuador and Colombia and was conducted over a seven-week period from October 21 through December 6, 2014. During this period, the seven-person evaluation team interviewed over 400 individuals (including USAID staff, national, subnational and local government officials, implementing partners and program beneficiaries) and conducted site visits to 27 communities excluding national and regional capitals. At the conclusion of the field research, the evaluation team collectively analyzed the data applying triangulation, site-by-site comparisons of communities and tallies of observable community features. The team then synthesized the evidence to establish findings and conclusions for the evaluation questions. The evaluation team provided its initial findings to the USAID Mission in Peru and U.S. Embassy staff in Ecuador in November 2014.

## Evaluation Findings and Conclusions

### EQ A: How are program elements performing towards achieving results?

#### **EQ A1: Where USAID partners are promoting sustainable livelihood practices (SLPs), to what degree have those practices been taken up by target groups?**

ICAA2 implementing partners (IPs) promote two kinds of SLPs: environmentally friendly agriculture and the extraction and management of forest and freshwater products. While selected through community consultations, in some cases these practices do not address the primary environmental threats faced by these communities. Despite this, most communities visited by the evaluation team have adopted the practices. In some cases these practices have been previously attempted unsuccessfully in the same communities, raising doubts on their efficacy. At the policy level, ICAA2 IPs were effective in influencing

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<sup>2</sup> Due to deteriorating relationships between the U.S. and Bolivian governments, no area-based activities were initiated in Bolivia.

policy changes to support the adoption of SLPs, although there is insufficient evidence to assess the impact of these efforts.

#### Conclusions:

- IPs have effectively supported community-level SLP adoption, although the efficacy of promoting SLPs that have previously been attempted unsuccessfully in communities is questionable.
- IPs have effectively influenced policies intended to enable the adoption of some specific SLPs.
- The environmental impact of promoted SLPs is questionable where the practices do not target primary threats to ecosystem integrity.

#### **EQ A2: Where target groups have taken up sustainable livelihood practices promoted by USAID partners, what were the effects of such uptake?**

The evaluation team identified improved environmental impacts from the adoption of SLPs related to the use of forest and fish products, but was unable to identify evidence of environmental impacts relating to agricultural practices. This was partly caused because of the more complex (i.e., less direct) relationship between sustainable agricultural practices and conservation. The evaluation team also identified social benefits arising from the adoption of SLPs, including improved social cohesion and stronger roles in the community for women. The evaluation team identified little evidence of economic benefit or viability for most SLPs – in many cases, there was no established market for products that justified the additional expense of the sustainable practices. In part, this was a result of the SLP selection not being informed by market and value chain assessment.

#### Conclusions:

- ICAA2 IP interventions seem to be comparatively better at producing environmental and social benefits than generating economic benefit.
- Many SLPs are not economically viable without continued support.

#### **EQ A3: Is there evidence that increasing capacity, increasing knowledge, and improving design for environmental incentives leads to the creation of a sufficient enough favorable condition for the development and implementation of economic incentives for conservation?**

The evaluation team found that ICAA2 IPs have been effective in increasing stakeholder knowledge and capacity to develop economic incentive programs for conservation, and have also been effective in influencing national policy in Peru, but not in Ecuador as a result of political factors that IPs perceive as reducing their ability to work with the Government of Ecuador. The effectiveness of these efforts address what stakeholders believe are key factors to enabling economic incentive (EI) programs.

While no new EI programs have yet been implemented, ICAA2 IPs have supported local communities to participate in existing EI programs. ICAA2's work on economic incentives does not support the work on SLPs and landscape management where it could be used to make practices within those results chains more sustainable.

#### Conclusions:

- IP interventions have increased the capacity of decision makers, generated knowledge and influenced specific laws in Peru and regulations at provincial level to promote EIs.
- EI interventions have a narrow focus, mostly related to Payment for Environmental Services (PES) and REDD+ systems, and do not generally contribute to SLP promotion or other ICAA2 results chains.

**EQ A4: What evidence is there of better landscape management planning by government and civil society that can be linked to ICAA efforts to strengthen these types of entities?**

Although ICAA2 IPs address most important environmental threats to landscapes, they do not address two important drivers of threats to Amazon ecosystem integrity: large-scale agriculture and hydrocarbon exploration. IPs' capacity building efforts with local governments have increased knowledge and capacity resulting in better landscape management. IPs have not established sustainability strategies for this capacity, which consider the high turnover of local government officials.

IPs have been effective in building the capacity of civil society, contributing to better landscape planning; sometimes this has been done through activities that are undertaken pursuant to other ICAA2 results chains (especially Indigenous Territories and Conservation Units). Noteworthy accomplishments include the suspension of two large infrastructure projects over concerns relating to conservation and indigenous peoples. IPs have also influenced legislation and regulations in Peru relating to landscape management (specifically the new Forest Law), but there is no evidence of similar influence in Ecuador.

Conclusions:

- Improvements in local government capacity are not sustainable due to overall institutional instability and a failure to develop institutional sustainability strategies.
- ICAA2 technical support and training to civil society groups has resulted in local landscape management plans in all ICAA2 landscapes, and several examples of civil society mobilization on large-scale infrastructure planning issues.
- Because of the termination of the cooperation agreement between the U.S. and Ecuador, there has been little impact on landscape planning at the national level in Ecuador.

**EQ A5: To what degree do ICAA partnerships (alliances) beyond the consortia, i.e., with government, civil society, universities, etc., influence landscape management planning?**

ICAA2 IPs engage in multi-stakeholder platforms that contribute to positive policy changes addressing landscape management planning. They do so through institutional commitments, not representing ICAA2. Outside of these platforms, IPs have formed partnerships with government agencies that have been successful in influencing landscape management – especially with respect to the participation of indigenous peoples. There is little evidence that ICAA2 IPs have formed partnerships with other actors (e.g., producer organizations) or other non-ICAA2 programs to influence landscape management planning.

Conclusions:

- IPs have positively influenced landscape planning at the local and subnational levels through institutional presence in existing multi-stakeholder platforms, but these changes cannot be attributed to ICAA2.
- ICAA2 has demonstrated that partnerships with governmental agencies can contribute to better landscape management, including in the areas of indigenous rights, control of environmental crime and progress towards legalization of informal mining.
- ICAA2 has missed opportunities to increase influence on landscape management planning by failing to collaborate with similar non-ICAA2 initiatives at the regional (international) level.

**EQ A6: What changes (in policy, levels of cooperation, nature of dialogue, discussion among relevant actors, etc.) have been influenced by ICAA2 information products - i.e., what evidence do we have of the impact of these products vis-à-vis the results chains?**

While the evaluation team was unable to assess the totality of the influence of information products, the team did find evidence of information products contributing to a better understanding by stakeholders and influencing policy change at the national level, especially in Peru. The team also identified evidence that ICAA2 information products have been used at the local level to aid decision-making (by communities and the government) and also to strengthen civil society in its conservation efforts. The range of products for which evidence of impact could be identified included research studies, legal analysis, maps, standards and gender mainstreaming materials and training.

#### Conclusions:

- ICAA2 information products can help stakeholders understand key issues and influence discussions relating to conservation and territorial issues.
- ICAA2 has demonstrated that its information products can directly influence national policies, especially on forest management, protection of Indigenous Peoples in Voluntary Isolation and Initial Contact (PIAVCI) and ecosystem services.
- Outputs of ICAA2-supported studies can be linked, as a knowledge basis, to local and subnational landscape management planning and environmental policies.

#### **EQ A7: What is the progress towards territorial consolidation (measured through such indicators as land titling, internal guard systems, planes de vida, and internal governance)?**

The evaluation team identified evidence that ICAA2 support has resulted in improved community organization and management through strengthened governance structures, capacity building of community leaders and training community boards. IPs have also supported nearly all ICAA2 communities to develop local territorial plans, i.e., plans that establish local rules for the community and serve as platforms for negotiations with other stakeholders. Local territorial plans have been established or are likely to be completed in nearly all communities prior to the conclusion of the program.

IPs have supported land titling by working with policy officials and through direct assistance. Land titling improves the opportunity of indigenous and local communities to access governmental programs and credits, which in turn can contribute to sustain SLPs and private conservation initiatives currently carried out in their territories. Finally, ICAA2 contributed to improved mechanisms for PIAVCI protection. The PM and IL consortia and work undertaken by ISU and the U.S. Department of the Interior (DOI) have improved the knowledge base and increased the capacity of government officials and indigenous organizations to establish and improve the management (e.g., through surveillance protocols, contingency plans) of territorial reserves and supported indigenous communities to influence major infrastructure projects with impacts on their lands.

#### Conclusions:

- IPs have improved the organization and management capacity of communities to allow them to develop and enforce local territorial plans and engage with external stakeholders.
- IPs have contributed to local territorial plans having been completed or in advanced stages of completion in most communities, allowing for more sustainable and legal management of their territory and its natural resources.
- Through the development of protocols, training to indigenous peoples' organizations and multi-stakeholder coordination activities at different levels, two IPs have contributed to improved PIAVCI protection, such as in the case of the suspension of the Pucallpa-Cruzeiro do Sul road project.

#### **EQ A8: What is the evidence of improved management practices in protected areas?**

ICAA2 IPs' technical assistance has contributed to the establishment of at least nine private and community conservation areas (five in Peru and four in Ecuador) and improved management practices in protected areas, including through support to government officials and indigenous communities to enable co-management of protected areas. There is also clear evidence that environmental management of tourism operators has improved as a result of ICAA2 IP activities, with both reserve officials and tourism operators highlighting the benefits of sustainable practices. There is little evidence that these tourism operators have been effective in involving indigenous peoples in their operations.

There has been considerable success in improving management practices in protected areas. While these achievements have occurred during ICAA2, they reflect the efforts of partners with a long history of work on protected area management and cannot be wholly attributed to the program. Challenges remain; the evaluation team found that financial sustainability continues to be a major challenge for long-term effective management of protected areas. Most conservation units targeted by the consortia suffer from financing gaps that hinder effective management.

#### Conclusions:

- ICAA2 IPs have contributed to the improved management of protected areas, although due to their long investment in this issue (prior to ICAA and through multiple funding sources), it is not possible to attribute improvements solely to the program.
- ICAA2 IPs' efforts on territorial consolidation of indigenous communities bordering or inside protected areas have contributed considerably to conflict resolution, improved management and establishment of new areas.
- ICAA2 IPs have not worked on financial sustainability strategies for the targeted protected areas, and it is not clear that many of these are financially sustainable.

#### **EQ A9: How are new management practices in protected areas addressing key threats to biodiversity?**

Within conservation units, ICAA2 IPs have successfully targeted the underlying causes contributing to threats relating to illegal land use, infrastructure and mining by supporting strengthened management and legal frameworks within the environment sector. ICAA2 is missing opportunities to create positive impact for biodiversity conservation by not addressing some other key threats to biodiversity in protected areas – e.g., those driven by hydrocarbon exploitation and land use change by agro-industrial crops.

There is little evidence that ICAA2 has effectively promoted economic alternatives to practices that constitute threats to biodiversity (see EQ A2). The evaluation team encountered numerous examples where such practices constituting threats to biodiversity are being undertaken or considered as viable options for communities – e.g., the attraction of an easy income source from unsustainable activities continues to drive people to illegal mining activities in Tambopata, illegal wildlife extraction in Pacaya Samiria and illicit crops in Bahauja Sonene.

#### Conclusions:

- By not addressing biodiversity threats originating from oil/gas exploration and land use change by (commodity) agriculture, there is a risk that positive results of other ICAA2 activities will be minimized.
- The mitigation of biodiversity threats in protected areas cannot be addressed solely through conservation strategies. Interventions must incorporate other results chains (particularly sustainable livelihoods and large-scale planning) to be effective.



- Because promoted SLPs still do not provide a viable economic alternative for communities in and around conservation units, unsustainable practices by local inhabitants continue to form a threat to biodiversity.

**Evaluation Question B: How is program performance being affected by management structures at the USAID-level, program-level and mechanism-level?**

While the evaluation SOW does not include sub-questions for Evaluation Question B, in conversations with the evaluation team prior to the field research, USAID indicated three subsidiary issues to be addressed in answering this question. For the purposes of clarity, these issues are phrased as sub-questions in the evaluation and addressed below.

**EQ B1: How has ICAA2 performance been affected by the transition from US-based program management to Peru-based program management?**

The transfer of ICAA2 management from Washington to Lima, with Agreement Officer’s Representatives (AORs) in Quito and Bogota, has resulted in more direct lines of communication (between IPs and AORs) and engaged more national USAID staff, who have a better understanding of the local context, in program management. Compared to ICAA1 (which was managed from Washington), there has been more frequent turnover among AORs and Contracting Officer’s Representatives (CORs) and several of the new AORs/CORs are less experienced than previous USAID staff. According to ICAA2 IPs, this causes implementation delays, misunderstandings and a perception that USAID does not provide adequate program guidance because of lack of seniority and capacity.

Although AORs/CORs engage in regular meetings internally and with colleagues associated with other USAID programs, there is little strategic coordination between ICAA2 consortia or between consortia and the TSPs in Peru. There is also limited collaboration between ICAA2 and other USAID programs in the Amazon region at the regional or national level. At local level, there are examples of greater collaboration between USAID programs.

In May 2013, USAID stopped its activities in Bolivia, following orders of the Bolivian government, and ICAA2 did not include any activity there. In October 2014, the USAID office in Ecuador was closed because the Government of Ecuador did not sign a new collaboration agreement with the U.S., stating that U.S. development aid is no longer necessary. Because ICAA is a regional program not directly managed from the bilateral office in Quito, ICAA2 has continued in Ecuador but limits its activities in support to the national government. At present, IPs are uncertain with whom they can cooperate absent written instruction from USAID.

Conclusions:

- USAID region-based program management has improved communication and the direct involvement of USAID staff with program activities. It did not improve the speed of the administrative procedures or the level of coordination within USAID.
- Due to inadequate collaboration, ICAA2 is missing opportunities to create synergies with other USAID forest programs implemented in the Peruvian Amazon.
- Because of the deteriorating political relationships of the U.S. government with Bolivia and Ecuador, ICAA2 cannot attain its planned results at the desired regional scale.

**EQ B2: How is ICAA performance affected by program-level management structures (i.e., ICAA Consortia, Technical Support Partners, ICAA2 Support Unit)?**

Each landscape consortium is delivered as a stand-alone project: consortium partners are fully focused on attaining their particular goals and are not incentivized to coordinate with others, and there are few

joint activities between consortia. Although expected to facilitate overall management of ICAA2 together with USAID, the ICAA Support Unit (ISU) does not have authority to supervise other consortia. Likewise, there is no single oversight person within USAID, and according to interviewed staff there is no strategic alignment of ICAA2 activities.

The ISU has executive responsibilities for IRs 2, 3 and 4, grant management and cross-cutting themes (knowledge management, gender mainstreaming, etc.). The ISU is effective with respect to these tasks as well as with its policy support role, in which it effectively forms a gateway for consortia to the national government. This latter role is not generally understood by other consortia.

There is little evidence that TSP activities contribute towards program objectives as described by the results chains. With exception of DOI, TSP activities (which are themselves often delivered effectively) are often unrelated to the activities of other ICAA2 IPs; they support other stakeholders and their role is poorly communicated within the program. When asked “what is the benefit of the participation of the Technical Support Partners?”, the majority of ICAA2 partners could not identify a benefit.

In August 2013, ICAA2 developed results chains in line with the open standards in the practice of conservation. Stakeholders considered the development of the results chains useful to understand the overall program theory and identify where their strategies and activities fit into the general program logic. They also believe the result chains to be overly complex. The evaluation could not identify any evidence that the adoption of the result chains affected program performance or promoted better coherence and collaboration, and noted that the results chains were neither monitored nor reported against. In discussing the results chains with eighteen ICAA2 partners, only six could identify to which results chains their activities contributed.

#### Conclusions:

- The complex management structure, the nature of the collaborative agreements with consortia, and the lack of an oversight body have created a lack of collaboration between consortia.
- The ISU's role is poorly understood by partners and its effectiveness in generating cross-consortia communication and collaboration would be improved with a stronger mandate.
- Most TSPs provide valuable support to specific stakeholders, but in many occasions both the support and beneficiary organizations are unrelated to the program and therefore the contribution of most TSPs to the main ICAA2 results is limited.
- The construction of a theory of change helped for better overall program comprehension among the main ICAA2 IPs, but because the results chains were not adequately disseminated to junior partners and performance indicators and reporting were not linked to the results chains, it did not result in any changes for the performance of the program.

#### **EQ B3: How is ICAA performance affected by the management structures within consortia?**

ICAA2 consortia generally demonstrate good management and communication, and the experience and expertise of national partners is relied upon and contributes to better program delivery. All national junior partners interviewed by the evaluation team commended the experience and ability of consortium leads to manage USAID projects and provide global technical experience. In Peru and Ecuador national organizations have been more effective in managing relationships with government agencies than their international counterparts.

The inclusion of indigenous peoples' organizations as junior partners in two ICAA2 consortia has contributed to more relevant grassroots work for those consortia. The indigenous peoples'

organizations have been more effective in community strengthening than other national partners and contribute to scaling up activities.

#### Conclusions:

- Within the landscape consortia, transparent and complementary collaboration and good communication are key ingredients for effective performance of their plans of work.
- The inclusion of indigenous peoples' organizations as IPs in consortia is an innovative approach that created more opportunities for scaling up and replication.

#### **Evaluation Question C: How effectively is the overall strategic design of the initiative leading to results that will ensure long-term conservation of natural resources in the Andean Amazon?**

The two evaluation sub-questions relating to Evaluation Question C are addressed below. In each case, the findings are presented followed by the conclusions.

#### **EQ C1: Is there value added from having this program operate regionally versus having multiple bilateral projects?**

USAID selected its countries of operation and landscapes for intervention primarily on the basis of political constraints (i.e., where the program could work) and adjusted on several occasions due to political issues. Further, the strategies and activities undertaken by the consortia were based upon consortia proposals and not grounded in a socio-economic analysis of threats and most effective responses. This approach does not contribute to a regional approach to the delivery of ICAA2.

The structure and delivery of ICAA2 add little value to regional conservation efforts. While ICAA2 effectively promotes the exchange of experiences and organizes thematic meetings, there is little collaboration between landscape consortia at the regional level. Even the consortia that work in more than one country tend to split their work and have different persons in USAID as their focal points, creating in practice bilateral projects.

#### Conclusions:

- ICAA2 lacks a coherent regional vision and approach. It is not structured to promote the collaboration of different partners in different countries to jointly reach an overall goal at the international level.
- Besides the exchange of experiences, there is no added value from the program acting at a regional level, and the impression of a series of individual landscape-focused projects remains.

#### **EQ C2: How is the work being undertaken by ICAA partners creating synergies at the various levels of engagement (i.e., regional, national, sub-national and local)?**

ICAA2 IPs created synergies at the local level in their work relating to territorial consolidation, SLPs, conservation units and (to a lesser extent) landscape management results chains. This is especially the case in areas where indigenous territories coincide with conservation units, as territorial consolidation is important to implementing SLPs, developing local enterprises and ensuring the establishment and recognition of the limits of conservation units. Synergy with EI activities did not take place at this level (see EQ A3).

There is evidence that synergies at the subnational and national levels are only exploited on occasion (e.g., strengthened political and legal frameworks in Madre de Dios, Ucayali, Loreto, Napo and Sucumbios create a more positive enabling environment for municipal development plans, territorial

ordinances). There is almost no evidence that opportunities for the scaling up and replication of positive local experiences using collaboration mechanisms with subnational or national stakeholders have been exploited. This has not been taking place for SLPs, and there are a few examples for EIs and Conservation Units.

#### Conclusions:

- ICAA2 IPs have exploited opportunities to create synergy between territorial consolidation, sustainable livelihoods, conservation units and large-scale planning at the local level, which has resulted in coherent and complete support of a series of indigenous peoples' communities, interacting with conservation units in Peru and Ecuador.
- Opportunities for synergy between the local, subnational and national levels have been partially exploited to create political and legal frameworks to support local territorial management. However, opportunities for collaboration to scale up or replicate local interventions relating to SLPs, EIs and Conservation Units have not been generally exploited.

## Recommendations

The evaluation team provides two sets of recommendations. The first set of recommendations is focused on actions that can be taken in the near term to improve the performance of this phase of ICAA. The second set of recommendations applies to any subsequent program.

### A. Recommendations to improve the performance of ICAA, Phase II

**Recommendation 1:** Given the short time period remaining for most landscape consortia in Phase II and the partial progress towards many community-level results, ICAA2 IPs should focus on ensuring that results are fully consolidated and sustainable. This implies developing a strategy that concentrates on building up a legacy for the project to be sustained in the future by the beneficiaries, third parties (other initiatives) or any subsequent phase of the program. Specifically, IPs should:

- Identify those SLPs most likely to be sustainable (especially economically) in the short-term and undertake activities to support this sustainability. Discontinue support for SLPs that do not appear sustainable and do not initiate new SLPs at this time.
- Continue territorial consolidation efforts (e.g., resolving land conflicts, supporting territorial plan development and land titling) in communities where progress has already been established, but do not expand efforts to new communities.
- Focus the support on EIs on the consolidation of those activities that are more feasible to generate tangible outputs for key stakeholders: studies on The Economics of Ecosystems and Biodiversity (TEEB) and pilot projects on PES (currently under implementation with ISU support).
- Consolidate support to large-scale planning by concentrating activities on a fewer number of processes with evident positive impact (e.g., planning of infrastructure, formalization of artisanal mining, PIAVCI) as opposed to scattered action across a broad set.

**Recommendation 2:** To promote sustainability of SLPs, ICAA2 IPs should undertake market and value chain analyses to identify the most promising products, and focus market and value chain development on these in order to provide economic benefit for the communities.

**Recommendation 3:** ICAA2 IPs should develop and implement strategies to sustain capacity development with government institutions (especially those with higher turnover rates). Such strategies should target capacity building at the institutional (rather than individual staff) level, should be based upon an institutional needs analysis, and will likely include foci on staff development and retention policies and institutional knowledge management.

**Recommendation 4:** Collaboration between consortia is important to ensure any program impact beyond the individual consortia level. As such, a serious investment of time and financial resources is warranted to promote and incentivize collaboration for the remainder of the program. Potential activities could include:

- Two ICAA2 partner meetings and several thematic meetings should be held, focusing on opportunities for collaboration. Participants should commit to developing collaboration agreements and be willing to be held accountable for these agreements for the remainder of ICAA2.
- USAID AORs/CORs should consider ways to incentivize collaboration between ICAA2 partners and incorporate these approaches into partner work plans, reporting to the consortia at partner-wide meetings on the success of collaboration efforts.
- Consortia and USAID should discuss and agree on a plan to ensure collaboration towards region-wide program results.

**Recommendation 5:** Given the low level of familiarity with the results chains among many IPs, it is counter-productive at this stage to attempt to mainstream the results chains in program delivery and reporting. However, results chains should be revisited at the end of ICAA2 by USAID and IPs to assess program performance.

**Recommendation 6:** TSPs should support activities of landscape consortium partners in the current intervention sites. Ongoing activities that do not comply with these criteria should be amended to comply with this approach or be discontinued.

**Recommendation 7:** USAID should develop a written protocol to instruct its partners about their interaction with Ecuadorian government agencies during the remainder of the program.

**Recommendation 8:** USAID should revisit its consortia management practices to:

- Explore ways to reduce the time expended from the work plan drafting stage to final approval.
- Consortia should be encouraged to be more candid, describing clearly and transparently both positive developments and setbacks.
- AORs should ensure that each consortium has a coherent upper-level strategy, intelligent implementation tactics and indicators to track progress at both levels. In some cases, it may be necessary to use a logical framework or similar tool.
- If necessary, USAID should facilitate the provision of technical assistance to remedy shortcomings.

## **B. Recommendations for the design of a subsequent phase of the program**

**Recommendation 9:** Recommendation 9 is a restatement of Recommendation 7 from the 2010 ICAAI mid-term evaluation. ICAA2 should increase the magnitude of its measurable impact by being more strategic in future investments. A highly-focused strategy should be the foundation for any such funding. Procurements should specifically outline USAID's strategy and what is needed to meet it. Respondents should be obligated to meet those requirements. Implementation instruments should be designed, to the extent possible, so that USAID can have an ongoing role in helping implementers adapt to changing circumstances.

**Recommendation 10:** As the program structure has not achieved impact beyond the individual landscapes (both in ICAAI and ICAA2), USAID should consider an alternative program structure in any future phase of ICAA that will promote greater degrees of collaboration between consortia working in different landscapes.

**Recommendation 11:** USAID should consider alternative approaches that ensure the replication and scaling up of SLPs, including ceasing development and on-site testing of SLPs and concentrating fully on

scaling up well-documented practices to create large-scale impact. The application of the positive lessons learned for replication, achieved through involvement of indigenous peoples' organizations in ICAA2 consortia, should be explored.

**Recommendation 12:** USAID should consider developing individual bilateral programs where this is politically possible (Peru, Colombia, possibly renewing efforts to include Guyana, Surinam and Brazil) with joint contributions to an articulated regional vision based upon biological and socio-economic criteria.

While the bilateral programs can operate independently, a regional structure is required that oversees regional coherence and coordinates specific joint activities to promote impact. This structure could be coordinated by a stakeholder who can act at the regional level, has the capacity to convene governments as well as civil society and is able to develop science-based policies and intervention strategies. In addition, a multi-stakeholder platform should be promoted to ensure the delivery of the region-wide vision and appropriation by key stakeholders at the national and regional levels.

**Recommendation 13:** To ensure more coherent delivery of program strategies in any future phase of ICAA, USAID should agree on results chains before the start of interventions and select intervention areas, beneficiaries and partners best suited to deliver them. Reporting and monitoring should be aligned to the results chains.

# INTRODUCTION

## Evaluation Purpose and Scope

The U.S. Agency for International Development (USAID), through its Mission in Peru, requested that the E3 Analytics and Evaluation Project<sup>3</sup> design and implement a mid-term performance evaluation of the second phase of the Initiative for Conservation in the Andean Amazon (ICAA2). The purpose of this evaluation is: to better understand ICAA2's performance, to identify and address any immediate opportunities for improvement and to inform the design of the third phase of the program. USAID also has a secondary interest in identifying any potential advantages or disadvantages of funding ICAA2 as a regional program as opposed to multiple bilateral projects.

The primary audiences for the evaluation are USAID's Latin America and the Caribbean Bureau, the USAID/Peru Mission and the Office of Forestry and Biodiversity (FAB) in the Bureau for Economic Growth, Education and Environment (E3), as well as the program's implementing partners (IPs). Lessons learned from this evaluation may also be applicable to biodiversity programs in other regions or countries.

As agreed with USAID, the evaluation will use six of the program's ten results chains, which are discussed further below and in a series of annexes to this report, as the frameworks for examining causal relationships and performance. All ten of the ICAA2 results chains are listed below, with the first six (shown in bold) being examined through this evaluation.

1. **Sustainable Livelihoods** (Actividades Productivas Sostenibles/Medios de Vida)
2. **Economic Incentives** (Incentivos Económicos/Pago por servicios ambientales)
3. **Large-Scale Planning** (Planificación Integral de Recursos a Gran Escala)
4. **Knowledge Generation and Dissemination** (Generación y difusión del conocimiento)
5. **Indigenous Territories** (Manejo de Territorios Indígenas)
6. **Conservation Units** (Establecimiento y gestión de unidades de conservación)
7. Land Tenure (Tenencia de Tierra)
8. Infrastructure (Infraestructura)
9. Forest Law (Desarrollo e Implementación de la Legislación Forestal)
10. Indigenous Rights (Derechos Indígenas)

The ICAA2 Results Framework section provides a fuller description of these results chains.

## Evaluation Questions

The evaluation questions and sub-questions shown in Table 2 were developed through a series of consultations with USAID that culminated in the Statement of Work (SOW) for this evaluation (see Annex A). Each question is specifically tied to one of the results chains listed above; the number shown in parentheses at the end of each question reflects its corresponding results chain linkage.

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<sup>3</sup> The E3 Analytics and Evaluation Project consists of a lead implementer, Management Systems International (MSI), and partners Development & Training Services (dTS) and NORC at the University of Chicago.

**TABLE 2: ICAA2 EVALUATION QUESTIONS AND SUB-QUESTIONS**

<b>EQ A: How are program elements performing towards achieving results?</b>
A1. Where USAID partners are promoting sustainable livelihood practices, to what degree have those practices been taken up by target groups?*(Disaggregate by on-the-ground and institutional levels [affecting laws, policies, etc.]) (RC1)
A2. Where target groups have taken up sustainable livelihood practices promoted by USAID partners, what were the effects of such uptake? (Disaggregate by on the ground and institutional (laws/policies) levels) (RC1)
A3. Is there evidence that increasing capacity, increasing knowledge, and improving design for environmental incentives leads to the creation of a sufficient enough favorable condition for the development and implementation of economic incentives for conservation? (RC2)
A4. What evidence is there of better landscape management planning by government and civil society that can be linked to ICAA efforts to strengthen these types of entities? (RC3)
A5. To what degree do ICAA partnerships (alliances) beyond the consortia, i.e., with government, civil society, universities, etc., influence landscape management planning? (RC3)
A6. What changes (in policy, levels of cooperation, nature of dialogue, discussion among relevant actors, etc.) have been influenced by ICAA2 information products - i.e., what evidence do we have of the impact of these products vis-à-vis the results chains? (RC4)
A7. What is the progress towards territorial consolidation (measured through such indicators as land titling, internal guard systems, planes de vida, and internal governance)?* (RC5)
A8. What is the evidence of improved management practices in protected areas? (Disaggregate by indigenous territories and non-indigenous conservation areas) (RC6)
A9. How are new management practices in protected areas addressing key threats to biodiversity? (disaggregate by indigenous territories and non-indigenous conservation areas) (RC6)
<b>EQ B: How is program performance being affected by management structures at the USAID-level, program-level and mechanism-level?</b>
<b>EQ C: How effectively is the overall strategic design of the initiative leading to results that will ensure long-term conservation of natural resources in the Andean Amazon?</b>
C1. Is there value added from having this program operate regionally versus having multiple bilateral projects?
C2. How is the work being done by partners creating synergies at the various levels of engagement (regional, national, sub-national, or local)?

## **Background and Rationale for ICAA2**

The Amazon Basin includes the world’s largest intact area of tropical forest and contains immeasurable environmental and cultural wealth. Conserving and sustainably developing this natural and social wealth represents both an immense opportunity and responsibility. On a daily basis, governments and civil societies within the Amazon Basin face the challenge of meeting short- and long-term needs by balancing environmental conservation and economic well-being.

In 2006, USAID initiated Phase I of the ICAA program (originally named ABCI). ICAA I worked in Bolivia, Brazil, Colombia, Ecuador and Peru, until Brazil’s departure from the program in 2008. ICAA I was designed to work innovatively across and within boundaries to save one of the world’s most biodiverse areas by strengthening indigenous groups, convening national and regional policy dialogues on



the main drivers of forest destruction and empowering local organizations and agencies to create and manage new protected areas and indigenous territories.

**FIGURE 1: ICAA2 IMPLEMENTATION AREAS**



USAID initiated ICAA2 in 2011 to work in Bolivia, Colombia, Ecuador and Peru – although due to the deterioration in the relationship between the U.S. and Bolivian governments, no area-based projects were initiated in Bolivia. Figure 1 shows the ICAA2 implementation areas. The USAID Missions in countries that touch on the Amazon Basin agreed on the need for a regional USAID program that would complement bilateral program activities that are inherently more national in scope (e.g. national policy dialogue, strengthening a national park system, conservation activities in non-Amazon regions).

ICAA2 has a \$75 million budget for a five-year period (2012-2016) and is managed by USAID/Peru’s regional platform, the Operating Unit for South America Regional/Environment (SAR/Env). The E3/FAB office provides technical assistance to SAR/Env and ICAA2 through the E3 Measuring Impact Project.

### ICAA2 Program Structure

USAID administers ICAA2 through three partner groups: a set of seven landscape consortia, a regional support unit and four technical support partners.

These groups are described in more detail below.

**Landscape Consortia** – There are seven ICAA2 landscape consortia, each consisting of several organizations working under a lead organization. The consortia are organized around landscapes and focus on holistic solutions to the threats that put the Andean Amazon at risk.

**TABLE 3: ICAA LANDSCAPE CONSORTIA**

Consortium	Consortium Objective(s)	Consortium Partners
<b>FA:</b> Connected Landscapes in Caquetá Program (Colombia)	Guide and establish participatory models of sustainable land management and conservation mechanisms. Strengthen traditional knowledge to assure food sovereignty and reduce pressures on the forest. Ensure cultural diversity and gender perspective.	<b>Fondo Acción</b> Amazon Conservation Team Gobernación del Caquetá
<b>C&amp;G:</b> Conservation and Governance Program in the Amazonian Piedmont (Colombia)	Improve the living standards of the population through the management of productive systems and natural resources use. Improve planning and the management of biodiversity conservation of selected landscapes. Strengthen territorial governance and institutions by generating and strengthening capacities for making informed decisions through a process of “learning-by-doing”.	<b>Fondo Patrimonio Natural</b> Parques Nacionales Naturales de Colombia Instituto Amazónico de Investigaciones Científicas Centro para la Investigación en Sistemas Sostenibles De Producción Agropecuaria World Wildlife Fund

Consortium	Consortium Objective(s)	Consortium Partners
<p><b>IL:</b> Indigenous Landscapes (Ecuador and Peru)</p>	<p>Strengthen Amazonian indigenous organizations in environmental management issues.</p> <p>Reduce threats to indigenous landscapes and areas important for biodiversity.</p> <p>Establish sustainability mechanisms for management of natural resources.</p>	<p>Wildlife Conservation Society</p> <p><b>The Nature Conservancy (TNC)</b>  Fundación Sobrevivencia Cofán  Coordinadora de Organizaciones Indígenas de la Cuenca Amazónica  Nacionalidad Originaria A'í Kofan del Ecuador  Instituto del Bien Común (IBC)  Conservation Strategy Fund (CSF)</p>
<p><b>LMT:</b> Loreto-Manu-Tampopata (originally: Loreto - Madidi – Manu) Consortium (Peru)</p>	<p>Ensure sustainable land use and conservation of biodiversity at the landscape level.</p> <p>Expand the use of sustainable, productive alternatives and economic incentives for conservation.</p> <p>Strengthen local capacities for good governance of natural resources.</p> <p>Strengthen local capacities to develop agreements and consensus around environmental issues.</p>	<p><b>Wildlife Conservation Society (WCS)</b>  Sociedad Peruana de Derecho Ambiental (SPDA)  Fondo de las Américas</p>
<p><b>Madre de Dios:</b> Madre de Dios Consortium (Peru)</p>	<p>Mitigate the environmental impact caused by mining, recovering areas degraded by this activity.</p> <p>Help improve the environmental management of the Tambopata and Inambari watersheds, as well as the areas around the highway.</p> <p>Strengthen the population's capacity to adapt to the effects of climate change.</p>	<p><b>University of Florida</b>  Woods Hole Research Center  Proyecto Especial Madre de Dios del Gobierno Regional de Madre de Dios  Universidad Amazónica de Madre de Dios  Asociación Huarayo</p>
<p><b>PM:</b> Purús – Manu Consortium (Peru)</p>	<p>Strengthen the management of the Alto Purús National Park, Purús Communal Reserve and land reserves for indigenous peoples in voluntary isolation and initial contact.</p> <p>Contribute to the sustainable management of natural resources and improvement of the socio-economic welfare in the Purús-Manu Conservation Corridor (PMCC).</p> <p>Strengthen and promote strategies and policies for long-term conservation and welfare of the people of the PMCC.</p>	<p><b>World Wildlife Fund (WWF)</b>  ProNaturaleza  CARE  Frankfurt Zoological Society (FZS)  Organización Regional AIDSESP-Ucayali  ProPurús</p>
<p><b>SL:</b> Sustainable Livelihoods Consortium (Ecuador and Peru)</p>	<p>Promote proper planning and use of sustainable practices for natural resource management in selected landscapes.</p> <p>Improve environmental governance, strengthening the participation of civil society in the management of natural resources and supporting the adoption of policies, laws, agreements or regulations that protect biodiversity.</p> <p>Improve access to sustainable livelihoods and the resilience of ecosystems, strengthening the organizational and business capacity of non-traditional enterprises and applying them to payment markets for</p>	<p><b>Rainforest Alliance (RA)</b>  Asociación para la Investigación y el Desarrollo Integral  Corporación Gestión y Derecho Ambiental</p>

Consortium	Consortium Objective(s)	Consortium Partners
	environmental services.	

**ICAA Support Unit (ISU)** – International Resources Group (IRG) manages the ISU consortium, which is responsible for implementing activities that address cross-cutting themes as well as promoting and supporting the dissemination of knowledge among all ICAA2 partners. ISU also serves as the program secretariat, providing assistance in program management in addition to technical support through the areas of knowledge management, communications, monitoring, gender, indigenous issues and capacity building.

**Technical Support Partners (TSPs)** – TSPs provide technical support and complement the work of the consortia and ISU, sharing their experience in the management and conservation of natural resources. This group includes the Center for International Forestry Research (CIFOR), Higher Education for Development (HED), the U.S. Department of the Interior (DOI) and the U.S. Forest Service (USFS).

USAID partners report on progress under ICAA2 based on a common set of performance indicators established in relation to the original Results Framework (RF), rather than on indicators linked to the results chains, as indicators by results chain have not yet been developed. A list of the 15 RF indicators on which ICAA2 does report, and the most recent performance data for those indicators, is provided in Annex O. In addition, each of the twelve IP groups has additional indicators that they use internally to monitor progress.

## ICAA2 Results Framework

ICAA2 fits within the structure of intended results that make up the RF for USAID/Peru’s SAR/Env unit, which originated in the Latin America and Caribbean Bureau’s Regional Sustainable Development (LAC/RSD) Office. ICAA2 focuses on a single Development Objective (DO): *Amazon Biome Maintained*. Three broad program objectives support this goal:

- Objective 1 – Reduced deforestation and biodiversity loss
- Objective 2 – Natural resources governance functioning effectively
- Objective 3 – Increased livelihood quality and sustainability

Four Intermediate Results (IRs) support the achievement of these three objectives:

- IR 1: Selected landscapes managed sustainably
- IR 2: Functioning of key elements of natural resources governance in critical landscapes improved
- IR 3: Capacity to use payment for environmental services (PES)-like and other economic incentive programs increased
- IR 4: Understanding of key environmental issues and solutions improved

## ICAA2 Results Chains

In 2013, at the operating level of the ICAA2 program, USAID facilitated a collaborative process through which the ICAA2 IPs developed a set of detailed “results chains” to help program partners establish a shared vision of the intended outcomes of this program, IRs that lead towards those outcomes and

common strategies across the program's wide range of partner organizations. Results chains were annotated by the partners themselves to indicate the strategies on which they are working under each results chain. The results chains show the strategies that the various implementing partners are pursuing and the outputs, outcomes and broader results of the program that these strategies are expected to achieve. A total of ten results chains were developed. While these results chains have not formally superseded USAID's RF for this program, some discussions at the operating level between USAID and its partners, and the SOW for this evaluation (see Annex A), are guided by the results chains. Thus, to help clarify the relationship between the two results structures, the evaluation team developed an unofficial concordance that is included in Annex C.

## EVALUATION METHODOLOGY

### Evaluation Design

While this evaluation primarily focuses on the performance of ICAA2 delivery, several of the evaluation sub-questions (specifically sub-questions A2 and A4) focus on understanding whether and to what extent ICAA2 activities contribute to improved conservation and environmental outcomes. To address performance-related questions, the evaluation assessed ICAA2 effectiveness through pre/post assessments of behavior change on the part of direct beneficiaries. To address the extent to which ICAA2 activities contribute to intended outcomes, the evaluation used two approaches: the Environment Profile Stocktaking Approach and General Elimination Method, which are further described below.

#### Environment Profile Stocktaking Approach

To address evaluation sub-question A2, the evaluation team worked with ICAA2 IPs to develop clear descriptions of promoted sustainable livelihoods practices (SLPs) and the anticipated benefits of adoption of the practice for beneficiaries, communities and the ecosystem. The evaluation team will undertake site visits to observe directly the biophysical and socio-economic characteristics of each site and gather data from beneficiaries and community leaders to obtain their perspectives on:

- the nature of the support provided by the ICAA2 partner;
- factors that contributed to their adoption or failure to adopt the SLP;
- benefits, detriments or changes to the individual and community that have resulted from the adoption or failure to adopt the practice; and
- other factors that enabled or hindered the adoption of the practice.

The team then analyzed the data to understand whether and how the target intervention challenged and changed prevailing attitudes and practices and what the impacts of these changes have been over time. The team used cross-site comparison to identify similarities and discrepancies in delivery approaches, rates and reasons for adoption of SLPs and the impact of interventions on livelihoods and conservation across the sample communities.

#### General Elimination Method

General Elimination Method involves the explicit identification of possible alternative causes for intended program results and systematic efforts to determine whether those other possible causes contributed to observed results, or can be eliminated as possible causes of the results the evaluation documents. It was used to address evaluation sub-question A4.

Prior to and during field research, the evaluation team interviewed ICAA2 IPs and key stakeholders to understand the intervention logic that underpins each of the relevant partner activities and any contextual factors or rival explanations that could hinder or contribute to observed results. The evaluation team used this information to refine the existing research questions to incorporate key assumptions and rival explanations that would be considered during the research.

The evaluation team then gathered evidence on the key links in the results chains to assess the extent to which each link in the logic chain has been upheld and whether other factors might be responsible for observed changes. On this basis, the team assessed ICAA2's contribution to observed results.

## Data Collection and Analysis Methods

To address the evaluation questions, the evaluation team undertook secondary analysis of program documents and studies and conducted semi-structured and group interviews with ICAA2 stakeholders including USAID, IPs, government officials, community leaders and program beneficiaries. A description of research methods and analytical approaches used to address each of the evaluation questions is presented below. Annexes E and F provide additional detail on study methods.

**TABLE 4: RESEARCH AND ANALYTICAL APPROACHES UTILIZED**

Evaluation Question(s)	Research Method	Analytical Approach
<b>EQ A: How are program elements performing towards achieving results?</b>	Question addressed through sub-questions	Question addressed through sub-questions
A1. Where USAID partners are promoting sustainable livelihood practices, to what degree have those practices been taken up by target groups?* (Disaggregate by on-the-ground and institutional levels [affecting laws, policies, etc.])	Semi-Structured (SS) Interviews Group Interviews Document Review Observation (unstructured)	Triangulation and Synthesis of Evidence Site by Site Comparison Numerical Tallies
A2. Where target groups have taken up sustainable livelihood practices promoted by USAID partners, what were the effects of such uptake? (Disaggregate by on the ground and institutional (laws/policies) levels)	SS Interviews Group Interviews Most Significant Change	Triangulation and Synthesis of Evidence Site by Site Comparison
A3. Is there evidence that increasing capacity, increasing knowledge, and improving design for environmental incentives leads to the creation of a sufficient enough favorable condition for the development and implementation of economic incentives for conservation?	SS Interviews Group Interviews Document Review	Triangulation and Synthesis of Evidence
A4. What evidence is there of better landscape management planning by government and civil society that can be linked to ICAA efforts to strengthen these types of entities?	SS Interviews Group Interviews Document Review	Triangulation and Synthesis of Evidence National Level Comparisons
A5. To what degree do ICAA partnerships (alliances) beyond the consortia, i.e., with government, civil society, universities, etc., influence landscape management planning?	Document Review SS Interviews	Triangulation and Synthesis of Evidence
A6. What changes (in policy, levels of cooperation, nature of dialogue, discussion among relevant actors, etc.) have been influenced by ICAA2 information products - i.e., what evidence do we have of the	Document Review SS Interviews Policy/Research Tracking	Triangulation and Synthesis of Evidence Text Comparisons

<b>Evaluation Question(s)</b>	<b>Research Method</b>	<b>Analytical Approach</b>
impact of these products vis-à-vis the results chains?		
A7. What is the progress towards territorial consolidation (measured through such indicators as land titling, internal guard systems, planes de vida, and internal governance)?*	SS Interviews Group Interviews Document Review	Triangulation and Synthesis of Evidence Site by Site Comparison Numerical Tallies
A8. What is the evidence of improved management practices in protected areas? (Disaggregate by indigenous territories and non-indigenous conservation areas)	SS Interviews Group Interviews Document Review	Triangulation and Synthesis of Evidence
A9. How are new management practices in protected areas addressing key threats to biodiversity? (disaggregate by indigenous territories and non-indigenous conservation areas)	SS Interviews Group Interviews Document Review	Triangulation and Synthesis of Evidence
<b>EQ B: How is program performance being affected by management structures at the USAID-level, program-level and mechanism-level?</b>	Question addressed through sub-questions	Question addressed through sub-questions
B1. How has ICAA performance been affected by the transition from US-based program management to Peru-based program management?	Document Review SS Interviews	Triangulation and Synthesis of Evidence
B2: How is ICAA performance affected by program-level management	Document Review SS Interviews	Triangulation and Synthesis of Evidence
B3. How is ICAA performance affected by the management structures within consortia?	Document Review SS Interviews	Triangulation and Synthesis of Evidence
<b>EQ C: How effectively is the overall strategic design of the initiative leading to results that will ensure long-term conservation of natural resources in the Andean Amazon?</b>	Question addressed through sub-questions	Question addressed through sub-questions
C1. Is there value added from having this program operate regionally versus having multiple bilateral projects?	Document Review SS Interviews	Triangulation and Synthesis of Evidence
C2. How is the work being done by partners creating synergies at the various levels of engagement (regional, national, sub-national, or local)?	Document Review SS Interviews	Triangulation and Synthesis of Evidence

All collected data have been stored on a secure MSI server and will be transferred in electronic format to USAID within 30 days of the approval of the Final Evaluation Report.

## **Data Collection Plan**

### **Evaluation Team**

The evaluation team was composed of core members Dr. Robert Hofstede, Dr. Miguel Cabal and Ms. Sigrid Vásconez.

**Team Leader – Dr. Robert Hofstede:** Dr. Hofstede is an accomplished conservation program evaluation specialist who previously directed the South America regional program for the International

Union for the Conservation of Nature. Dr. Hofstede trained as a tropical ecologist and his academic background includes many aspects of agronomy, forestry and geography.

**Senior Researcher – Dr. Miguel Cabal:** Dr. Cabal has 25 years’ experience working as a researcher, evaluator, and policy planner throughout the Americas. Dr. Cabal’s key technical expertise lies in an understanding of sustainable livelihoods, rural economic development, quantitative and qualitative data collection methodologies, and econometric analysis.

**Evaluation Researcher – Mrs. Sigrid Vásconez:** Mrs. Vásconez has 15 years of experience in environmental and natural resource management and is a regional expert in forest management and protected areas management, having led numerous initiatives in Ecuador’s Amazon Basin.

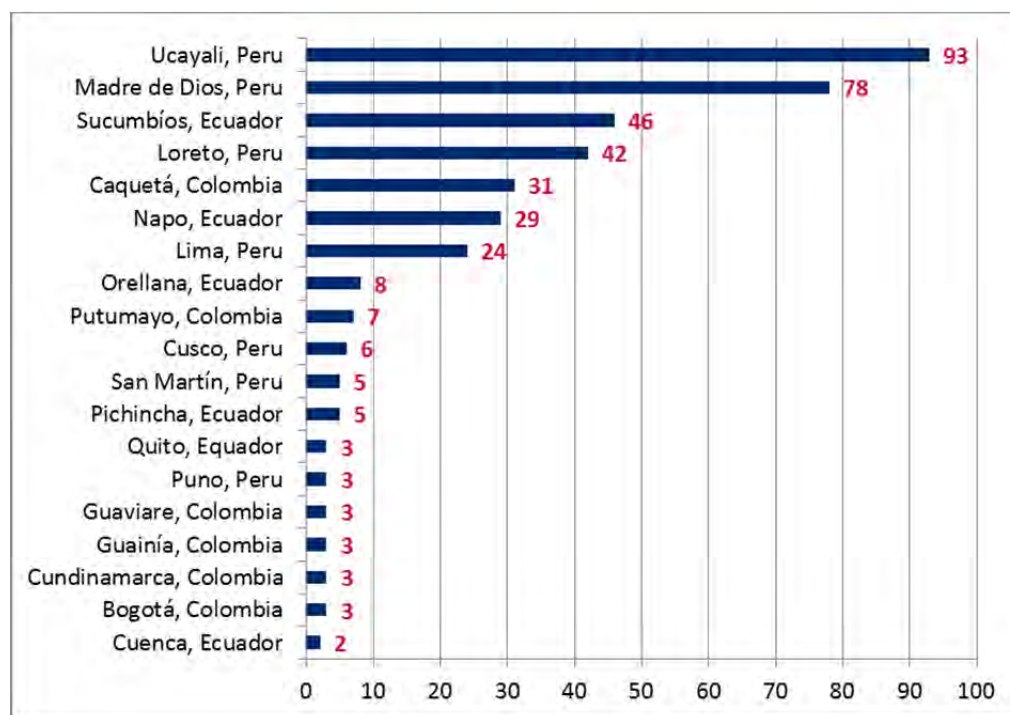
In Peru, the core evaluation team was joined by local researchers Maria Soledad Ortiz Cueva, Maria De Los Angeles La Torre Cuadros and Orly Roalcaba. In Ecuador, the core team included local researcher Ana Oña.

The evaluation team was provided with USAID’s mandatory statement of evaluation standards (see Annex B) and signed conflict of interest disclosure statements indicating that no conflicts were present. Copies of those statements are available upon USAID’s request.

### Evaluation Sampling and Site Selection Approach

Through consultations with USAID, it was agreed that the evaluation’s site selection approach would focus on high-density ICAA2 activity locations, rather than on a random sample of activity locations. The ICAA2 activity universe, for purposes of the design of this evaluation, included 617 activities found in the ICAA2 database maintained by ISU as of March 2014. Of these, 511 activities (83 percent) were undertaken in Peru, Ecuador and Colombia. Figure 2 shows the distribution of regions/provinces/capital cities in these countries with which more than one ICAA2 activity is associated.

**FIGURE 2: DISTRIBUTION OF REGIONS/PROVINCES/CAPITAL CITIES WITH WHICH MORE THAN ONE ICAA2 ACTIVITY IS ASSOCIATED**



On the basis of this information, the evaluation team selected site visit locations within each of the regions/provinces with more than ten activities (excluding Caquetá, Colombia for which security concerns are present). Annex D describes in more detail the site and activity selection approach employed by the evaluation team.

In addition, the evaluation team conducted semi-structured and group interviews with USAID staff, government officials and other key stakeholders in Lima, Quito and Bogota. Local stakeholders (local governments, NGOs, user groups, universities, etc.) were visited in regional/provincial capitals (Puerto Maldonado, Pucallpa, Tarapoto, Lago Agrio and Tena) and municipal capitals (Iberia, Iñapari, La Bonita and Tarapoto) and one parish capital (Hatun Sumaco).

In selecting communities for site visits, the follow criteria were applied:

- the number of activities found in the community;
- the degree to which communities included activities representing multiple results chains; and
- logistical considerations impacting time and cost.

The evaluation team also developed a site visit plan that ensured exposure to activities implemented by each of the ICAA2 landscape consortia. The following communities were visited by the team.

**TABLE 5: SITE VISIT LOCATIONS (EXCLUDING NATIONAL, REGIONAL AND LOCAL CAPITALS)**

Country	Region	Communities/ Areas
Peru	Loreto	Buenavista, El Chino, Libertad, Marañon y Samiria, Puerto Prado, San Juan Yanayacu and San Pedro
	Madre de Dios	Bélgica, Boca Pariamanu, Infierno, La Merced, La Novia, Manuani, Palma Real, Puerto Arturo, Puerto Nuevo, San Francisco, Sonene and Tres Islas
	San Martin	Chunchuwi
	Ucayali	Alto Purús NP, Calleria, MABOSIFRON and Pankyretsi
Ecuador	Napo	Chalwayacu and Wamani
	Sucumbios	Cuyabeno Wildlife Reserve/San Victoriano community, Dovuno and Dureno

## Study Limitations

### Limited Opportunities for Data Collection

ICAA2 is a broad program for conservation and the mitigation of environmental impact in the Andean Amazon, and approaches these challenges in multiple ways across communities in three countries. Activities take place scattered around a wide landscape, in communities that have difficulties of access and communication. Therefore, the most significant challenge this evaluation faced was in its ability to capture enough information over the limited time period and finite resources available for data collection to be able to accurately characterize the whole, and provide USAID with valid evidence and appropriate recommendations.

Significant pre-evaluation work was carried out to systematize information about the ICAA2 activity portfolio in order to allow the evaluation team to select activities for study and understand how activities are related to one another (see Annex D). Study methods were designed to frame choices of



what to study and communicate what is learned against both the results chains that cut across ICAA2 and the evaluation team's analysis of the portfolio. Following extensive consultations with USAID, a site selection strategy was constructed around locations with a high density of ICAA2 activity in order to maximize learning.

For security considerations, USAID advised the team not to undertake field visits in the Colombian Amazon. Evaluation activities in Colombia were restricted to meetings with the USAID Mission and some IPs based in Bogota. No direct evidence of consortia functioning or performance was obtained.

### **Limited Monitoring Data**

The ICAA2 IPs operate under Cooperative Agreements through which they monitor and report on some performance measures and a variety of indicators for higher-level impacts. However, the IPs do not regularly collect or report data to monitor the performance of their implementation, including the achievement of program outputs. Nor do the IPs collect data corresponding to the ICAA2 results chains upon which this evaluation was based. This limited the amount of data that was available and could be used to assess the performance (or impact) of ICAA2 IPs and the program as a whole.

The evaluation team attempted to mitigate this issue by requesting of partners internal (non-ICAA2 reported) data used to monitor their activities and by tailoring primary field research to compensate for the lack of data on individual ICAA2 activities. These mitigation approaches were of only marginal success.

### **Manifestations of Bias**

There was a risk that some stakeholders would not give the evaluation team information needed or would provide distorted information through manifestations of bias. The most significant forms of bias that were expected in this evaluation included:

- **Courtesy Bias:** Out of feelings of courtesy, respondents could be reluctant to say that the intervention has not worked as projected, instead telling the evaluators what they believe they want to hear.
- **Social Desirability Bias:** The tendency of respondents to answer questions in a way that they believe is viewed by others. Similarly, 'political correctness' bias leads respondents to answer in a manner in line with what they perceive as popular opinion. While often this bias is aligned to more favorable assessments of project impact, there is also the converse risk that recent political considerations in Ecuador and the recent closure of the USAID Mission there may result in more negative assessments.

Before and during data collection, the evaluation team minimized the risk of bias by utilizing thorough instrument design and protocols for interviews, focus groups and subsequent data analysis. After data were collected, measures including triangulation and corroboration of evidence were undertaken to recognize and minimize the impact of bias.

- **Exposure Bias:** The evaluator gives disproportionate weight to the respondents of the interview and the people they interact with in conjunction with the interventions.

To ensure that opportunities for exposure bias were mitigated, the evaluation team collectively discussed the evidence, findings and conclusions immediately following field research and on several occasions during the report drafting. Each of the core team members contributed to the drafting of this report based upon the findings agreed during these conversations, and drafts of the report sections were circulated to the team for comment.

## FINDINGS: ICAA2 PROGRAM PERFORMANCE

This is the first of three findings sections included in this report. In this first findings section, the team addresses nine specific questions about program performance, all of which are linked to specific results chains. The results chains on which specific questions focus are noted in parentheses at the end of each evaluation question.

### **Question A1: Where USAID partners are promoting sustainable livelihood practices, to what degree have those practices been taken up by target groups? (RCI)**

Evaluation Questions A1 and A2 relate to the Sustainable Livelihoods results chain. A fuller description of this results chain, the activities undertaken pursuant to it and progress against the results chain is included in Annex I.

#### **F-A1.1. ICAA2 IPs promoted traditional and novel SLPs focused on environmentally-friendly agriculture and the sustainable use of forest products.**

ICAA2 partners promoted two categories of SLPs: environmentally friendly agriculture<sup>4</sup> and the extraction and management of timber and non-timber forest products<sup>5</sup> (see Annex G). While most of the practices are well-known in the Amazon, a few involve more novel products including peccary skins, certified *taricaya* breeding, beekeeping and clean *naranjilla* production.<sup>6</sup> While none of these practices were developed under the ICAA2 program, ICAA2 activities have focused on better management of production systems.

#### **F-A1.2. SLPs were selected through a consultative process with the community, but do not always address the primary environmental threats.**

In the 23 communities visited by the evaluation team, community leaders and members confirmed that SLPs were selected in a consultative (usually community meetings) process involving community members (both men and women, sometimes consulted separately) and the IP. In some cases, SLPs addressed existing environmental threats – e.g., *naranjilla* production in Napo (Ecuador) and cattle grazing in Colombia respond to threats posed by unsustainable land use practices. In other cases, SLPs did not address the primary environmental threats – e.g., the community in Dovuno (Ecuador) regards ill-planned timber extraction as a primary environmental threat but preferred to focus on agroforestry practices as more economically feasible.<sup>7</sup> Where communities are located in buffer zones of protected area, SLPs are generally linked to sustainable management of target conservation species (e.g., *taricaya*, peccary, fish).

#### **F-A1.3. The communities visited by the evaluation team have generally taken up SLPs, although some SLPs have been previously implemented in the communities and/or abandoned in the recent past.**

The evaluation team assessed the rate of adoption for SLPs in visited communities. Due to the many community-specific factors that contribute to whether an SLP is adopted – e.g., the nature of the SLP, environmental suitability, economic viability, the nature and degree of technical assistance provided, the

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<sup>4</sup> Products include: cocoa, copoazú (*Theobroma grandiflorum*), coffee, *naranjilla* (*Solanum quitoense*) and cultivated fish.

<sup>5</sup> Products include: Brazil nuts, forest fruits, Copaiba oil, latex, handicrafts from forest products, and animal products.

<sup>6</sup> M. Brouwer, *Amazon Your Business: Opportunities and Solutions in the Rainforest*, Bunnik: Meindert Brouwer Partner in Communicatie, 2007, available at: <http://amazonyourbusiness.com/>.

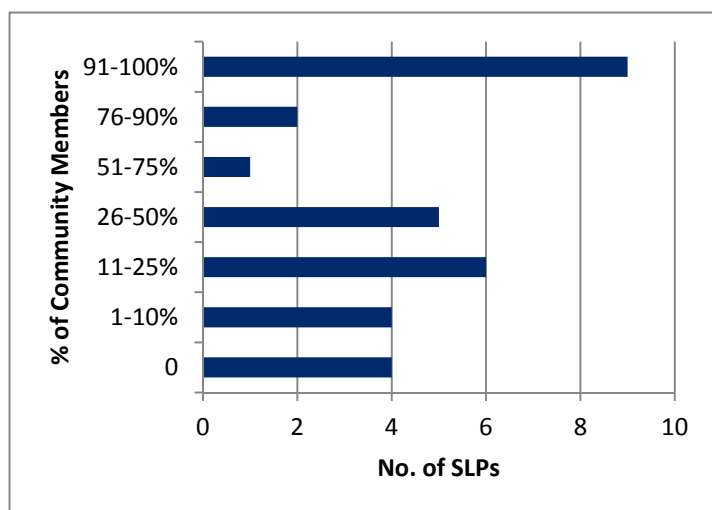
<sup>7</sup> Group interview with Dovuno community members; interview with Dovuno community leader Octavio Lucitante (12/1/2014).

amount of time for SLPs to take hold, the possibility of external events (e.g., natural disasters) – the evaluation team was able to identify few trends or generalizations relating to the likelihood of adoption. As a result, the findings for Evaluation Question A1 relate primarily to incidence of adoption.

Community interviews and observation in 23 communities found most beneficiary communities have taken up SLPs (see Annex G). Figure 3<sup>8</sup> shows an estimate of the rate at which individual promoted SLPs (of which 31 were assessed) were adopted based upon evidence gathered by the evaluation team.<sup>9</sup>

For 17 SLPs, rates of adoption were 50 percent<sup>10</sup> or greater of community members. SLPs demonstrating the highest rates of adoption were those representing improvements to existing practices (e.g., improvement of brazil nut extraction, bushmeat or cocoa plantation) rather than an activity that is new to the community (e.g., handicrafts, tourism). Also, management of communal resources (e.g., Brazil nuts, bushmeat) achieved higher adoption than individual resources or practices (e.g., agriculture, handicrafts).

**Figure 3: Frequency of % of member of the communities involved in SLP**



Eight SLPs (out of 31) had no or very low adoption, and this was normally because they were at an initial stage of promotion (cocoa in Chunchuwi, San Martín, Dureno and Dovuno). In two cases, low participation was caused by an external event (flooding in Infierno and flooding and miscommunication in Puerto Arturo).<sup>11</sup> Other practices had an intermediate level of adoption, normally through a management committee or a specific user group. In some of these cases (e.g., handicrafts for women groups in Palma Real), this adoption by a limited target group was the initial goal. In other cases, it was intended to extend the activity to the wider community (e.g., fish farming in Callería).

Stakeholders identified two reasons for adoption in their communities: continuous support provided by the ICAA2 IP and enthusiasm resulting from the pilot character and ‘novelty’ of new SLPs. There is also evidence that after a period of time, the enthusiasm for new SLPs decreases and is accompanied by a decrease in community participation, although in no case was this decrease so marked as to call into question the sustainability of the SLPs.<sup>12</sup>

In several cases identified by the evaluation team, ICAA2 IPs promoted SLPs unsuccessfully attempted in the past with no evidence of new approaches or the application of lessons learned. For example:

<sup>8</sup> Estimate based on community interviews validated by direct observations.

<sup>9</sup> Adoption rate refers to the percentage of people in each community actively participating in a particular SLP activity.

<sup>10</sup> Estimates were categorized according to rounded absolute figures or approximate narrative descriptions (0% or ‘nobody’, 10%, or ‘few’; 25% or ‘one quarter’; 50% or ‘half’; 75% or ‘most’; 90% or ‘almost everybody’ and 100% or ‘everybody’).

<sup>11</sup> Interview with P. Arturo community leader Nicolas Vargas (11/5/2014); Infierno community members group Interview (11/10/2014).

<sup>12</sup> For instance, community participation in the timber committees of Tres Islas and the handicrafts committee in Dureno has decreased by about 30% - although this was not a common perception of failure of the project, but rather an expected level of abandonment after initial enthusiasm.

- The IL consortium promoted fish farming and cocoa improvement in Dureno and Dovuno (Ecuador), respectively, although these practices were promoted and abandoned approximately six to seven years ago by a previous project because of the lack of economic benefit.<sup>13</sup>
- In the Chunchuwi community in San Martin (Peru), the cocoa plantation is a result of a previous intervention (USAID-PDA) that was damaged by pests. Although the pest problem remains, it is now promoted again as a sustainable productive alternative.<sup>14</sup>
- The SL consortium promoted handicrafts in Palma Real (Peru) despite a similar attempt four years ago by an ecotourism company that was abandoned because of low sales.<sup>15</sup>
- The SL consortium is constructing Brazil nut processing facilities in Sonene (Peru) even though similar equipment installed less than a decade ago by another project has been left in disuse because of lack of maintenance.<sup>16</sup>

**F-AI.4. There is evidence that ICAA2 IPs were effective in influencing policy changes to support adoption of SLPs, although there is insufficient evidence to assess the impact of these efforts.**

ICAA2 IPs have influenced the development of policies that promote SLPs, although there is insufficient evidence to assess whether these policies have influenced SLP adoption. Examples include:

- Peru Forest Law: ICAA2 IPs contributed to the development and adoption of several regulatory provisions (e.g., pertaining to the harvesting of palm fruit and fast growing tree species and the simplification of the Brazil nut operative plan) arising from Peru's Forest Law.<sup>17</sup>
- LMT partners have provided assistance to the implementation of the Regional Ordinance for the Management of Fishery Resources (Loreto; 020-2012, DIREPRO) by helping the regional office to develop a system whereby they can register and monitor catchments and by including communities as stakeholders that can manage fisheries in the region.<sup>18</sup>
- The LMT consortium engaged in a multi-stakeholder dialogue with the regional government to identify and resolve legal bottlenecks around *paiche* production and management in Loreto - allowing for legal and more efficient *paiche* harvesting from managed ponds.<sup>19</sup>
- The SL consortium's establishment of a *naranjilla* roundtable with the provincial government supported the clean production of this fruit and developed local clean production standards that comply with the national standards of *Agrocalidad* (the Ecuadorian Agency for the Quality Assurance of Agriculture).<sup>20</sup>

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<sup>13</sup> Group Interview with Dureno (12/2/2014) and Dovuno (12/1/2014) community members.

<sup>14</sup> Group Interview with Chunchuwi community members (10/30/14).

<sup>15</sup> Group Interview with Palma Real community members (11/7/2014).

<sup>16</sup> Group Interview with Sonene community members (11/6/2014).

<sup>17</sup> Interview with ISU (10/30/2014).

<sup>18</sup> Interview with DIREPRO (03.11.14)

<sup>19</sup> Interview with FONDAM (AlvaroRomana) (10/23/14), Interview with AMPA (03.11.14) and Interview with SPDA (13.11.14)

<sup>20</sup> Interview with GADP Napo (Guido Farfán, Coordinador de Unidad de Producción) (11/28/14)

## Conclusions:

- C A.1.1. ICAA2 IPs have effectively supported SLP adoption at the community level.
- C A.1.2. ICAA 2 IP's have effectively influenced policies intended to enable the adoption of some specific SLPs.
- C A.1.3. The efficacy of promoted SLPs is questionable in some communities where similar efforts using similar approaches have been tried and abandoned in the recent past.
- C A.1.4. The environmental impact of promoted SLPs is questionable where the practices do not target primary threats to ecosystem integrity.

## Question A2: Where target groups have taken up sustainable livelihood practices promoted by USAID partners, what were the effects of such uptake? (RC 1)

In assessing the effects of the uptake of SLPs, the evaluation team specifically looked for environmental, social and economic effects, but also tried to identify unanticipated or unintended effects. The team employed the Environment Profile Stocktaking Approach to address this question, relying on semi-structure interviews, group interviews and unstructured observation.

### *Environmental Benefits*

**F-A2.1.** There is evidence of environmental benefits from the SLPs that are related to the use of forest and fish products.

There are many examples of better environmental management<sup>21</sup> and conservation of natural ecosystems (the conservation target of the program) from the adoption of the SLPs related to the use of forest and fish products. For instance:

- The development and application of management plans<sup>22</sup> for Brazil nuts and timber are shown to provide more effective environmental management than illegal or informal extraction.<sup>23</sup>
- A quota system for (subsistence and commercial) fishing and hunting of certain low population animals resulted in noticeable population increase of key biodiversity targets (i.e. primates, tapir, manatee, *paiche*) in communities close to the Tamshiyacu-Tahuayo



*Taricaya in Libertad, Peru. Credit: Maris de los Angeles La Torre and Sigrid Vásquez, MSI*

<sup>21</sup> “Environmental management” is control of human interaction with the environment in order to preserve natural resources.

<sup>22</sup> A “management plan” is a plan guiding overall utilization of a certain natural resource to optimize economic, environmental and social benefits while ensuring long term permanence of stock.

<sup>23</sup> Ramesteiner & Simula (2003) Forest certification—an instrument to promote sustainable forest management. *Journal of Environmental Management* 67: 87-98; Cronckleton & Pacheco (2012) Changing policy trends in the emergence of Bolivia’s Brazil nut sector. In: Laird et al., *Wild Product Governance*. London: Earthscan. pp 15-42

reserve in Loreto (Peru).<sup>24</sup>

- Simple planning and management of *paiche* fishing (as promoted by the IPs in the Marañón communities of Peru) has been shown to drastically reduce overfishing and increase stocks.<sup>25</sup>

**F-A2.2. There is little evidence of environmental benefits from SLPs related to agriculture, in part because their impact is less direct and influenced by many factors.**

The environmental benefit (especially with respect to forest conservation) of promoting agroforestry or fish cultivation is less clearly evident. While cultivation of crops like coffee and cocoa have been shown to yield environmental benefits in comparison to other agricultural crops, many additional factors determine the environmental impact of agroforestry crops (e.g., agricultural management, choice of associated tree species).<sup>26</sup> As ICAA2 IPs do not monitor the impact of agricultural SLPs on forest coverage, this makes it difficult to identify the environmental impact of these SLPs. For instance:

- Coffee and cocoa cultivation in Sucumbios (Ecuador) and in Madre de Dios (Peru) is taking place on existing agricultural fields or deforested areas. Although the practices seem to be implemented with good environmental considerations, it is too early to determine whether benefits have been achieved for forest conservation.
- The clean *naranjilla* activity in Napo (Ecuador) is expected to result in reduced soil contamination, but it is not possible at this stage in implementation to determine whether it will achieve its expected contribution to reducing deforestation.
- *Paiche* cultivation in floating cages in the river (as promoted by IPs in Ucayali, Peru) reduces the pressure on the native fish stocks but cage-culture in lakes and rivers elsewhere is associated with strongly negative environmental impact.<sup>27</sup>

*Social Benefits*

**F-A2.3. There is evidence that the implementation of SLPs provided social benefits to communities.**

In communities visited by the evaluation team, community leaders and members discussed social benefits arising from the process of implementing SLPs that included improved intra-community communication and leadership, enhanced roles for women and increased food security.

- As SLP implementation requires training and increased planning, participating communities held community meetings more frequently<sup>28</sup> and authorities leading the process were credited with strengthened leadership: "*as long as our president manages to attract all these good initiatives, he can count on our support.*"<sup>29</sup> In addition, beneficiaries largely enjoy participation in SLP activities - sometimes simply because it breaks normal routine.
- The evaluation team found cases where the role of women in their communities was enhanced through the adoption of SLPs.
  - In several cases, women groups were specifically formed to undertake the practices - e.g., handicrafts in Palma Real (Peru) and Dureno (Ecuador) and fruit harvesting in Tres

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<sup>24</sup> Group interviews with community members in San Juan Yanayacu (11/5/2014) and San Pedro (11/6/2014).

<sup>25</sup> Kilbane & Gray (2009). Integrating conservation and development in the Peruvian Amazon. *Ecology and Society* 14(2).

<sup>26</sup> Blackman & Naranjo (2010) Does eco-certification have environmental benefits? Organic coffee in Costa Rica. Working paper. Washington, DC: Resources for the Future; Philpot et al. (2007). Field testing ecological and economic benefits of coffee certification programs. *Conservation Biology* 21(4): 975–85.

<sup>27</sup> Beveridge and Stewart, Cage Culture: Limitations in Lakes and Reservoirs, Institute of Aquaculture, University of Stirling, <http://www.fao.org/docrep/005/w8514e/w8514e18.htm>.

<sup>28</sup> Six of 18 communities visited explicitly mentioned this benefit (Sonene, Manuani, Infierno, Callería, Pankiretsky, Puerto Prado).

<sup>29</sup> Expression of group of women in Dureno Cofan community, referring to their local leader.

Islas (Peru). This gave women a particular space in the social structure of the community that did not exist before and ensured personal income.<sup>30</sup> Also, in community enterprises women have been trained to process latex.

- In other cases, practices have been particularly directed to women (e.g., handicrafts production associations in Purús, latex processing in Iberia) or women adopted practices more quickly than men (e.g., coffee and medicinal plant cultivation in Dureno, Ecuador) – which strengthened the role and experience of women in communities.<sup>31</sup>

## ICAA2 SLP GENDER REPRESENTATION

Gender balance among adoption of promoted SLPs is variable. In 18 communities where gendered information could be obtained during this evaluation, 12 showed clear examples of active participation of women in the promoted SLP and participation of women in groups that traditionally are mostly male dominated (timber, hunting). In seven communities, women had formed specific groups for implementation of SLPs. It was evident that food - and health-related practices generally had greater female leadership or participation, although the evaluation could not identify a trend in the types of communities with more active women participation (e.g., indigenous or mestizo).

In spite of evident progress in gender participation, the evaluation also found many examples of poor representation. Although consisting of a non-representative sample, in 11 of 23 communities the focal groups that informed the evaluation team were highly male-dominated (one or no women participants) – despite requests for broader representation and the use of mixed-gender research teams.

- The evaluation team identified cases where SLP adoption improved food security in communities, including through the diversification of diets through fruit harvesting in Madre de Dios communities, fish farming in Ucayali (Peru) and plants cultivation in Sucumbíos (Ecuador)<sup>32</sup>.

### *Economic Benefits*

**F-A2.4.** The evaluation team found little evidence that ICAA2-promoted SLPs are economically viable, in part because the selection of SLPs was not accompanied by market and value chain assessment.

The evaluation team identified little evidence of economic benefits arising from the promotion of SLPs. In the 23 communities visited during this evaluation, 8 had received no income from the promoted SLP, mostly because they were either in early stages of implementation or only used for own consumption (hunting, fishing) (see Annex G). For instance, most ICAA2-promoted cocoa and coffee cultivation is in early stages of development and economic benefits will not be apparent for several years. In other cases involving more ‘novel’ products such as clean *narajilla*, there is not yet an established market for the product and economic benefits would not be expected absent market development and additional policy support.

The evaluation team identified ten cases where there do not appear to be a market for more traditional products or where there is an established market (e.g., Brazil nuts, timber, fish, cocoa), but the income was insufficient to ensure economic viability of the promoted SLP. For instance:

- Every community visited by the evaluation team that is undertaking certified Brazil nut harvesting considered the sales price too low to justify continued production and all were considering selling the next harvest to a non-certified intermediary - "we do get a good price from

<sup>30</sup> In 8 of 18 visited communities where SLPs were promoted, specific women groups were formed to implement certain SLPs (Tres Islas, Palma Real, Infierno, Chunchuwi, Puerto Prado, Yanayacu, Dureno, Dovuno)

<sup>31</sup> Interviews with FECONAPU (11/17/2014) and CARE (11/17/2014), latex processing enterprises visited in Iberia (11/11/2014) and community members Dureno (12/2/2014).

<sup>32</sup> Group interviews with Tres Islas (11/5/2014), Callería (11/19/2014) and Dureno (11/19/2014) community members.

*Candela, but they also discount a lot for handling, so in the end, we end up with just the same income, which is not worth the hassle.*"<sup>33</sup>

- Although several consortia work with the promotion of Copoazú cultivation, there is not yet an established market for its products.<sup>34</sup>
- In Callería, forest management was certified ten years ago but apart from some initial sales to foreign buyers they have not sold any timber to premium markets (all is sold to local market without additional margins).<sup>35</sup>
- Economic benefits from many products (e.g. for fish harvest in Callería, Ucayali and Loreto, latex in Madre de Dios, handicrafts in Dureno) were minimal and based on incidental sales that do not compensate the costs of production.<sup>36</sup>

The five cases where additional income was ensured by ICAA2 support were associated with well-connected markets (latex, peccary skins), long-term support to well-established crops (cocoa production in San Francisco) or functioning processing installations (fruit and Brazil nuts in Tres Islas). The key factors that ensured economic benefit in these cases were well-established market studies and/or effective distribution for the products based upon the inclusion of lessons learned from previous initiatives.<sup>37</sup>

In none of the communities visited by the evaluation team were SLPs selected in accordance with feasibility studies to assess if the practices were best suited to the area's geographical, social and economic context. Only for some cases in Purús and Loreto were market analysis and value chain planning conducted.

**F-A2.5. ICAA2 IPs work primarily with communities with whom they have a long relationship and communities are rarely selected on the basis of landscape considerations or to achieve the best possible environmental impact at the national/international levels.**

ICAA2 IPs work primarily with communities with which they have long relationships. Many ICAA2 beneficiary communities (especially in the IL, PM and LMT consortia) have already benefitted from previous projects by the same ICAA2 IP, and an existing relationship seemed to be a major criterion for inclusion in the program. In only a handful of areas visited by the evaluation team were communities strategically selected on the basis of their geography, linkage to a key protected area or as part of a broader sustainable production strategy.<sup>38</sup>

**F-A2.6. There is no evidence that SLPs are being replicated or scaled up to new communities.**

The evaluation team observed no evidence that SLP interventions are being replicated or scaled up to other communities.

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<sup>33</sup> Group interview with Tres Islas community members (11/5/14); see also group interviews with Sonene (11/6/14) and Palma Real (11/7/14) community members.

<sup>34</sup> Group interview with La Novia community members (11/12/14); interview with Puerto Nuevo community leader (11/20/14).

<sup>35</sup> Group interview with Callería community members (11/19/2014).

<sup>36</sup> Group interviews with Ecomusa Producer Group (11/19/20), Callería (11/19/14) and Dureno (12/2/14) community members.

<sup>37</sup> Kilbane & Gray (2009). Integrating conservation and development in the Peruvian Amazon. *Ecology and Society* 14(2).

<sup>38</sup> For example, the SL consortium strategically selected the area of the Wamaní communities as being linked to the provincial sustainable production strategy and strategic presence in the Sumaco-Napo-Galeras NP buffer zone. In Purús (the PM Consortium) and Tambopata (the SL consortium), communities were selected according to their strategic position in the PA buffer zone. In Colombia, communities were selected according to their strategic position in conservation corridors.



### Conclusions:

- C A.2.1. ICAA2 IP interventions seem to be comparatively better at improving environmental management (especially for forest and river resources) and producing social benefits (community cohesion, participation of women and food security) than generating economic benefit.
- C A.2.2. Many practices are not economically viable without continued support.

### **Question A3: Is there evidence that increasing capacity, increasing knowledge and improving design for environmental incentives lead to the creation of a sufficient enough favorable condition for the development and implementation of economic incentives for conservation? (RC2)**

Evaluation Question A3 relates to the Economic Incentives (EI) results chain. A fuller description of this results chain, the activities undertaken pursuant to it and progress against the results chain is included in Annex J.

Discussions with ICAA2 partners and stakeholders identified four factors that partners believe must be addressed to facilitate the development and implementation of EI for conservation:

- weak legal and regulatory frameworks;
- low technical capacity and political will of policy makers at different levels;
- insufficient level of knowledge and awareness of the benefits of EI among potential beneficiary groups; and
- lack of sufficient positive examples of EI.

With this frame of reference in mind, the team's findings on Question A3 are presented below:

#### **F-A3.1. ICAA2 activities have increased stakeholder knowledge and capacity with respect to EI programs and influenced national policy in Peru, but not in Ecuador due to political factors.**

ICAA2 has effectively addressed knowledge generation, technical capacity and the policy framework (in Peru) for the design and implementation of EI programs through several activities.

- ICAA2 has sponsored strategic studies that have contributed to stakeholder knowledge about options for EI programs.
- ICAA2 IPs have conducted trainings for government officials and indigenous leaders on designing and implementing REDD and PES<sup>39</sup> and facilitated institutional participation in roundtables such as the REDD+ roundtable in Peru (Grupo REDD+ Peru) and regional roundtables in Madre de

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<sup>39</sup> For example, the ISU provides technical assistance about economic incentives for COICA through "train the trainers" workshops, reaching over 100 COICA-affiliated indigenous. ISU has also provided input to COICA's position paper on REDD+ (REDD Indígena Amazónica –RIA) presented at the Climate Change Conference of the Parties in Lima (December 2014).

Dios. ICAA2 IPs have participated in working groups on specific EI laws and regulations within Peru and have influenced the focus and language of these laws.<sup>40</sup>

ICAA2 efforts to support the development and implementation of EI in Ecuador have been hindered by the deteriorating political relationship between the U.S. and Ecuador. During the first year of ICAA2 program implementation, USAID partners worked in Ecuador with two national government-managed EI initiatives: UN REDD and Socio Bosque. However, the termination of the cooperation relationship between the U.S. and Ecuador has ended the support of these programs. While activities with UN REDD+ have continued through a creative but complex management arrangement, several intended activities with Socio Bosque could not proceed.<sup>41</sup>

**F-A3.2. ICAA2 partners have supported existing local EI programs to consolidate and expand, although no new EI mechanisms have yet been created.**

ICAA2 IPs have undertaken studies and extracted lessons learned that facilitated the replication of existing programs in new areas.<sup>42</sup> IPs have also provided support to local and indigenous communities to meet the conditions for acceptance in programs and manage received funds efficiently.<sup>43</sup>

Although no new EI mechanisms have been yet created through ICAA2, several are under development through ISU grants. Given a normal timeframe for establishing PES-like mechanisms, fully consolidating these during the remainder of ICAA2 will be a challenge.

**F-A3.3. There is little coordination between interventions supporting EIs and interventions supporting other results chains.**

While individual landscape consortia may align their activities supporting EI to other activities they undertake within a landscape<sup>44</sup>, there is no broader strategy to ensure that EI directly support ICAA-promoted SLPs or large-scale planning activities and policies. Most activities within the EI results chain focus on PES and REDD+ related systems (admittedly reflecting the international trend) in lieu of other kinds of incentives sought by ICAA2 beneficiaries<sup>45</sup> and there is little coordination and communication between ICAA IPs and with other stakeholders on some EI activities and products.<sup>46</sup>

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<sup>40</sup> For example, ISU and SPDA participated in the working group that drafted Peru's new PES law (Law # 30215-2014); TNC shared lessons learned from its San Martín activities to inform benefit sharing rules in Peru national law; and IL and SL consortia provided technical assistance to the Socio Bosque implementing unit to develop technical guidelines.

<sup>41</sup> For example, the REDD+ feasibility study by Conservation Strategy Fund. Interview with ISU (10/30/14),

<sup>42</sup> In San Martín the IL consortium supported inclusion of communities of the Cumbaza basin in an existing PES mechanism (Alto Mayo water fund). According to the regional government, this was crucial for the consolidation of the water fund and created knowledge that allowed replication and extraction of lessons learned to be included in the national PES Law.

<sup>43</sup> In Ecuador, both the SL and the IL consortia provided administrative support to indigenous communities to get accepted by the Socio Bosque program and create capacities to manage the received funds efficiently. In Napo (Ecuador) the SL consortium engaged with the Ministry of Agriculture and the Universidad Estatal de la Amazonía to foster the Wamani community's participation in a new reforestation incentive, creating the first example of actual implementation of this incentive.

<sup>44</sup> E.g., In Napo, communities were supported by the SL consortium to invest received Socio Bosque funding in their SLP; The REDD+ roundtable in Madre de Dios is directly related to landscape planning by the regional government and provided direct inputs to the national Law on Ecosystem Services Retribution (Interview GOREMAD).

<sup>45</sup> In Napo, local producers of clean naranjilla expressed a desire for incentives required to make production profitable.

<sup>46</sup> For example, the beneficiary agencies of the ISU supported TEEB studies (Solicitation 004-A-2013) do not consider these aligned to agencies' priorities and other IP's that work with the same agency are not aware of the execution or goal of these studies.

### Conclusions:

- C A.3.1. ICAA2 IP interventions have increased the capacity of decision makers, generated knowledge and influenced specific laws in Peru and regulations at the provincial level to promote EI.
- C A.3.2. ICAA2 EI interventions have a narrow focus, mostly related to PES and REDD+ systems, and do not generally contribute to SLP promotion or other ICAA2 result chains.

## Question A4: What evidence is there of better landscape management planning by government and civil society that can be linked to ICAA efforts to strengthen these types of entities? (RC3)

Evaluation Questions A4 and A5 relate to the Landscape Management Planning results chain. A fuller description of this results chain, the activities undertaken pursuant to it and progress against the results chain is included in Annex K.

To address this evaluation question, the evaluation team employed the General Elimination Method. The primary alternative explanation for perceived improvements by government and civil society that the team explored was the existence of other donor-funded or privately-funded programs designed to support government and civil society that would be factors contributing to observed changes.

**F-A4.1.** While ICAA2 IPs address several important environmental threats to landscapes, they do not address two important drivers of threats to Amazon ecosystem integrity: large-scale agriculture and hydrocarbon exploration.

ICAA2 IPs focus on several important drivers of threats to Amazon ecosystem integrity, including: land use change (e.g., deforestation related to agricultural expansion), large infrastructure development, natural resource exploration and ill-planned and illegal use of forest products.<sup>47,48</sup> However, ICAA2 IPs do not directly focus on the important drivers of land use changes by large-scale agriculture (cattle, commodity crops)<sup>49</sup> and hydrocarbon exploration. These drivers are considered important Amazon-wide as well as within the ICAA2 landscapes (e.g., Sucumbíos, Loreto, San Martín, Caquetá).

### *Landscape Management Planning by Governments*

**F-A4.2.** ICAA2 IPs have effectively increased the capacity of local governments, leading to better landscape management, but these efforts are not sustainable.

ICAA2 IPs focus their capacity-building efforts on local governments, which in all countries is the authority most directly involved in landscape management planning. Within local governments, ICAA2 IPs addressed low capacity in knowledge (e.g., baseline data, maps), tools (e.g., spatial/territorial planning) and organization (e.g., multi-stakeholder platforms, inter-sectorial coordination). There is evidence of better landscape management directly resulting from this capacity building. Examples include:

<sup>47</sup> Flores et al. 2010, MRREE Finlandia/SGCAN 2007

<sup>48</sup> For example, the MDD consortium has increased awareness of mining impacts on health and the environment and supported restoration of out-mined areas; the PM and LMT consortia support deterrence of environmental crime (mostly related to mining, logging, fishing) and regulation of informal extraction by communities; infrastructure planning is a focus in Madre de Dios (the MDD consortium aims to reduce the impact of the Interoceánica Sur road) and Ucayali (lobbying and planning support of the Pucallpa-Cruzeiro road).

<sup>49</sup> Land use planning (agriculture) is indirectly dealt with through regional and local planning activities.

- Local governments have been supported to develop formal plans for spatial planning, including parish territorial plans developed in Hatun Sumaco (Napo, Ecuador) with direct support of the SL consortium and in La Bonita (Sucumbios, Ecuador) with support from the IL consortium.<sup>50</sup>
- The PM consortium, in collaboration with USAID's PeruBosques project, provided baseline information and logistic support of multi-stakeholder (including communities) planning meetings to update the participatory Regional Development Plan of Madre de Dios.<sup>51</sup>
- All ICAA2 IPs working in Madre de Dios and Ucayali supported regional biodiversity and climate change strategies by participating in multi-stakeholder platforms and providing technical advice which, according to the regional government officials, increased the overall quality of these plans.
- The IL consortium and provincial government of Sucumbios developed the zero deforestation strategy, which should become the major rural area planning instrument for the province.<sup>52</sup>

ICAA2 IPs have not developed sustainability strategies for capacity building with local governments. Local governments suffer from frequent staff turnover due to changes resulting from elections, the difficulty of attracting and retaining talented staff in public institutions and the preference of professionals to work in the national capital rather than in relatively underserved provincial towns.<sup>53</sup> Other lobbies (e.g., for extractive industries, infrastructure) profit from the weaker institutional capacity to continue with more unsustainable practices. Although the high turnover of local governments' staff is a factor that is beyond the control of most ICAA2 IPs, the effects of the low level of continuity should be of concern to the IPs. However, the evaluation team was unable to identify any specific strategies pursued by ICAA2 IPs to overcome this evident barrier to effective landscape planning.

#### *Landscape Management by Civil Society (and Other Stakeholders)*

#### **F-A4.3. ICAA2 support has increased the capacity of civil society, resulting in improved local planning.**

ICAA2 IPs built the capacity of civil society in landscape planning through the provision of improved tools (local planning instruments), knowledge (awareness) and support to improved organization (participation, lobby, mobilization of society). Rather than responding to a specific strategy, activities to support civil society capacity for better landscape planning are present in several result chains:

- **Planning instruments:** In most communities where ICAA2 landscape consortia implement activities (SLP, conservation units), these activities are guided by local territorial plans. These plans are an important element of territorial consolidation and greatly contribute to local planning of forest use and sustainable productive activities.<sup>54</sup> (See also F-A2.1, F-A7.1 and F A7.2)

<sup>50</sup> Interviews with ECOLEX (11/25/14), Hatun Sumaco parish board (11/27/14); La Bonita municipal government (12/2/2014).

<sup>51</sup> <http://awsassets.panda.org/downloads/notapdrcomdd.pdf>

<sup>52</sup> A strategy to reduce deforestation and pressures to the forests in Sucumbios (<http://pdf.usaid.gov/pdfdocs/PA00K5R4.pdf>). In reality, this strategy (launched in 2014) was developed by the Net Zero Deforestation Zones project, financed by USAID to the same partners (IL consortium), but its implementation will be supported with ICAA2 funding.

<sup>53</sup> For example, all Peruvian regional governments changed in early 2015, including high-level technical staff. The Sucumbios provincial government had a major change in early 2014, moving all staff involved in USAID activities to other positions. Interviews in Puerto Esperanza, regional governments in Madre de Dios, Ucayali and Sucumbios.

<sup>54</sup> For example, The SL consortium in Sonene and Palma Real carried out a forest inventory for the communities' five years forestry plan, and in Cuzco the consortium geo-referenced farms as an input for planning sustainable land use. SL and PM consortia added tourist site management plans to park management in Cuyabeno and Tambopata; the LMT consortium supported the Management Plan of the Community Forest Reserve of MABOSINFRON, allowing them to obtain a conservation concession.

- Knowledge and awareness: Civil society's capacity to influence landscape management planning builds upon awareness through the dissemination of knowledge, and many information products of ICAA2 have contributed to this.<sup>55</sup> (See also F-A6.2, F-A6.3)
- Strengthening of organizations and civil society mobilization: In Loreto and Madre de Dios, the LMT consortium provides information and legal assistance to legal land holders and natural resource use rights holders to use legal tools in their defense against threats (e.g. illegal mining, land invasions, illegal logging).<sup>56</sup> In Ucayali and Madre de Dios, multi-stakeholder platforms have been organized and strengthened to lobby to mitigate effects of infrastructure projects.<sup>57</sup>
- Through various mechanisms (being part of the IL consortium, beneficiaries of institutional strengthening grants and of specific grants from the ISU), the regional indigenous peoples organization COICA has been supported to develop several position papers, e.g. on economic incentives, ecosystem services and REDD+ (see F-A3.1), indigenous territories and conservation areas, and mega-projects and extractive industries.<sup>58</sup> As a spin-off of support to COICA, participation of national member organizations in national landscape planning discussions has been improved, most notably OPIAC in Colombia, through COICA, ISU and DOI support.<sup>59</sup>

ICAA2 IPs' support to civil society has specifically impacted infrastructure planning:

- The PM-sponsored advocacy campaign in the Interoceanica-Sur area triggered massive public support and prompted the Ministry of Culture to halt the Puerto Esperanza-Iñanpari road.<sup>60</sup>
- An ISU grant to IBC supported a multi-stakeholder civil society platform in Ucayali that lobbies regional and national governments on infrastructure planning policy. This group relied on an ICAA2 study (by CSF) on financial feasibility<sup>61</sup> and technical information from TNC<sup>62</sup> to influence the cancellation of the original Pucallpa-Cruzeiro do Sul road plan by the Ministry of Public Works, which is now considering sustainable alternatives.<sup>63</sup>

#### *Landscape Management Policy Frameworks*

**F-A4.4.** ICAA2 IPs have contributed to improved landscape management policies in Peru, although the institutional presence of the partners means that changes cannot be attributed to ICAA2.

ICAA2 IPs have engaged in national working groups to influence the Peruvian Forest Law (and regulations) and the law on Retribution for Ecosystem Services to ensure considerations of Amazon ecosystem integrity. Their support and contributions to text have been highly appreciated by the governmental agencies.<sup>64</sup> However, as was considered a strong possibility at the outset of the

<sup>55</sup> For example, civil society was particularly targeted by publications on mining (e.g. HED studies on mining and health) and infrastructure (CSF, TNC and WWF studies).

<sup>56</sup> WCS CN and WCS 2014 Q2 Report and confirmed during an interview with Defensoria del Pueblo Madre de Dios (11/13/2014).

<sup>57</sup> Interview with Grupo Regional de Monitoreo de Megaproyectos (11/17/2014).

<sup>58</sup> For example, the publication "Building a Holistic Management Strategy" was developed by WWF and COICA, available at: [http://wwf.panda.org/es/nuestro\\_trabajo/iniciativas\\_globales/amazonia/233478/Vida-Plena-en-la-Cuenca-Amaznica#](http://wwf.panda.org/es/nuestro_trabajo/iniciativas_globales/amazonia/233478/Vida-Plena-en-la-Cuenca-Amaznica#); see also COICA Santa Cruz declaration, 14 June 2014.

<sup>59</sup> For example, ISU grants for the development of a strategy on mining activities affecting biological and cultural diversity in the Colombian Amazon that advance indigenous participation and an environmental agenda for local and Amazonian planning.

<sup>60</sup> <http://www.amazonia-andina.org/sites/default/files/cesaripenzaspdptoesperanzainapari0.pdf>

<sup>61</sup> <http://conservation-strategy.org/en/publication/an%C3%A1lisis-econ%C3%B3mico-de-la-carretera-pucallpa-cruzeiro-do-sul#.VNmgSaPLn8>

<sup>62</sup> <http://revistaideele.com/ideele/content/pucallpa-%E2%80%93-cruzeiro-do-sul-la-carretera-de-la-discordia>

<sup>63</sup> WWF Annual Report 2013 confirmed by interviews with IBC (11/17/2014) and Tahuamanu Municipality (11/18/2014). Interview with the Ministry of Health – Madre de Dios (11/13/2014). See Annex K, LP result chain

<sup>64</sup> Interview with director SERFOR, Directors of International Affairs and Forest Conservation Program (MINAM).

evaluation, the ICAA2 IPs have long-established relationships with environmental authorities and engage continuously. The evaluation team was not able to eliminate the influence of these lobbying efforts in perceived results, and hence was not able to attribute positive changes directly to ICAA2. As the SERFOR representative stated: "we know and appreciate the collaboration of the ICAA partners, but we don't know ICAA". On the other hand, from the perspective of ICAA2 IPs, the importance of ICAA2 is clear: "ICAA provides the fuel so we can fulfill our institutional mission."<sup>65</sup>

In Ecuador there has been little support to national policies related to landscape planning, especially after the termination of the cooperation relationship between the U.S. and Ecuador. While governmental officials in Ecuador stated that they do not see a practical barrier to receiving technical assistance from ICAA2 partners as it is a regional program, ICAA2 partners feel they have not received adequate instructions from USAID (i.e., no written instructions).<sup>66</sup> The two Ecuador-based consortium leads (TNC and RA) no longer visit the Ministry of Environment regularly, although Ecolex (a junior partner in the SL consortium) does have a strong relationship with the government and supports some national policy development<sup>67</sup>. In Colombia, activities focus on the subnational level and the consortia relationships at the national level are also through institutional commitments.

#### Conclusions:

- C A.4.1. Improvements in local government capacity are not sustainable due to overall institutional instability and a failure to develop institutional sustainability strategies.
- C A.4.2. ICAA2 technical support and training to civil society groups has resulted in local landscape management plans in all ICAA2 landscapes and several examples of civil society mobilization on large-scale infrastructure planning issues.
- C A.4.3. Because of the termination of the cooperation agreement between the U.S. and Ecuador, there has been little impact on landscape planning at the national level in Ecuador.

### **Question A5: To what degree do ICAA partnerships (alliances) beyond the consortia, i.e., with government, civil society, universities etc., influence landscape management planning? (RC 3)**

#### **F-A5.1. ICAA2 IPs effectively influence landscape management policy and planning through institutional partnerships and commitments, making it difficult to attribute changes to ICAA2.**

ICAA2 IPs established local partnerships with decentralized governments through their participation in existing platforms on landscape management planning.<sup>68</sup> These partnerships allow ICAA2 IPs to establish an institutional presence that allows for permanent (not incidental) support and show commitment to local decision makers. Therefore, they are important for many of the good examples of policy and planning influence at the local level (see F A.4.2. and F A.4.4.).

<sup>65</sup> Interview with SPDA (10/30/14). See also interview with SPDA (10/23/14).

<sup>66</sup> Interview with the ISU (10/30/14).

<sup>67</sup> See Annex K.

<sup>68</sup> For example, the Comités Ambientales Regionales in Peru (multi-stakeholder, multi-sectorial groups that are formally installed to develop territorial and natural resource management policies) and in Napo, *mesas productivas* (multi-stakeholder groups within that promote good management of a specific production sector).

ICAA2 IPs establish formal (through agreements) and informal (through regular visits and ad-hoc technical support) relationships with local governments. The most effective example of this process involves the collaboration between IPs and the Madre de Dios regional government. Through a combination of financing staff positions in several key departments (e.g., SPDA, Pronaturaleza) and including a regional government agency among the consortium partners (MDD consortium), ICAA2 has managed to have direct influence in regional governance. However, the evaluation team identified good partnerships between consortium partners and the local governments (generally existing before ICAA2<sup>69</sup>) in all regions/provinces visited. Although these partnerships generally are limited to the environmental sector, they have been important for the achievements of the established planning policy (see F A.4.2.).

ICAA2 IPs support landscape management at the local and national levels mostly through institutional commitments (without an ICAA2 institutional identity or reference to the ICAA2 program). While this makes sense for organizations with deeply rooted local presences, it makes it difficult to attribute policy developments to ICAA2 activities. Few non-ICAA2 participants to these platforms interviewed by the evaluation team were familiar with ICAA2 or aware that support received from ICAA2 IPs resulted from the ICAA2 program.<sup>70</sup>

**F-A5.2. ICAA2 IPs have influenced policies related to landscape management through strategic partnerships with governmental agencies in sectors other than the environment.**

ICAA2 IPs have established strategic partnerships with governmental agencies in sectors other than environment, but which address issues relevant to landscape management planning. In Peru, several consortia have worked closely with the Ministry of Culture: the PM consortium to develop Free Previous and Informed Consent strategies in landscape planning and develop a comprehensive strategy on including Indigenous Peoples in Voluntary Isolation considerations in planning;<sup>71</sup> the IL consortium to provide capacity building on interculturality to staff of public agencies;<sup>72</sup> and ISU to develop Life Plan guides. In Ecuador, the SL consortium established an effective partnership with the Ministry of Tourism that resulted in visitation management strategies for Protected Areas, a key issue supporting PA planning by the Ministry of Environment.<sup>73</sup> Also, the SL consortium has established a working relationship with the Ministry of Agriculture through which a new national Reforestation Incentive could be piloted with the Wamani community in Napo.<sup>74</sup>

**F-A5.3. ICAA2 works with national NGOs and universities on landscape management issues, but has few partnerships with civil society organizations (CSOs) or other environmental programs.**

ICAA2 provides direct support to NGOs and universities that are not members of consortia through grants (competitive research grants, sub-grants to execute specific tasks) and the institutional strengthening program. This allows ICAA2 to work closely with organizations addressing landscape

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<sup>69</sup> The ICAA2 consortia leads that started their intervention in the landscapes thanks to this USAID support (UF, RA) have established partnerships with local governments during ICAA2; all others were built on existing partnerships.

<sup>70</sup> Among the 12 interviewed local government agencies (mentioned by IPs as ICAA beneficiaries) who answered the question on familiarity with the ICAA2 program, five were fully unaware of the program, five knew of the existence of the program - "we know the name of the program, but not really what it is about" and only two could name the ICAA2 goal and activities.

<sup>71</sup> Interviews with SERNANP (11/19/14) and Ministry of Culture (10/27/14). WWF Consultation Note.

<sup>72</sup> Interviews with Ministry of Culture (10/27/14) validated with TNC (11/14/14)

<sup>73</sup> Interview with Fernando Klinger (Director provincial, Ministerio de Turismo) (12/1/14).

<sup>74</sup> Interviews with IPs who promoted these partnerships mentioned two common lessons learned to establish these partnerships with non-conventional partners: (a) a concrete issue to start discussion, rather than a broad program of work and (b) engaging with a specific individual ("a champion for collaboration") rather than engaging with the highest hierarchic level. Interviews MDD consortium, Rainforest Alliance, IBC, SPDA, DOI.

management planning (not exclusively) that could not otherwise have been incorporated into ICAA2 because they are not part of a consortium.<sup>75</sup>

ICAA2 has established relatively few alliances with CSOs (e.g., producer organizations, indigenous rights groups) or similar conservation initiatives in the same project area. For instance, the evaluation team did not identify evidence of collaboration between ICAA2 and two regional Amazon conservation programs: WWF's Living Amazon Initiative and Comunidad Andina's BioCAN program, although both programs also work on regional planning<sup>76</sup>. Similarly, Putumayo Tres Fronteras is a European Union program delivered by WWF that supports a trans-border area including the Cuyabeno Wildlife Reserve (Ecuador). However, apart from collaboration on a security platform for the Cuyabeno Reserve, there is no coordination with ICAA2 and local stakeholders could not mention any collaborative result<sup>77</sup>.

#### Conclusions:

- C A.5.1. While ICAA2 IPs have positively influenced landscape planning at the local and subnational levels through existing platforms on landscape planning, these partnerships are developed at the institutional level and cannot be easily attributed to ICAA2.
- C A.5.2. ICAA2 has demonstrated that partnerships with governmental agencies beyond the environment sector can contribute to better landscape management, including in the in the areas of indigenous rights, control of environmental crime and progress towards legalization of informal mining.
- C A.5.3. ICAA2 has missed opportunities to increase influence on landscape management planning by failing to collaborate with similar non-ICAA2 initiatives at the regional (international) level.

### **Question A6: What changes (in policy, levels of cooperation, nature of dialogue, discussion among relevant actors, etc.) have been influenced by ICAA2 information products – i.e., what evidence do we have of the impact of these products vis-à-vis the results chains? (RC 4)**

Evaluation Question A6 relates to the Knowledge Management results chain. A fuller description of this results chain, the activities undertaken pursuant to it and progress against the results chain is included in Annex L.

#### *Typology of ICAA2 Information Products*

**F-A6.1. ICAA2 IPs generate information products to increase awareness, increase knowledge and influence policy across all of the results chains.**

<sup>75</sup> For example, DAR, FUNDAMAZONIA & AMPA in Peru; FFLA, Ecociencia & Ecopar in Ecuador; Etnollano & Tropenbos in Colombia.

<sup>76</sup> A positive exception is the participation of ICAA2 with *Articulación Regional Andina* ([www.araamazonia.org](http://www.araamazonia.org)). Various partners (SPDA, IBC, Parque Nacionales) are part of this regional multi-organization platform and participate regularly in regional meetings.

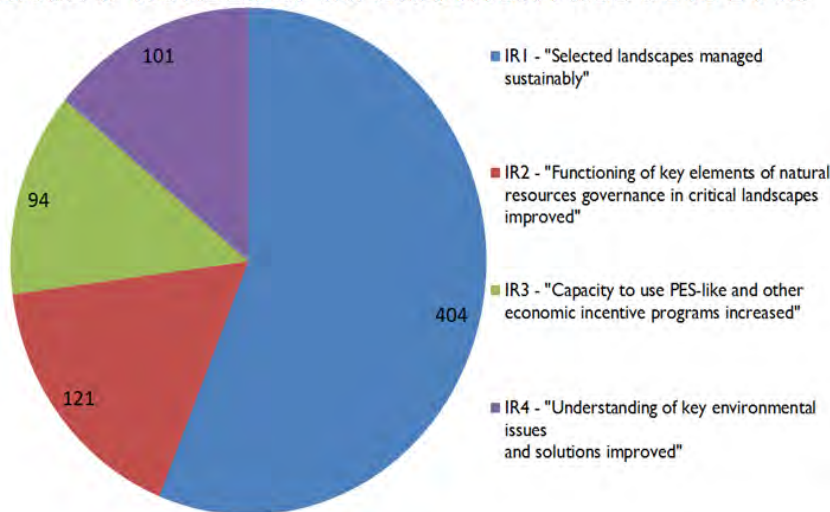
<sup>77</sup> Interviews with Ministry of Environment (12/1/14) and WWF (12/3/14)



ICAA2 produced a variety of information products, including: policy papers, independent research, training manuals and visual media products such as videos, webinars and social media.<sup>78</sup> Although IR4 (“understanding of key environmental issues and solutions improved”) is formally a responsibility of the ISU, in practice all ICAA2 partners produce a wide variety of knowledge products.<sup>79</sup>

Information products serve a variety of purposes, including generating awareness of the program and issues (e.g., information brochures), increasing knowledge of conservation in the Amazon (e.g., research results) and directly influencing the legal framework and decision-making (e.g., policy papers, proposals for regulations). To ensure the relevance of information products to support the results chains and contribute to the program objectives, ICAA2 produced the "Understanding and Solutions for Environmental Problems Action Plan (2012-2016)" as a guiding document and established the Knowledge Management Unit at the ISU to oversee the strategy.

**FIGURE 4: NUMBER OF INFORMATION PRODUCTS BY IR**



As demonstrated in Figure 4,<sup>80</sup> the majority of information products created by ICAA2 for which the purpose was identified contribute to IR1 (“Selected landscapes managed sustainably”) – which encompasses the Sustainable Livelihoods, Large-Scale Planning, Indigenous Territories and Conservation Units results chains. Approximately 14 percent of information products related directly to IR2 (encompassing none of the priority results chain for this evaluation) and IR3 (encompassing the EI results chain).

Due to the nature of the field work, the evaluation team had limited capacity to assess the extent to which ICAA2 information products raised general awareness of conservation issues. Instead, the evaluation focused on understanding the extent to which ICAA2 information products increased knowledge of key actors and directly influenced the policy framework for conservation efforts.

### *Influence of Products on National and Regional Decision-Making*

#### **F-A6.2. ICAA2 products informed stakeholders (including government) on key issues and influenced policy, especially in Peru.**

While the evaluation team is unable to assess the totality of influence of information products on capacity and national policy, we were able to identify products for which influence could be clearly evidenced. Specific ICAA2 products have contributed to a better understanding by stakeholders and framed the discussion of conservation and territorial issues in the Amazon.

<sup>78</sup> Interview with the ISU (10/30/14).

<sup>79</sup> Ibid.

<sup>80</sup> This graphic is based upon an analysis of information products listed on the ISIS website maintained by the ISU. While a total of 854 information products were listed on the ISIS website, 191 products did not indicate the intermediate result to which they contributed and several products indicated multiple.

- WWF and AIDER studies were cited by government and CSO stakeholders as important to the development of the Regional Climate Change Strategy.<sup>81</sup>
- SPDA publications on mining activity in the Andean countries were used by MINAM to understand the main environmental challenge of Madre de Dios in a regional context.<sup>82</sup>
- Colombian and Ecuadoran government officials requested two DOI studies to assist them in decision-making: the legal analysis of enclosed areas in Colombia and a tourism analysis for the Ministry of Environment of Ecuador.<sup>83</sup>
- ISU has produced gender mainstreaming materials including webinar trainings with an average enrollment of 80 persons per session.<sup>84</sup>

There is also evidence that ICAA2 products have influenced policy change. The WWF consortium, in consultation with SERNANP and other partners, developed protocols used by the government for surveillance for the protection of Indigenous Peoples in Voluntary Isolation and Initial Contact (PIAVCI) and interactions by public officials and communities with PIAVCI.<sup>85</sup> CIFOR research and policy recommendations on fast-growing tree species *Bolaina* contributed to changes in the Peruvian forest regulations.<sup>86</sup> The same holds for an ISU Policy paper “Economic incentives for the conservation of indigenous population” (2012) that directly influenced the Peruvian Ecosystem Services law.

### *Influence of Products at the Local Level*

#### **F-A6.3. ICAA2 information products have influenced decision-making by local governments and strengthened civil society.**

At the local level, there is likewise strong evidence that ICAA2 information products have been used in decision-making and to strengthen civil society. Instances include:

- A publication on the feasibility of Pucallpa-Cruzeiro road (by Conservation Strategy Fund) caused a change in plans for this road, because it clearly showed the negative cost-benefit balance for the most likely scenario.<sup>87</sup>
- A legal bottleneck analysis on how to recognize the Community Management scheme for Tamshiyacu PA developed by the LMT consortium influenced the Loreto governmental policy for all conservation areas.<sup>88</sup>
- Maps produced by the IL consortium in Sucumbios are the basis for the provincial Zero Deforestation strategy.<sup>89</sup>
- Clean *naranjilla* production standards produced by the same consortium are included in the national standards guide published by Agrocalidad.<sup>90</sup>

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<sup>81</sup> Interview with Regional Government Madre de Dios (11/11/14)

<sup>82</sup> Interview with Ministry of Environment representative in Madre de Dios (11/11/14)

<sup>83</sup> DOI Consultation Note.

<sup>84</sup> Interview with ISU (10/30/14)

<sup>85</sup> Interview with SERNANP (11/19/14)

<sup>86</sup> This research could not be identified on the ISIS website although its existence and role were verified by stakeholders.

<sup>87</sup> Interviews with Conservation Strategy Fund (10/27/14) and TNC (11/15/14 & 11/25/14). Also: <http://conservation-strategy.org>

<sup>88</sup> Interviews with SPDA (10/30/14) and (11/13/14), DISAFILPA (11/8/14) and PRMFFS (11/8/14).

<sup>89</sup> Interviews with IBC (11/17/14) and MINAM (11/4/14).

<sup>90</sup> Interview with GADP Napo (Guido Farfán, Coordinador de Unidad de Producción) (11/28/14)

### Conclusions:

- C A.6.1. ICAA2 information products can help stakeholders understand key issues and influence discussions relating to conservation and territorial issues.
- C A.6.2. ICAA2 has demonstrated that its information products can directly influence national policies, as this has already occurred, specifically on forest management, PIAVCI protection and ecosystem services.
- C A.6.3. Outputs of ICAA2-supported studies can be linked, as a knowledge basis, to local and subnational landscape management planning and environmental policies.

### Question A7: What is the progress towards territorial consolidation (measured through such indicators as land titling, internal guard systems, *planes de vida* and internal governance)? (RC 5)

Evaluation Question A7 relates to the Indigenous Territories results chain. A fuller description of this results chain, the activities undertaken pursuant to it and progress against the results chain is included in Annexes M and H.

ICAA2 IP activities designed to support the consolidation of indigenous territories have included support to communities to develop their formal decision-making bodies and local territorial plans, establish communal titles and promote mechanisms for the protection of PIAVCI. These activities correspond in their implementation to the strategies agreed in the Indigenous Territories results chain:

- strengthening of legal frameworks;
- strengthening PIAVCI protection and contingency plans;
- increasing awareness about the value of conserving indigenous lands; and
- facilitating the effective participation of indigenous communities in territorial planning processes.<sup>91</sup>

Although consolidation of indigenous territories is the primary focus of the IL consortium, other landscape consortia (particularly SL, PM and LMT) contributed directly to this objective and the ISU and TSP provide indirect support.

#### *Strengthening Formal Governance Structures*

<sup>91</sup> ICAA2 Indigenous Territories Results Chain



*Handicrafts in the indigenous community of Puerto Prado.  
Credit: Sigrid Vásquez, MSI*

**F-A7.1. ICAA2 has effectively supported indigenous communities to improve their governance and management structures.**

ICAA2 IPs support improved community organization and management through strengthened governance structures,<sup>92</sup> capacity building of community leaders and training community boards. This support is intended to facilitate community development of local territorial plans and engagement with external stakeholders. Examples of this support include:

- NOAI'KE (an indigenous peoples' organization and member of the IL consortium) provides administrative and legal training to all five Cofán communities (Dureno, Dovuno, Sinangue, Sábalo and Chandiana'en). This support responds to requests from the communities and has been delivered through training sessions focusing on men and women where possible. This has resulted in some specific capacities among community members, for instance to develop and administer small business or manage co-management agreements with the Ministry of Environment in Sinangue and Cofán Bermejo.
- The SL consortium (AIDER) provides capacity building to communities in Madre de Dios (Tres Islas, Palma Real and Sonene) to engage with the government, redefine limits and establish statutes. All three communities have now formally inscribed legal statutes, and a community leader in Tres Islas stated that "they would never have done this without AIDER support."<sup>93</sup>
- The IL consortium is supporting 24 communities<sup>94</sup> through the delimitation process - a first step to updating legal status.

From the 22 communities visited during the evaluation, two main reasons were identified for the positive impact of governance support: (1) tailor-made support strategies and (2) support based on long-term ongoing engagement with communities.<sup>95</sup> ICAA2 also supports indigenous federations<sup>96</sup> to provide training to their members in governance and legal rights. The IL consortium (IBC) has contributed to strengthening the indigenous organization federations FECONAU, FECONAPIA, FENACOCA, and ACONAMAC in Ucayali, and FEPRIKESAM in San Martin, herewith indirectly reaching almost 100 communities. The PM consortium (CARE) supports FECONAPU through its technical branch (ECOPURÚS) – indirectly strengthening governance in the entire buffer zone of Purús NP in Ucayali. The environmental management of FECONAPU was rewarded the national environment prize at 20<sup>th</sup> Conference of the Parties 20 in Lima held in December 2014.<sup>97</sup>

*Support to Developing Local Territorial Plans*

**F-A7.2. ICAA2 IPs contributed to developing local territorial plans in communities, although efforts to standardize (among ICAA2 consortia) the methodology for developing these plans have failed.**

ICAA2 IPs provide technical assistance to nearly all ICAA2 communities to develop local territorial plans (i.e., life plans and community management plans).<sup>98</sup> Life plans establish local rules for the community and serve as platforms for negotiations with other stakeholders, including especially the government.<sup>99</sup> In 16

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<sup>92</sup> That is: developing by-laws, promoting democratic processes, defining regular meeting and decision-making processes,

<sup>93</sup> Interview w/ Tres Islas community leader (11/5/14)

<sup>94</sup> Four communities of the Callería area (where IL supports SLPs); 10 each communities via FENACOCA and FECONAPIA.

<sup>95</sup> See Annex H.

<sup>96</sup> Second level indigenous organization; federations, representing a group of grass root indigenous peoples' communities

<sup>97</sup> <http://www.actualidadambiental.pe/?p=27423>

<sup>98</sup> A "local territorial plan" is a comprehensive planning instrument for indigenous peoples' communities that involves both social and environmental aspects, according to the cosmovision of the people. "Life plans" were only developed in Peru because the concept of life plans in Ecuador is limited to entire ethnic groups (no individual communities). COFAN are geographically scattered and therefore it is impossible to develop a life plan and ensure recognized limits.

<sup>99</sup> TNC Interrogatory Response (Sept. 2014).

communities visited during this evaluation, local territorial plans have been finalized and approved by the community. In three other communities, plans are almost finished, and in one community it was considered well underway and likely to be completed prior to the conclusion of the program.<sup>100</sup> For instance:

- AIDER supports the development of local territorial plans in Tres Islas, Sonene and Palma Real in Madre de Dios.<sup>101</sup>
- The Manuani community in Madre de Dios is currently supported by the MDD consortium to develop a local territorial plan including efforts to strengthen agriculture, tourism, health and water services.<sup>102</sup>
- In Napo, the SL consortium intervention strategy has contributed to the communities of the Hatun Sumaco Parish to developing its own Territorial Ordering plan, which is now being formally presented to the national planning office.<sup>103</sup>

In Ucayali (Peru), the planning process has been more formalized and through the engagement of IL partners<sup>104</sup>, the regional government has shown interest in incorporating indigenous life plan priorities to guide public investments in the Callería area.<sup>105</sup>

However, the evaluation team also encountered communities in which local territorial plans and the planning process were not well understood. For example, Sonene and Palma Real (Peru) community members could not list any of the life plan priorities and the Dureno (Ecuador) interviews revealed most of the knowledge remains among leaders and women; elderly and young people had little knowledge about the plans.<sup>106</sup>

Within ICAA2, although several partners support communities to develop life plans, each partner applies a different methodology (although approaches are similar). While the ISU developed a standard local territorial plan methodology (in collaboration with the Peruvian Ministry of Culture and through a regional meeting), other ICAA2 partners were either critical of this effort or were not aware that the ISU had a responsibility for the transversal theme of indigenous peoples and staff dedicated to this effort.<sup>107</sup>

#### *Legal Support to Resolve Tenure and Land Conflicts*

#### **F-A7.3. USAID partners have strengthened legal security by resolving tenure and land conflicts.**

ICAA2 IPs have supported communities to establish land titles. Land titling improves the opportunity of indigenous and local communities to access governmental programs and credits, which in turn can contribute to sustain SLPs and private conservation initiatives currently carried out in their territories. The most significant support to the establishment of land titles has taken place through direct support to communities and has been delivered by the SL and LMT consortia. For instance:

- The LMT consortium has been supporting indigenous communities in the buffer zones of ACR TT and Tambopata to consolidate land tenure in order to better reduce the threats of illegal

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<sup>100</sup> See Annex H.

<sup>101</sup> Site visits to Sonene, Palma Real, Tres Islas; triangulated with implementing agencies (RA and ACCA).

<sup>102</sup> Interview with Sra. Sabina Valdez Rondón (President of the Manuani Farmers and Miners Association) (11/10/14).

<sup>103</sup> *Plan de Desarrollo y Ordenamiento Territorial*; Interviews w/ ECOLEX (11/25/14) and Tito Huatatocha (President of Challwayaku community) (11/27/14)

<sup>104</sup> Particularly through IBC with Field Museum Chicago, developing standards for life plan development. Interviews with IBC Pucallpa (11/17/14) and TNC Lima (11/14/14)

<sup>105</sup> Interviews with TNC Lima (11/14/14) and Government of Ucayali (Franz Tang, Gerente Recursos Naturales) (11/17/14).

<sup>106</sup> Sonene/Palma real site visit (11/6/14 & 11/7/14), Dureno site visit (12/2/14).

<sup>107</sup> Interviews with ISU (10/30/14), IBC (11/17/14) and SPDA (10/30/14).

logging, poaching and unsustainable fishing.<sup>108</sup> With strong capacities to manage natural resources within their territories, ACR TT local communities see titling as a critical factor to access programs and funding from the regional government (i.e. PROCREL, DIREPRO) and private ventures (e.g. handcrafts, tourism) and improve their livelihoods (incomes).

- The SL consortium currently works with four indigenous communities in the parish of Hatun Sumaco (Ecuador) to develop management plans (which entail zoning plans at the community level), which are necessary documents for submission to the Ministry of Environment in Ecuador (MAE) as part of the land titling procedure.<sup>109</sup>
- Legal recognition of land ownership (supported by the PM consortium) was a key step to help the MABOSINFRON association (a mestizo group) get formal recognition by the Ministry of Environment and to establish a 6000 ha conservation concession.<sup>110</sup>

ICAA2 IPs also generate analytical products designed to facilitate land titling, including the LMT consortium's (SPDA) studies and proposals to the Ministry of Agriculture on land titling and the same consortium's legal analysis of the main obstacles to indigenous communities securing land titles, which was presented to the Loreto regional government in 2013. The evaluation team was unable to assess the impact of these studies on policies or understandings of key stakeholders.

ICAA2 IPs (particularly the ISU, LMT and SL consortia) support communities to address land conflicts, although it is not possible to assess the effectiveness of this support ICAA2-wide. For example, institutional support provided by the SL consortium was highlighted as important to solving land conflicts between the Palma Real and Sonene communities in Bahujaja Sonene Park (Peru), and for improving the relationship of the community with SERNANP.<sup>111</sup> The La Libertad community by the Ucayali River (Nauta, Loreto) has been helped by the LMT consortium to obtain legal titling and solve their boundaries conflicts, as a first step to develop a communal conservation area.<sup>112</sup>

Of the 18 communities visited during this evaluation and where information was obtained on legal support (either conflict resolution, tenure or formal by-law development), this process has been effectively finalized in 14 communities and considered well advanced in the other four communities.<sup>113</sup>

#### *Protection of Indigenous Peoples in Voluntary Isolation and Initial Contact*

#### **F-A7.4. ICAA2 activities have contributed to improved PIAVCI protection through the promotion of mechanisms and multi-stakeholder coordination.**

ICAA2 contributed to improved mechanisms for PIAVCI protection and multi-stakeholder coordination can be singled out as a key contributing factor. The PM consortium worked with SERNANP, the Ministry of Culture and indigenous organizations (ORAU/FECONAPU) to establish four Territorial Reserves for PIAVCI in Ucayali with policies for their management under implementation (i.e. surveillance protocol and contingency plan).<sup>114</sup> Multi-stakeholder coordination was also employed through the Grupo de Monitoreo de Megaproyectos de Ucayali, which engaged in an advocacy campaign against the Pucallpa-Cruzeiro do Sul (F-A.4.3) road, resulting in the consideration of PIAVCI in the design of the road.<sup>115</sup>

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<sup>108</sup> Site visits to ACR TT, Nauta and Infierno. Confirmed through interviews with WCS (10/29/14) and SPDA (11/13/14).

<sup>109</sup> Site visit to Hatun Sumaco. Confirmed through interviews with ECOLEX (11/25/14) and MAGAP (11/26/14).

<sup>110</sup> Group interview of MABOSINFRON members (11/18/14) and interview with WWF (11/19/14).

<sup>111</sup> Group interview with Sonene community members (11/6/14).

<sup>112</sup> Group Interviews with La Libertad community leaders (11/12/14) and women's group (11/12/14).

<sup>113</sup> See Annex H.

<sup>114</sup> Interviews with FECONAPU (11/17/14), SERNANP (11/19/14) and WWF (10/31/14).

<sup>115</sup> Interviews with TNC (11/14/14), IBC (11/17/14) and Tahuamanu Municipality (11/18/2014).

Both PM and IL partners have also contributed to increased awareness and capacity among the diverse governmental (i.e. regional governments, SERNANP, MINCULTURA-VM) and indigenous stakeholders (ORAU, FECONAU, FECONAPU, FECONAPIA) involved in PIAVCI protection. This has been achieved by training and the production and dissemination of tools and communication products. DOI's policy engagement at the national level in Colombia has been key to sustain institutional support for PIAVCI policy formulation in this country.<sup>116</sup> Although effective protection of PIAVCI is a work in progress, ICAA2's contributions can serve as cornerstones for future sustainability.

#### Conclusions:

- C A.7.1. ICAA2 IPs' governance capacity building effectively created improved community organization and management skills, which allows them to develop and enforce local territorial plans and engage with external stakeholders.
- C A.7.2. ICAA2 technical support has contributed to local territorial plans having been completed or in advanced stages of completion in many communities, allowing for more sustainable and legal management of their territory and its natural resources.
- C A.7.3. Through the development of protocols, training to indigenous peoples' organizations, and multi-stakeholder coordination activities at different levels (regional, national and local) ICAA 2 IPs have contributed to improved PIAVCI protection, such as in the case of the suspension of the Pucallpa-Cruzeiro do Sul road project.

### Question A8: What is the evidence of improved management practices in protected areas? (RC 6)

Evaluation Questions A8 and A9 relate to the Conservation Units results chain. A fuller description of this results chain, the activities undertaken pursuant to it and progress against the results chain is included in Annex N.

#### **F-A8.1. ICAA2 IPs have contributed to the incorporation of at least nine conservation areas in the national or regional systems of protected areas.**

LMT, PM and SL consortia partners have provided technical assistance for the creation and establishment of at least eight private and community conservation areas.<sup>117</sup> Most of the areas have been established in Peru, where the legal framework recognizes and fosters private and community conservation concessions. For instance:

- In Peru, four areas have been incorporated into SERNANP's private conservation schemes, particularly through the intervention of the LMT (Puerto Prado, Libertad) and PM (Infierno, MABOSINFRON) consortia.<sup>118</sup>
- In Napo, Ecuador, with the support of SL consortia partners (who helped to present the technical documentation), four indigenous peoples' communities in Hatun Sumaco Parish will

<sup>116</sup> DOI undertook regional workshops between four countries (plus invited representatives from Brazil) on protection and contingency plans for PIAVCI. From that workshop, the Colombian government requested recommendations how to best protect these groups and DOI recommended guidelines on how to honor the wish to be isolated. Interview with DOI (12/5/14)

<sup>117</sup> Group interview with community members from Puerto Prado (11/12/14), Libertad (11/12/14), Infierno (11/14/14), MABOSINFRON (11/18/14), Wamani (11/27/14) and Challwayaku (11/27/14).

<sup>118</sup> Group interview with community members from Puerto Prado (11/12/14), Libertad (11/12/14), Infierno (11/14/14), MABOSINFRON (11/18/14).

enter the national forest conservation program Socio Bosque, creating de facto conservation units.<sup>119</sup>

- At the subnational level, a new regional conservation area (Señor de la Cumbre) has been created along the Interoceanica Sur route in Madre de Dios (Peru), after the lobby of a technical support group (during ICAA I) of SPDA, Pronaturaleza and ACCA.<sup>120</sup>
- In Ecuador, the previously established La Bonita municipal protected area is expected to become part of the national system of protected areas, through the contacts, technical and legal support of the IL consortium to the Municipality and the Ministry of Environment.<sup>121</sup>

While most new conservation units cover indigenous community territories, MABOSINFRON covers land of mestizo associations and the subnational public areas (la Bonita and Señor de la Cumbre) are mixed areas.

**F-A8.2. ICAA2 IPs have contributed to improving and elaborating management plans and other tools for eight protected areas.**

ICAA2 IPs provided technical assistance to national and subnational government institutions to improve their capacity to design and implement policies that increase participation and sustainable co-management of protected areas. This support has been complemented with trainings, workshops and exchange visits for community stakeholders to improve technical capacity for the management and co-management of conservation units. This has resulted in elaborated management plans for eight protected areas:

- In Ecuador, the IL consortium has supported La Bonita with maps to elaborate the territorial ordination plan of the municipality, including management of the municipal protected area.<sup>122</sup>
- The SL consortium provided technical support to and facilitated workshops with local authorities and tourism entrepreneurs to develop sustainable tourism plans (tourism management and site management) in RPF Cuyabeno and in RN Tambopata. These plans are considered by the area management authority as a key contribution to the formal management plans and significantly increased management effectiveness.<sup>123</sup>
- Protected areas management plans have been elaborated and updated in ACR Alto Nanay-Pincuyaco-Shambira (LMT consortium), PNAP and RCP (PM consortium) and Bosque Protector Cerro Sumaco (SL consortium).
- The PM consortium finalized an education and communication strategy, with strong indigenous peoples' participation, focusing mainly on providing higher visibility of the PNAP. The resulting media campaign has achieved conspicuous media coverage<sup>124</sup>

**F-8.3. ICAA2 IPs' support to tourism operators has contributed to better environmental management, but the involvement of indigenous peoples in tourism operations is low.**

There is clear evidence that environmental management and biodiversity practice of tourism operators has improved as a result of ICAA2 activities.<sup>125</sup> ICAA2's concentration on tourism in a landscape

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<sup>119</sup> Group interviews with Wamani (11/27/14) and Challwayaku (11/27/14) community members. Once registered with SocioBosque, communities must allocate territorial forestland to obtain the compensation offered by this government program.

<sup>120</sup> Grupo de Apoyo para el Establecimiento del Área de Conservación Regional Señor de la Cumbre;

<https://viasostenible.wordpress.com/2012/07/27/pt2-si-vamos-a-hacer-algo-bien-es-mejor-si-lo-hacemos-entre-todos/>

<sup>121</sup> Site visit to La Bonita, interview with municipality La Bonita representatives (12/2/14).

<sup>122</sup> Interview with municipality La Bonita representatives (12/2/14).

<sup>123</sup> Site Visit to Cuyabeno. Interviews with MAE (12/8/14), Siona Lodge owner (12/3/14), AraLodge owner (12/3/14), RA (11/24/14) and GIZ (11/24/14). See also DOI Consultation Note and USFS Consultation Note.

<sup>124</sup> <http://Purúsmanu.pe>



ensured good collaboration with private sector groups and government authorities such as the Ministry of Environment and Cuyabeno municipality in Ecuador. For example:

- In Cuyabeno, RA standards were accepted by the local authorities as basic system for environmental licensing there.<sup>126</sup>
- In Tambopata, collaboration with SERNANP resulted in a visitor site management plan for the reserve.<sup>127</sup>
- Lodge owners in Cuyabeno RPF claim 50 to 100 percent better income from tourism after application of good environmental practices, because they actively promote their eco-branding.<sup>128</sup>

However, challenges remain: certification ("RA verified") was accepted by operators (11 lodges in Peru were certified and 8 in Ecuador) but only while RA financed certification (in Peru, the number dropped to 3 when the lodges had to pay themselves).<sup>129</sup> The strategic association of operators is failing, which will hinder further progress.

ICAA2-supported tourism operations are managed by entrepreneurs from outside the area and not by local (indigenous or mestizo) communities. Although interventions have been tried to involve indigenous peoples' communities in tourism operation, acceptance was low in both Tambopata and Cuyabeno (e.g., native guides, boat managers, interaction with communities beyond business leasing).<sup>130</sup>

#### **F-8.4. ICAA2 support to territorial consolidation has contributed to a greater role for indigenous peoples in the management of conservation units.**

ICAA2 interventions have established synergies between territorial consolidation and protected areas management, resulting in an enabling environment for co-management<sup>131</sup> of conservation units.

- LMT work in ACR TT has added value to the community management scheme this area has had since its creation. Agreements with PROCREL will enable communities to reinforce surveillance and control illegal extraction in the area as well as the buffer zone, recognizing their critical role in co-management. Being a regional regulation, this will be applied to other areas in Loreto, where PROCREL views to replicate the lessons obtained in ACR TT.<sup>132</sup>
- ICAA2 IPs contribute to several management committees in Peru: PN Alto Purús (PNAP), RC Purús (RCP), RN Tambopata and RN Pacaya Samiria, through which they actively advocate to increase indigenous and local communities' participation in management decisions. For instance, strengthening tenure and resolving land conflicts with surrounding communities (LMT consortium) changed these communities from enemies to allies of the reserve.<sup>133</sup>

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<sup>125</sup>Reduced negative environmental impact by tourism operations, measured (in this work) by RA verification standards (<http://www.rainforest-alliance.org/sites/default/files/site-documents/tourism/documents/tourism-verification-standard-english-v4.pdf>). Rating of Cuyabeno lodge operation showed increase from 40 to 50 percent to over 80 percent of compliance with standards.

<sup>126</sup> Site Visit to Cuyabeno. Interviews with SionaLodge owner (12/3/14) and AraLodge owner (12/3/14)

<sup>127</sup> Interview with SERNANP (11/7/14).

<sup>128</sup> Interviews with Jamu Lodge (12/4/14) and Ara Lodge (12/3/14).

<sup>129</sup> Interviews with RA (11/13/14), park management and park management committee (both 12/4/14).

<sup>130</sup> Interviews with Palma Real community members (11/7/14), San Victoriano community member and Cuyabeno lodge staff (12/4/14), confirmed by Luis Borbor, Jefe de area RPF (12/3/14).

<sup>131</sup> Area management shared between the governmental authority together with local stakeholders (particularly inhabitants of the area or the buffer zone) in different roles; Borrini-Feyerabend et al. (2004); <http://cmsdata.iucn.org/downloads/pag011.pdf>

<sup>132</sup> Site visits: Bellavista, San Juan de Yanayaku, San Pedro and El Chino. Interviews with DAR (11/8/14) and SPDA (11/13/14).

<sup>133</sup> Group interview with Sonene community members (11/6/14).

- Through the direct relation with SERNANP of ICAA2 partners, lessons from community natural resource management committees in place in ACR TT and RN Pacaya Samiria – both in LMT’s landscape but operating prior to the ICAA2 intervention – are included at the national level as positive examples of co-management.<sup>134</sup>

**F-8.5. There is no evidence that conservation units supported by ICAA2 are financially sustainable.**

Financial sustainability is a major challenge for long-term effective management of protected areas.<sup>135</sup> Also, most conservation units targeted by the consortia suffer from financing gaps that hinder effective management. With the exception of PNAP and RCP, where PM consortia sought support from the ISU in developing a financial sustainability plan, financial plans for other areas have not been carried out yet. Existing financial support mechanisms (e.g. REDD+ like support to Tambopata and Bahuaja Sonene<sup>136</sup>) have been achieved by an ICAA2 consortium partner (AIDER) but not through USAID funding.

**F-8.6. ICAA2 IPs’ long history of support makes it impossible to assess the extent of ICAA2 exclusive contributions to protected area management.**

ICAA2’s work in protected areas builds on a long history of several USAID partners in PA management (particularly WWF, Pronaturaleza, WCS and TNC). Many of the improvements that have occurred during the lifetime of ICAA2 represent outcomes to which ICAA2 IPs have worked for many years, with funding from different donors.<sup>137,138</sup>

**Conclusions:**

- C A.8.1. ICAA2 IPs have contributed to the improved management of protected areas, although due to the long investment (prior to ICAA and through multiple funding sources), it is not possible to attribute any specific improvement to the program.
- C A.8.2. ICAA2 IPs’ efforts to territorial consolidation of indigenous communities bordering or inside protected areas have contributed considerably to conflict resolution, improved management and establishment of new areas.
- C A.8.3. ICAA2 IPs have not increased financial sustainability for protected areas where they work and it is not clear that many of these are financially sustainable.

**Question A9: How are new management practices in protected areas addressing key threats to biodiversity? (RC 6)**

The key threats to biodiversity in PAs arise from habitat conversion and contamination driven by illegal use (e.g., timber, hunting, fishing), mining and oil/gas exploration, infrastructure development and (in

<sup>134</sup> Site visits to ACR TT and Pacaya Samiria communities. Confirmed through interviews with WCS (10/29/14), Fundamazonia (11/10/14) and DAR (11/8/14).

<sup>135</sup> Emerton, L., Bishop, J., & Thomas, L. (2006). Sustainable Financing of Protected Areas: A global review of challenges and options (No. 13), IUCN.

<sup>136</sup> <http://www.aider.com.pe/prensa/Tambopata-REDD.html>

<sup>137</sup> ICAA2 financed TNC’s long-standing work with the management of the Cayambe-Coca National Park, La Bonita municipal reserve and Cofan Bermejo ecological reserve. In Peru, many ICAA2 IPs have supported conservation units where ICAA2 works for many years and nearly all ICAA2 IPs receive funding since 2003 from the Moore Foundation for Madre de Dios, Loreto and Ucayali. In the PM consortium, clear evidence for better communication and direct capacity increase in Purús and Manu must also be attributed to WWF’s Living Amazon Initiative, hence the overall impact is at best a joint result.

<sup>138</sup> An exception should be made for Rainforest Alliance (SL consortium), whose work on tourism in conservation units is fully executed during ICAA2.

piedmont areas like Napo, Sucumbios, San Martin and Caqueta) land use change, particularly for cattle and agro-industrial crops (e.g. oil palm). The key threats to biodiversity are similar in indigenous and non-indigenous areas, although because in general indigenous areas are better conserved and still harbor precious woods and bushmeat, these areas suffer more from illegal use by outsiders.<sup>139</sup> The underlying causes contributing to these threats are unsustainable economic development policies, weak management and control of protected areas, ineffective legal and political frameworks and the lack of income options other than through those activities related to the threats.<sup>140</sup>

**F-A9.1. ICAA2 IPs support strengthened conservation unit management and a strong legal framework to address threats driven by illegal land use, infrastructure development and mining.**

Within conservation units, ICAA2 IPs have targeted the underlying causes contributing to threats relating to illegal land use, infrastructure and mining by supporting strengthened management and legal frameworks within the environment sector. For example:

- ICAA2 IPs (MDD Consortium in Tambopata and WWF and SPDA at the national level) have directly addressed mining in protected areas, including through collaborations with the Peruvian Ministry of Energy and Mining to agree on the process for legalization of informal miners<sup>141</sup> and with the Peruvian Ministry of Culture on the development (still underway) of a comprehensive strategy on including PIAVCI considerations in planning.<sup>142</sup>
- LMT has facilitated agreements between communities and the regional protected areas management program (PROCREL), which will enable communities in Loreto to reinforce surveillance and control illegal extraction of timber and hunting and fishing.<sup>143</sup>
- The SL consortium has supported (through training, logistic support to field campaigns and revision of initial plans) the development of management plans for sustainable extraction of timber and non-timber forest products in Madre de Dios, as well as provided more general support for better management of protected areas (see EQ 8).
- There are demonstrable results in the responses to threats posed by infrastructure development on protected areas. In Ucayali, TNC and IBC provide technical assistance in an advocacy campaign against the Pucallpa-Cruzeiro do Sul (affected the Sierra Divisor NP) that resulted in the suspension of that project. In Madre de Dios, the development of a road between Puerto Esperanza and Iñanpari (affected the RCP/PNAP) was also stopped after an advocacy campaign lead by WWF that organized local stakeholders from SERNANP and FECONAPU/ORAU.<sup>144</sup>

**F-A9.2. ICAA2 is missing opportunities to create positive impact for biodiversity conservation by not addressing some key threats to biodiversity in protected areas, driven by hydrocarbon exploitation and land use change by agro-industrial crops.**

While ICAA2 is addressing many of the key threats to biodiversity, the evaluation team encountered examples where the program is not addressing the primary threats to biodiversity in the areas in which the program is active. In Ecuador, the main threats to PA are related to oil exploration (Cuyabeno) and

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<sup>139</sup> Maretti, et al (2014) State of the Amazon: Ecological Representation in Protected Areas and Indigenous Territories. Brasília and Quito: WWF Living Amazon (Global) Initiative. 82pp.

<sup>140</sup> Mardas, N., Bellfield, H., Jarvis, A., Navarrete, C. & Comberti, C. (2013) Amazonia Security Agenda: Summary of Findings and Initial Recommendations. Global Canopy Programme and International Center for Tropical Agriculture.

<sup>141</sup> Interviews with Ministry of Energy and Mining and MDD consortium.

<sup>142</sup> Interviews with Ministry of Culture (10/27/14) and ISU (10/30/14).

<sup>143</sup> Site visits to ACR TT communities Bellavista, San Juan de Yanayaku, San Pedro and El Chino. Interviews with DAR (11/8/14) and SPDA (11/13/14).

<sup>144</sup> Interview with Daniel Maynas (Grupo Regional de Monitoreo de Megaproyectos) (11/17/14).

oil palm planting (Limoncocha), which are not targeted by any of the consortia working in Sucumbios. In Loreto, oil development represents one of the key threats to biodiversity but is not targeted by an ICAA2 IP. Finally, although land use change is one of the major threats to biodiversity in the Amazon, it is targeted in only one area that the evaluation team visited – Napo, Ecuador. By not including these major drivers, there is the danger that the positive result of other ICAA2 activities is minimized by the impact of these drivers.

Many of the underlying causes for the key threats to biodiversity are applicable on scales larger than the conservation unit. ICAA2 IPs recognize this and have developed strategies to address these issues more holistically (i.e., by focusing efforts at the local, regional and national levels and by looking at cross-cutting issues such as health<sup>145</sup>). However, synergy between result chains and across scales is limited, due to poor collaboration between consortia (see F-B.2.1, F-C.2.3). Also, at this stage ICAA2 does not work with the private or public companies that are promoting the mining and oil activities.<sup>146</sup>

**F-A9.3. ICAA2 has not effectively contributed to addressing the lack of viable economic alternatives to practices that constitute threats to biodiversity – a root cause of many threats.**

There is little evidence that ICAA2 has effectively promoted economic alternatives to practices that constitute threats to biodiversity (see EQ A2). The evaluation team encountered numerous examples where such practices constituting threats to biodiversity are being undertaken or considered as viable options for communities.

- In the Cuyabeno Reserve (Ecuador), local communities are considering allowing oil exploration in their territories in spite of a decade of tourism development and several years of management support to the reserve on the basis that this is a more economically viable than "tourism and other NGO business."<sup>147</sup>
- In Madre de Dios (Peru), both the regional government and the indigenous peoples' federation claimed that communities in Manu feel too restricted in their economic development by PA management.<sup>148</sup>
- In spite of some progress at the local scale in SLPs in the communities where ICAA2 works, the attraction of an easy income source from unsustainable activities continues to drive people to illegal mining activities in Tambopata, illegal wildlife extraction in Pacaya Samiria and illicit crops in Bahauja Sonene.<sup>149</sup>

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<sup>145</sup> Examples of work done by ICAA2 IPs include an ISU-supported study by SPDA on Oil Palm ([http://www.amazonia-andina.org/sites/default/files/palma\\_aceitera\\_-\\_final.pdf](http://www.amazonia-andina.org/sites/default/files/palma_aceitera_-_final.pdf)) and several DOI activities at the regional level on hydrocarbons (DOI interview 12/5/14)

<sup>146</sup> A positive exception is DOI's work with the permanent dialogue table and the voluntary certification process of hydrocarbons. DOI Interview (12/5/2014).

<sup>147</sup> Cuyabeno site visit and community interviews (12/3/14 and 12/4/14).

<sup>148</sup> Interviews with Madre de Dios regional government and FENAMAD representatives (11/4/14).

<sup>149</sup> Group interviews with community management committees Tres Islas (11/5/14) and Sonene (11/6/14) (Tambopata and Bahauja Sonene). Interview SERNANP Pacaya Samiria (11/10/14).

### Conclusions:

- C A.9.1. By not addressing biodiversity threats originating from oil/gas exploration and land use change by (commodity) agriculture, there is a risk that positive results of other ICAA2 activities will be minimized.
- C A.9.2. The mitigation of biodiversity threats in protected areas cannot be addressed solely through conservation strategies. Interventions must incorporate other results chains (particularly sustainable livelihoods and large scale planning) to be effective.
- C A.9.3. Because promoted SLPs still do not provide a viable economic alternative for communities in and around conservation units, unsustainable practices by local inhabitants continue to form a threat to biodiversity.

## FINDINGS: ICAA PROGRAM MANAGEMENT

Although no sub-questions were identified for Evaluation Question B in the evaluation SOW, USAID noted in discussions with the evaluation team that it was interested in addressing how three management conditions impacted the delivery of ICAA2: the transfer of responsibility from Washington, DC to Lima, the ICAA2 program structure and the intra-consortium dynamics. The issues are addressed below.

### Question B1: How has ICAA performance been affected by the transition from US-based program management to Peru-based program management?

#### **F-BI.1.** The transfer of ICAA2 management from Washington to Lima has improved communication and contextual understanding of program managers.

The transfer of ICAA2 management from Washington to Lima, with Agreement Officer's Representatives (AORs) in Quito and Bogota, has resulted in more direct lines of communication<sup>150</sup> and engaged more national USAID staff who have a better understanding of the local context in program management<sup>151,152</sup>. However, the fact that the majority of USAID and ISU staff involved with ICAA2 are Lima-based has been identified by IPs in Ecuador and Colombia as a major reason for a disproportionate emphasis on ICAA2 activities in Peru.<sup>153</sup>

#### **F-BI.2.** USAID staff turnover and inexperience has contributed to inefficient program management.

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<sup>150</sup> CORs and AORs are in the same cities as the consortium leads, which greatly facilitates direct contact and the possibility to personally accompany activities organized by ICAA.

<sup>151</sup> Of the seven USAID staff supervising the contracts, five are originally from these countries and all are situated in one of the three countries.

<sup>152</sup> As expressed during interviews with implementing partners: "We know these people [the AOR that have been working for USAID for 10+ yrs] and they know us"; "although we always could communicate by telephone or email, having your AOR at walking distance makes a huge difference"; "Spanish has increasingly become the main language of communication with USAID".

<sup>153</sup> Apart from the distribution of landscape consortia (five active in Peru, and two each in Ecuador and Colombia), the number of field activities (227 in Peru, 83 in Ecuador and 41 in Colombia; see Figure 2) shows a concentration in Peru, which was originally mentioned by all consortium leads and TSP situated in Colombia and Ecuador.

Compared to ICAAI (managed from Washington), there has been more frequent turnover among AORs and Contracting Officer's Representatives (CORs)<sup>154</sup> in ICAA2 and several of the new AORs/CORs have less experience in USAID and with ICAA2 IPs than previous USAID senior staff. According to ICAA2 IPs, this causes implementation delays, misunderstandings and a perception (particularly among the ISU) that USAID does not provide adequate program guidance because of lack of seniority and capacity.<sup>155</sup> ICAA2 IPs attribute delays in the implementation of activities to program management (i.e., approval of activities, work plans) delays,<sup>156</sup> and nearly all consortium leads<sup>157</sup> consider USAID program management to be cumbersome.

**F-BI.3. Few efforts are made centrally to promote coordination and collaboration between ICAA2 consortia or between ICAA2 and other USAID programs.**

Although AORs/CORs engage in regular meetings internally and with colleagues associated with other USAID programs, there is little strategic coordination between ICAA2 consortia or between consortia and the TSP in Peru.<sup>158</sup> However, the consortia that report to AORs in Quito and Bogota report more direct communication between the consortium leads and with other USAID programs, which they indicate results from reporting to a single, experienced AOR.<sup>159</sup>

There is limited collaboration between ICAA2 and other USAID programs in the Amazon region at the regional or national level. In Peru, there are a few examples of joint activities of ICAA2, the PeruBosques and Peru Forest Sector Initiative (PFSI) projects and other forest-based USAID projects (mostly consisting of joint participation in networks and support to MINAM/MINAGRI). However, there is no evidence that there is a collaborative effort to align interventions around similar objectives. IPs of different projects mention: "we meet when USAID convenes us, but never actually coordinate strategies"<sup>160</sup>. An important reason may be the different cooperation windows that have given origin to the different programs: "Perubosques and PFSI are related to the bilateral Free Trade Agreement, while ICAA is related to regional biodiversity policy; that makes actual collaboration difficult".<sup>161</sup>

At the local level, there are examples of greater collaboration between USAID programs. In Madre de Dios (Peru), there is an active platform of USAID-supported projects. Another example is the Net Zero Deforestation Zones project that was made fully complementary<sup>162</sup> to RA's ICAA2 work in Tres Islas and Infierno (Peru) and Hatun Sumaco (Ecuador) and with TNC work in Dureno and Dovuno (Ecuador).

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<sup>154</sup> For example, the COR for the ISU contract has changed five times. Interview with ISU (10/30/14).

<sup>155</sup> Different persons at ISU, interviewed separately, repeatedly noted "we have much more accumulated experience and high level contacts than the USAID mission in Lima"; Contractor Performance Assessment Reports (CPARs) for FY2013 and 2014 and respective ISU responses that were presented in confidence to the evaluation team show profound disagreements between USAID and the ISU consortium lead about their mutual performance, evidencing a suboptimal management relationship.

<sup>156</sup> Analysis of the submission dates and approval (as published on ISIS) of 52 quarterly and annual reports showed that the average period of approval is 82 days; 13 were approved within one week and in 19 cases it took over 100 days to approve the reports. Also, the ISU working without an approved work plan, sometimes for most of the fiscal year, required that activities had to be approved individually, further delaying collaborative activities with partners (TNC interview, 11/14/2014) and DOI interview, 12/5/2014).

<sup>157</sup> TNC interview: "One of the main reasons for bringing USAID coordination to the region was to increase the speed of administrative procedures, but this has not improved". (11/25/14)

<sup>158</sup> Interviews with individual USAID staff and consortium leads confirm that there is no optimal internal communication within USAID; coordination is limited to scheduled moments of mutual updating, but no day-to-day communication.

<sup>159</sup> For instance, TNC and RA (lead of the IL and SL consortia) regularly meet with the AOR and have had frequent visits to national government agencies, accompanied by USAID. Interviews with TNC (11/25/14) and RA (11/24/14).

<sup>160</sup> Even so, during the TNC interview it was mentioned that "USAID officers of other programs ask us what has been done in ICAA2 instead of asking their colleagues within their office" Interview with TNC (11/14/14).

<sup>161</sup> Interview SERFOR representative, who is a former USAID program staff member (11/20/14).

<sup>162</sup> RA and TNC implemented ICAA activities in these communities to consolidate the initial results with productive activities, initiated by NZDZ; with Sucumbios provincial government, NZDZ developed a zero deforestation strategy, whose implementation is now supported with ICAA2 funding.

**F-B1.4.** The deterioration of U.S. relationships with Bolivia and Ecuador has negatively impacted program delivery and ICAA2 IPs require guidance on appropriate interactions with the Government of Ecuador.

The political relationships of the U.S. government with Bolivia and Ecuador strongly influenced program delivery. In May 2013, USAID stopped its activities in Bolivia, following orders of the Bolivian government, and ICAA2 did not include any activity here. In October 2014, the USAID office in Ecuador was closed because the Government of Ecuador did not sign a new collaboration agreement with the U.S., stating that U.S. development aid is no longer necessary.<sup>163</sup> Because ICAA is a regional program not directly managed from the bilateral office in Quito, ICAA2 has continued in Ecuador but limits its activities in support to the national government. Although this theoretically limits only a few activities (e.g., implementation of the visitor management plan in Cuyabeno and further support to the Socio Bosque Program), in practice IPs do not believe it is clear with whom they can cooperate absent written instruction from USAID.

#### **Conclusions:**

- C B.1.1. USAID region-based program management has improved communication and the direct involvement of USAID staff with program activities. It did not improve the speed of the administrative procedures or the level of coordination within USAID.
- C B.1.2. Due to inadequate collaboration, ICAA2 is missing opportunities to create synergies with other USAID forest programs implemented in the Amazon of Peru.
- C B.1.3. Because of the U.S. government's deteriorating political relationships with the governments of Bolivia and Ecuador, ICAA2 cannot attain its planned results at the desired regional scale.

### **Question B2: How is ICAA performance affected by program-level management structures (i.e., ICAA Consortia, Technical Support Partners, Support Unit)**

The ICAA2 program structure consists of:

- seven landscape consortia operating under cooperative agreements;
- four TSPs who provide technical support to other consortia within ICAA2 and also undertake discrete independent activities; and
- the ISU, which supports and promotes coordination between all partners and works as a Secretariat to provide assistance in program administration and services across cross-cutting issues of Knowledge Management, Communications, Gender and Monitoring and Evaluation.<sup>164</sup>

**F-B2.1.** There is little collaboration between landscape consortia, and the coordination role of ISU is insufficiently empowered (and not complemented by USAID) to promote this collaboration.

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<sup>163</sup> Alexandra Valencia, United States cancels aid programs to Ecuador, <http://www.reuters.com/article/2013/12/15/us-ecuador-usa-idUSBRE9BE0HV20131215>.

<sup>164</sup> The ISU also undertakes activities associated with improved governance of natural resources, understanding of environmental problems and possible solutions, and economic incentives for conservation. <http://www.amazonia-andina.org/en>.

Each landscape consortium is delivered as a stand-alone project: consortium partners are fully focused on attaining their particular goals<sup>165</sup> and are not stimulated to coordinate with others.<sup>166</sup> Although the evaluation team identified common objectives around which collaboration would be appropriate,<sup>167</sup> there are few joint activities between consortia<sup>168</sup> and in some cases duplication of work was apparent.<sup>169</sup> Even in the best example of collaboration between consortia (IL and SL in Ecuador) there is some coordination at directive level, but no joint activities and little communication in the field.<sup>170</sup>

The coordination role of the ISU in ICAA2 is not clear. Although the ISU is expected to facilitate overall management of ICAA2 together with USAID, ISU's Scope of Work does not provide it with any formal coordination role in the sense of supervising activities of consortia.<sup>171</sup> ISU produced a series of program planning management documents that were hardly used by consortia to guide their work.<sup>172</sup> In absence of supervisory capacity, the only entity equipped to ensure coordination and coherence among consortia at the regional level is USAID. However, the Agency has not assumed this role. There is no single oversight person within USAID, and according to interviewed staff there is no strategic alignment of ICAA2 activities<sup>173</sup>. All ICAA2 partners interviewed by the evaluation team stated that they had not been incentivized or directed to collaborate with partners in other consortia. Collective ICAA partner meetings are one of the only tools to bring implementers together with the opportunity to share experiences and align strategies. However, these were discontinued after ICAAI.<sup>174</sup> While some partners mentioned these meetings as key events, others considered them insufficient to trigger joint action.<sup>175</sup>

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<sup>165</sup> For example, the PM consortium managed internally their own objectives, indicators and reports, and WWF "translates" these into USAID requirements. Therefore Pronaturaleza (part of the PM consortium) does not deal with any ICAA2 requirements or communication, and is unaware of the ICAA2 objectives. Interviews with ICAA2 partners that never assisted an ICAA2 partner meeting revealed none are aware about the results chains or how they are supposed to contribute: "We only do what our consortium lead requires and have no communication with USAID or ISU."

<sup>166</sup> ISU and some consortium leads mentioned a disincentive to collaborate with other partners due to a USAID rule that states performance indicators of joint activities (e.g. number of participants in a workshop) should be divided among the number of organizing ICAA2 partners.

<sup>167</sup> Examples of missed collaboration opportunities include: in Madre de Dios, two different consortia work with two different groups on Latex in a parallel manner; in Ecuador, tourism partnership with private sector formed by the SL consortium could strengthen the incipient tourism strategy of the IL consortium with Cofán communities, but no coordination exists; DOI has made strong partnerships with international platforms on infrastructure and hydrocarbon at the regional level, but these do not interact with the landscape consortia or with the ISU.

<sup>168</sup> An analysis of reported ICAA2 activities (table 4 of reporting format), showed that there are just over 100 activities, out of 800+ that involve more than one ICAA2 partner. Only 20 activities are led by one and involve another landscape consortium; eight of these between the two Colombian consortia. None of the 20 joint landscape consortia activities involve two countries.

<sup>169</sup> Examples of duplicate efforts: two consortia support two different rubber tapper groups in Iñapari without mutual coordination; in Puerto Arturo three consortia are active, but there is only joint action between LMT and SL while the MDD consortium works with other stakeholder groups on other issues, coordinated separately with the local government.

<sup>170</sup> For instance, the biodiversity officer at the provincial government works on a day-to-day basis with TNC but did not have an idea what RA is doing; RA working in Cuyabeno reserve with tourism was not aware of a local demand for improving tourism facilities in Duveno, at a one-hour drive from their intervention sites.

<sup>171</sup> According to pages 19 and 20 of the Annual Program Statement (USAID/W/GRO/LMA-10-0709 APS), ISU will provide services (planning, reporting, capacity building, monitoring) and although through IRs 2, 3 and 4 (under ISU responsibility) the program is expected to build regional collaboration, the ISU's role is to consult landscape consortia in assessing their region-wide demand for technical support.

<sup>172</sup> These include action plans for each intermediate result and transversal activity and communications and knowledge management strategies. (ISU meeting 10/30/14), validated during meetings with consortia leads.

<sup>173</sup> Anonymous IP interview: "There is a lack of strategic and a high level technical orientation towards the program and within USAID on how to coordinate USAID-country, USAID-Regional, USAID-Washington and among different USAID projects. The fact that there is an ISU and technical partners blurs the responsibility of USAID to lead the program technically and strategically".

<sup>174</sup> While during ICAAI there were annual partner meetings, during ICAA2 only one has been organized, dedicated to developing the results chains (Cuenca, Ecuador). Although new partner meetings have been proposed for 2015, their effectiveness in relation to costs has been challenged by the USAID COR. Interview with ISU (10/30/14).

<sup>175</sup> See also ICAAI, final report.



**F-B2.2. The ISU provides effective cross-cutting support to ICAA2, but due in part to its other executory and grant management functions, its role is not understood by the consortia.**

In addition to the coordination role, the ISU has executive responsibilities for IRs 2, 3 and 4 and for cross-cutting themes, and also manages grants from which both consortia members and non-consortia organizations benefit. Therefore, the ISU in ICAA2 is a support unit, an executing consortium and a sub-financer. Compared to ICAA1, this has changed the role of ISU into a more complex one not generally understood by the consortia.<sup>176</sup> There is evidence that in ICAA2, the ISU had provided effective support to knowledge generation,<sup>177</sup> communication on ICAA2,<sup>178</sup> monitoring and reporting<sup>179</sup> and specific delivery on gender and economic incentives.<sup>180</sup> Its role in policy support is well developed in Peru, where it effectively forms a gateway for consortia to the national government,<sup>181</sup> although some partners have questioned the appropriateness of a private company representing the program to governments.<sup>182</sup>

**F-B2.3. Technical Support Partners' activities are not generally aligned to the activities and objectives of the landscape consortia**

There is little evidence that TSP activities contribute towards program objectives as described by the results chains. With exception of DOI, TSP activities are often unrelated to the activities of other ICAA2 IPs; they support other stakeholders and their role is poorly communicated within the program.<sup>183</sup> For instance:

- CIFOR's work on fast-growing tree species is well delivered and has caused a positive impact in policy development (A 6.2. and A 2.9), but is not directly related to any consortium work.<sup>184</sup>
- USFS has organized a series of trainings and studies, some of which relate to program activities and consortia needs.<sup>185</sup> Others, however, are practically unrelated to ICAA2 goals, activities, landscapes and partners – e.g. a field study to understand the water flow systems in the Andean

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<sup>176</sup> Interviews with ICAA2 partners (other than consortium leads) working on specific technical themes within a landscape (e.g. IBC on indigenous peoples' rights in the IL consortium, FZS on communication in the PM consortium and AIDER working with EIs in the SL consortium) showed there is no clear conception on how the ISU can or should help with these issues in their day-to-day work. Positive exceptions are policy development and legal matters, where most ICAA2 partners recognize the leading role of the ISU in general and SPDA in particular.

<sup>177</sup> The ISU produced more than 50 percent of all knowledge products.

<sup>178</sup> Positive statistics on website impact and number of representation meetings.

<sup>179</sup> Transparent and up-to-date management of ISIS.

<sup>180</sup> In interviews with ICAA2 partners, on the question "what has been the main benefit of ISU", support to the technical areas of gender (cross-cutting issue) and economic incentives (IR3; ecosystem services and REDD+) were mentioned by all. Policy support (cross-cutting issue) and information management (IR4) were second, while technical support to environmental governance (IR2) and indigenous peoples (cross cutting) were less recognized.

<sup>181</sup> The ISU has a widely accepted role of constituting the communication channel of ICAA to the Peruvian national governmental agencies. In Ecuador this is currently impossible due to the halt on the relationship with USAID and ICAA2 partners to communicate directly with the Ecuador government; in Colombia, the ISU has not had any personal presence, until recently.

<sup>182</sup> Anonymous IP Interview: "The figure of ISU confuses the perception of consortia as well as of governments and other actors: Is ISU a consulting company?; does ISU represent USAID?"

<sup>183</sup> Of 32 respondents of ICAA partners to the question "what is the benefit of the participation of the Technical Support Partners", 22 answered "none", mostly because they could not mention any. Among the TSP that were mentioned to provide a positive support to the program figures DOI (7), USFS (5), HED (3) CIFOR (2).

<sup>184</sup> CIFOR participates as TSP by coincidence. Their proposal for specific studies on forests and property rights in the Amazon was developed without any relation with ICAA2; it was approved by USAID but included later under ICAA2 funding for administrative reasons. Interview with CIFOR (11/14/14).

<sup>185</sup> For instance, trainings on protected area limits of acceptable change/carrying capacity and on protected area community-based monitoring and evaluation training for the SL consortium in Ecuador, as well as training on Environmental Management Strengthening to the IL consortium in Peru.

highlands (Antisana) with the Quito Water fund, and a Sustainable Rural Roads University Course with a local University in Santa Cruz, Bolivia.

- HED<sup>186</sup> supports study programs at several universities (e.g., UNU and USFQ). Although beneficiaries commend the positive impact HED had on their ecology programs, these universities hardly participate in project activities (USFQ not at all, and UNU only marginally<sup>187</sup>). The ISU call for competitive research grants received no application of any HED partner.<sup>188</sup>

DOI support is more directly related to ICAA2 goals and appreciated by partners. DOI's contributions to the regional strategy in mining, best practices in hydrocarbon, zoning and mapping, and protection of PIAVCI have been well received by both ICAA2 partners and USAID Missions. DOI is practically the only partner in the ICAA2 program that actually has a regional vision and action. Since 2014, their contract is directly with USAID/Washington (although supervised by Peru-based staff), but they can have bilateral agreements with country offices.<sup>189</sup>

#### *Implementation of Results Chains*

#### **F-B2.4. The development of ICAA2 results chains promoted a better understanding of the program logic but has not influenced performance or contributed to collaboration.**

In August 2013, ICAA2 partners engaged in a theory of change workshop to develop results chains<sup>190</sup> in line with the open standards in the practice of conservation.<sup>191</sup> While stakeholders to that meeting interviewed by the evaluation team considered the exercise useful to understand the overall theory behind the program and identify where their strategies and activities fit into the general program logic,<sup>192</sup> they also believed the result chains to be overly complex while also excluding some lines of work (e.g. gender mainstreaming, institutional support).<sup>193</sup>

The adoption of the result chains did not affect program performance or promote better coherence and collaboration. Stakeholders identified three reasons for this:

- the result chains were developed when all consortia already had their strategies under implementation and the majority of activities planned;
- ICAA2 IPs do not report against the result chains monitoring requirements and continue to follow the original results framework; and
- the level of understanding among junior consortium partners (which implement many of the strategies in the field) is low.<sup>194</sup>

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<sup>186</sup> The evaluation team is still processing data from interviews relating to HED's university partnerships. This information may be included in the final version of this report.

<sup>187</sup> Interview with UNU (11/18/14).

<sup>188</sup> CSF interview (10/27/2014).

<sup>189</sup> Interview with DOI (12/5/14). Currently, DOI only has a bilateral contract for the Colombia Mission.

<sup>190</sup> <http://www.fosonline.org/wordpress/wp-content/uploads/2010/09/FOSResultsChainGuide2007-05.pdf>

<sup>191</sup> <http://cmp-openstandards.org/>

<sup>192</sup> Interviews with consortium leads.

<sup>193</sup> Interview with the ISU (10/30/14).

<sup>194</sup> Interviews with consortium partner organizations (other than consortium leads), revealed that 9 out of 18 could not recall what results chain they were principally contributing to, 3 had a basic idea and 6 (principally partners who assisted the ICAA2 partners meeting) confirmed their contribution to particular results chains.

### Conclusions:

- C B.2.1. The complex management structure, the nature of the collaborative agreements with consortia, and the lack of an oversight body has created a lack of collaboration between ICAA2 consortia.
- C B.2.2. The ISU's role as service provider and grant administrator is well delivered, although its role is poorly understood by partners and its effectiveness in generating cross-consortia communication and collaboration would be improved with a stronger mandate.
- C B.2.3. Most TSPs provide valuable support to specific stakeholders, but in many occasions both the support and beneficiary organization are unrelated to the program and therefore the contribution of most TSPs to the main results of ICAA2 is limited.
- C B.2.4. The construction of a theory of change helped for better overall program comprehension among the main ICAA2 IPs, but because this was done while the program implementation was underway, the results chains were not adequately disseminated to junior partners and performance indicators and reporting were not linked to the results chains, it did not result in any change for the performance of the program.

### Question B3: How is ICAA performance affected by the management structures within consortia?

**F-B3.1.** ICAA2 consortia generally demonstrate good management and communication, and the experience and expertise of national partners is relied upon and contributes to better program delivery.

Most ICAA2 consortia have regular meetings, good communication strategies and involve all partners in planning.<sup>195</sup> In Peru and Ecuador,<sup>196</sup> consortium leads (in most cases, international NGOs) and junior partners (generally national NGOs) agreed that consortia are managed equitably.

While all national junior partners interviewed by the evaluation team commended the experience and ability of consortium leads to manage USAID projects and provide global technical experience, in Peru and Ecuador, national organizations have been more effective in managing relationships with government agencies than their international counterparts.<sup>197</sup> This is not surprising as national ICAA2 partners such as SPDA, IBC, Pronaturaleza and ECOLEX have long and extensive experience in the countries in which they work and add value to the consortia through this experience (and the relationships derived from this experience).

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<sup>195</sup> Questions on "frequency of meeting", "involvement in planning and monitoring" and "control over consortium management" were asked in separate interviews with consortium leads and consortium partners, and triangulated with sampling concrete evidence (meeting notes, agendas, email exchanges). This revealed full convergence of the general good collaboration in all consortia. The only consortium where internal management is a challenge (and this has been so since ICAAI) is the MDD consortium, where there is no institutional presence of the consortium lead, and communication is fluent, but only at the personal level. Interviews with MDD consortium members (11/3/14 – 11/6/14).

<sup>196</sup> In Colombia, consortia are managed by national organizations and international NGO's support implementation. This evaluation could not interview all partners in Colombia, so the internal consortium management could not be assessed.

<sup>197</sup> The relationship of ECOLEX with the Ministry of Environment in Ecuador is strong and continued when ISU and RA had to take up a lower profile after the halt of the U.S. government's relationship with Ecuador; IBC triggered the contact with the Ministry of Culture in Peru; SPDA has a collaboration agreement with SERNANP that is used to national policy development on conservation units.

Consortia working in Peru and Ecuador<sup>198</sup> have different operational strategies.

- The PM consortium (Peru) has a strong "project based" implementation,<sup>199</sup> with clear responsibilities for all partners but little overlap between activities within their landscape.
- The LMT consortium (Peru) is small (one lead and two strong national partners<sup>200</sup>) and the partners have clear complementary roles<sup>201</sup>.
- The IL consortium (Ecuador and Peru) has many partners including an international science-based organization, national NGO's and indigenous peoples' organizations. The IL consortium works in Ecuador and Peru with different implementing arrangements and additional local partners subcontracted to perform SLP activities. Although there is good communication within the consortium, there is less collaboration between consortium partners working on different activities.<sup>202</sup>
- The SL consortium (Ecuador and Peru) undertakes similar activities in each country, for each of which they have selected one complementary partner (ECOLEX in Ecuador and AIDER in Peru). In response to findings of the ICAAI mid-term evaluation<sup>203</sup>, the SL consortium focuses on specific landscapes instead of individual activities scattered around the Amazon. This has increased their effectiveness to engage with regional governments and producer groups<sup>204</sup> but their strategies are still locally focused and there is little evidence of upscaling.<sup>205</sup>
- MDD Consortium is led by a U.S.-based partner (University of Florida) that hired a national team of experienced people to coordinate its activities in Peru<sup>206</sup>. Their continuous presence in the region and good connections at the national level has increased coordination and collaboration with three of four consortium members<sup>207</sup>, the ISU and several national agencies<sup>208</sup>. Although MDD Consortium activities produce satisfactory outputs and contributing to positive outcomes<sup>209</sup>, there are major coordination challenges affecting overall performance. Most MDD Consortium field activity is undertaken by a local governmental organization,<sup>210</sup> which according to the coordinator of the consortium, works relatively autonomously within the consortium while the consortium lead ensures administrative compliance. The lack of an institutional presence by the lead partner has contributed to a perceived lack of vision and long-

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<sup>198</sup> This evaluation could not interview all consortium partners in Colombia, so implementation arrangements could not be assessed.

<sup>199</sup> WWF has developed specific goals and objectives for the PM consortium and in collaboration with its consortium partners, divided activities per geographic area and specific expertise.

<sup>200</sup> WCS: conservation; SPDA: policy and legal matters and FONDAM: funding and grants.

<sup>201</sup> The three partners of the LMT consortium work principally in Loreto; they subcontracted a fourth organization (ACCA) for their presence in Madre de Dios. Although ACCA delivers well on the LMT strategies and also coordinates well with the SL consortium, overall consortium presence of LMT is much less evident in Madre de Dios than in Loreto.

<sup>202</sup> The subcontracted local organizations that implement activities with communities in Ucayali and Sucumbios are not involved in regional policy activities of TNC and their consortium partners. Regional science (mapping, e.g. in coordination with CSF) and policy support tools of TNC (e.g. in coordination with COICA) are shared and effective in both countries, but do not clearly complement community-level support in Ucayali, San Martín or Sucumbios.

<sup>203</sup> Final Report for the ICAA Mid-Term Assessment. February 2010.

<sup>204</sup> Particularly provincial governments of Sucumbios and Napo and tourism operators in Cuyabeno and Tambopata.

<sup>205</sup> See A 1.7.

<sup>206</sup> In response to the Final Report for the ICAA Mid-Term Assessment. February 2010.

<sup>207</sup> Each responsible for more specific action: Wood Hole Research Institute for Climate Change related activities, the University of Madre de Dios for research and Asociación Huarayo for communication.

<sup>208</sup> Contrary to ICAAI, in ICAA2, the MDD consortium is permanently represented by the same person at all levels. This person also triggered positive working relationships with some national agencies, particularly the Ministry of Energy and Mining.

<sup>209</sup> See F-A.5.1, F-A.7.2. and F-A.9.1.

<sup>210</sup> Programa Especial Madre de Dios of the Regional Government.

term commitment, insufficient institutional backstopping for field teams and a lack of coordination of the field activities of partners.<sup>211</sup>

**F-B3.2. ICAA2 project delivery has benefited from including indigenous peoples' organizations as implementing partners.**

Three indigenous peoples' organizations work as junior partners to two ICAA2 consortia,<sup>212</sup> the inclusion of which has contributed to more relevant grassroots work.<sup>213</sup> These organizations have been more effective in community strengthening than other national partners and contribute to scaling up activities. For example:

- ORAU works with 12 communities and can apply positive experiences from this region to all affiliated organizations in Ucayali.<sup>214</sup>
- The IL consortium has concrete field activities with two Cofán communities, but its partner NOAI'KE works with all five communities<sup>215</sup>

However, there have been challenges as each of the three organizations had little administrative capacity, distinct decision-making processes and less experience with the administrative requirements of USAID projects.<sup>216</sup> These partners initially received a smaller share of the budget of the consortium as a result of their lower capacity (confirmed by consortium leads), but this share has grown each year according with the increased compliance to administrative standards and better presented (in terms of format, timing, editing) proposals for activities.<sup>217</sup>

**Conclusions:**

- C B.3.1. Within the landscape consortia, transparent and complementary collaboration and good communication are key ingredients for effective performance of their plans of work.
- C B.3.2. The inclusion of indigenous peoples' organization as IPs in consortia is an innovative approach that created more opportunities for scaling up and replication.

<sup>211</sup> Interviews with MDD consortium members (11/3/14 – 11/6/14).

<sup>212</sup> ORAU in the PM consortium; NOAI'KE and COICA in the IL consortium.

<sup>213</sup> Lead organization and partners in the same consortia confirm that participation of the indigenous peoples' organization ensured a better direction of strategies towards actual challenges of the final beneficiaries of the program.

<sup>214</sup> Interview with ORAU (11/20/14).

<sup>215</sup> interview with NOAI'KE and site visit to Sucumbios (12/2/14).

<sup>216</sup> Interviews with COICA (11/20/14), ORAU (11/20/14), NOAI'KE (12/2/14) and with consortium leads (WWF and TNC).

<sup>217</sup> ORAU and NOAI'KE initially participated with as much as 50 percent of other consortium partners, but their activity budget has been increasing every year. COICA received less budget from the consortium in which it participates, but in addition has received grants from ISU and is part of the regional institutional strengthening mechanism (FIR)

## FINDINGS: ICAA PROGRAM DESIGN AND STRATEGY

### Question C1: Is there value added from having ICAA operate regionally versus having multiple bilateral projects?

**F-C1.1.** ICAA2 targets and goals are not based upon biological and geographic data, and its intervention strategies are not based upon a thorough social and economic analysis of the entire targeted region<sup>218</sup>.

USAID did not primarily select the ICAA2 countries of operation or the landscapes for intervention on the basis of biological or social data;<sup>219</sup> they were selected primarily on the basis of political constraints (i.e., where the program could work) and adjusted on several occasions due to political issues. Further, the strategies and activities undertaken by the consortia were based upon consortia proposals and not grounded in a socio-economic analysis of threats and most effective responses. While this approach can contribute to more efficient and effective program performance because the intervention is fully aligned with the demand and capacities of the IPs, it does not contribute to a regional delivery approach for ICAA2.

**F-C1.2.** The structure and delivery of ICAA2 add little value to regional conservation efforts.

ICAA2's structure was meant to improve conservation in one biome by acting at different scales (from local to regional) in several countries and with a variety of governmental and non-governmental partners.<sup>220</sup> Under this structure, there are four possible ways to add value beyond local or national impact: (i) support to regional (international) governmental bodies and policy development at the regional level; (ii) management of trans-border areas, (iii) synergy with other initiatives to jointly address regional issues; and (iv) exchange of experiences and collaborative action between stakeholders in different countries.<sup>221</sup> However, with the exception of exchanging knowledge and experiences, ICAA2 does not pursue other approaches to add value and functions primarily as a series of individual projects. To illustrate:

- ICAA2 does not focus interventions on intergovernmental bodies or regional policies (in terms of harmonization of national policies of Andean Amazon countries).
- There is no development of joint policies or plans with more than one government.
- There are no trans-border areas included within the ICAA2 landscapes.

While ICAA2 effectively promotes the exchange of experiences (mostly within consortia and through thematic meetings organized by the ISU and DOI), there is little collaboration between landscape

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<sup>218</sup> A clear example for this is the WWF living amazon initiative, which parts from a careful science-based intervention strategy. (Flores et al. 2010; <http://awsassets.panda.org/downloads/livingamazonstrategiesummaryfinal.pdf>)

<sup>219</sup> Here it should be noted that selection of the area of intervention within Colombia was based on biological criteria with a corridor-connectivity approach (see Annex K, Large Scale Planning results chain). Also, DOI provided an Amazon-wide regional vision within the country, to the major IPs and that will now be upscaled with Norway-Germany REDD+ Early Movers funding (Interview with DOI (12/5/14).

<sup>220</sup> Pg. 7 of the Annual Program Statement (USAID/W/GRO/LMA-10-0709 APS) "... ICAA is designed to work innovatively across and within boundaries to save one of the world's most biodiverse areas by strengthening indigenous groups, convening national and regional policy dialogues on the main drivers of forest destruction ..."

<sup>221</sup> A well-developed example of such a regionally value-adding program is the regional Andean project on highland conservation (*Proyecto Páramo Andino*; GEF-UNEP-CONDESAN), which collaborated with the development of an Andean environmental agenda with CAN and national governments, included pilot sites on all trans-border areas, fully aligned its goals and intervention with a regional project on Andean forest (*Ecobona, Swiss Development Cooperation - Intercooperación*) to target comprehensive Andean biodiversity conservation and supported an active international stakeholder group; Crespo, (2012) <http://www.condesan.org/portal/publicaciones/puentes-entre-alturas>.

consortia at the regional level.<sup>222</sup> Even the consortia that work in more than one country (RA, TNC, ISU) tend to split their work and have different persons in USAID as their focal points, creating in practice bilateral projects.<sup>223</sup>

#### Conclusions:

- C C.1.1. ICAA2 lacks a coherent regional vision and approach. It is not structured to promote the collaboration of different partners in different countries to jointly reach an overall goal at international level.
- C C.1.2. Besides the exchange of experiences, there is no added value of ICAA2 acting at the regional level, and the impression of a series of individual landscape-focused projects remains.

## Question C2: How is the work being undertaken by ICAA partners creating synergies at the various levels of engagement (i.e., regional, national, sub-national and local)?

**F-C2.1.** ICAA IPs did create synergy at the local level between activities relating to territorial consolidation, SLPs and conservation units, but there is less synergy created with activities relating to economic incentives and landscape management.

At the local level there are many opportunities for synergy, in the terms of strategically aligning interventions to contribute to outcomes in different result chains.<sup>224</sup> This is especially the case in areas where indigenous territories coincide with conservation units, as territorial consolidation is key to implementing SLPs and developing local enterprises, and for ensuring the establishment and recognition of the limits of conservation units. The creation of EIs and establishment of economically viable SLPs create income opportunities for local forest users, which supports the reduction of direct threats to the forest. In the main areas of intervention of ICAA2,<sup>225</sup> the consortia have positively ensured synergy between territorial consolidation, SLPs and conservation units.<sup>226</sup> Synergy with EIs did not take place at this level.<sup>227</sup> In other areas of intervention of ICAA2, where strategies in only one results chain were implemented,<sup>228</sup> these opportunities to create synergies could not be exploited.

**F-C2.2.** While there is some evidence of synergy between interventions at the local, subnational and national levels, there are many examples where potential synergies were not exploited.

There are many opportunities for synergy at the subnational and national levels, where improved political or legal frameworks are required to strengthen environmental management at the local level.

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<sup>222</sup> Of the 800+ activities in the ICAA2 activity worksheet (Table 4 of reports), 70 are tagged as implementing at the regional level (all implemented by the ISU; mostly technical support and exchange of knowledge and experiences) and none implemented by landscape consortia. Landscape consortia that work in one country only (PM, LMT, Madre de Dios in Peru and C&G and FA in Colombia) have no coordination or joint activities with IPs in other countries.

<sup>223</sup> E.g. TNC's Chief of Party (CoP) reports formally to the AOR in Quito, but in addition they have a sub-CoP who coordinates all activities in Peru and communicates directly to a sub-AOR for the consortium in Lima.

<sup>224</sup> The basis for this synergy is laid out in the conceptual model, which forms the basis for the results chains/theory of change  
<sup>225</sup> Madre de Dios communities around the Tambopata RN, in Ucayali in Alto Purús PN and Callería, in Loreto in Tamsiyacu, in Ecuador in Cofán communities and in Hatun Sumaco (Napo).

<sup>226</sup> See evidence provided in findings A1, A2, A7, A8 and A9.

<sup>227</sup> See evidence provided in finding A3.

<sup>228</sup> For example, tourism in RF Cuyabeno (finding A8), EI in San Martín (finding A3).

Positive landscape management planning address the major underlying causes of threats to environmental integrity, which affect the landscape at local level. Finally, strengthening stakeholders that act at the subnational or national levels is key to trigger scaling up and positive action at the local level.

There is evidence that synergies have been exploited on occasion. For example, ICAA2 IPs have strengthened elements of the political and legal framework in Madre de Dios, Ucayali, Loreto, Napo and Sucumbios, creating a more positive enabling environment for the strategies that are promoted locally<sup>229</sup>. However, these outputs were scattered and in some areas the main drivers for environmental degradation still have not reduced<sup>230</sup>. There is almost no evidence that opportunities for scaling up and replication of positive local experiences using collaboration mechanisms with subnational or national stakeholders have been exploited (see F-A.2.6). This has not been taking place for SLPs, and there are a few examples for EI (PES and REDD+) and Conservation Units (private CU establishment)<sup>231</sup>. One exception is the role that indigenous peoples' organizations acting as IPs have had in stimulating replication (see F-B.3.2).

### **F-C2.3. There is little synergy between national and regional conservation efforts.**

Opportunities to develop synergies between the national and regional levels have not been exploited (see F-C.1.2), with few exceptions. There is evidence of international expertise supporting national activities, including the regional focus of ISU-led studies, DOI technical inputs and grants providing clear examples for national and local action<sup>232</sup> and training provided by the ISU and TSPs to consortium partners have been well perceived (see EQ B2).

#### **Conclusions:**

- C C.2.1. ICAA2 IPs have exploited opportunities to create synergy between territorial consolidation, sustainable livelihoods, conservation units and large-scale planning at the local level, which has resulted in coherent and complete support with a series of indigenous peoples' communities, interacting with conservation units in Peru and Ecuador.
- C C.2.2. Opportunities for synergy between the local, subnational and national levels have been partially exploited to create political and legal frameworks to support local territorial management. However, opportunities for collaboration to scale up or replicate local interventions relating to SLPs, EI and Conservation Units have not been generally exploited.

<sup>229</sup> For example, regional/municipal development plans, territorial ordination, zero deforestation, biodiversity and climate change plans; see evidence in findings A4 and A5.

<sup>230</sup> For example: mining, agriculture encroachment, hydrocarbon exploitation. See evidence in findings A4 and A5.

<sup>231</sup> See evidence in findings A1, A2, A3, A8 and A9.

<sup>232</sup> For example, the studies on TEEB and EI application (PES, REDD+) to local communities have proven to be well suited for local and subnational capacity building. The gender strategy developed by the ISU to mainstream gender in all different program issues (protected areas, EI, SL) was well perceived and clearly an added value of regional expertise applied to local action. Interview with TNC (11/17/14).



# RECOMMENDATIONS

The evaluation team provides two sets of recommendations. The first set is focused on actions that can be taken in the near term to improve the performance of this second phase of ICAA. The second set of recommendations applies to any subsequent program.

## Recommendations to Improve the Performance of ICAA2

### Recommendation 1

Given the short time period remaining for most landscape consortia in Phase II and the partial progress towards many community-level results, ICAA2 IPs should focus on ensuring that results are fully consolidated and sustainable. This implies developing a strategy that concentrates on building up a legacy for the program sustained in the future by the beneficiaries, third parties (other initiatives) or any subsequent phase of the program. Specifically, ICAA2 IPs should:

- Identify those SLPs most likely to be sustainable (especially economically) in the short-term and undertake activities to support this sustainability. Discontinue support for SLPs that do not appear sustainable and do not initiate new SLPs at this time.
- Continue territorial consolidation efforts (e.g., resolving land conflict, supporting territorial plan development and land titling) in communities where progress has already been established, but do not expand efforts to new communities.
- Focus support on EIs on the consolidation of those activities that show feasibility to generate tangible outputs for key stakeholders: studies on The Economics of Ecosystems and Biodiversity (TEEB) and pilot projects on PES (currently under implementation with ISU support).
- Consolidate support to large-scale planning by concentrating activities on a smaller number of processes with evident positive impact (e.g., planning of infrastructure, formalization of artisanal mining, PIAVCI) as opposed to scattered action across a broad set.

[Supported by Findings F-A1.3, F-A2.4, F-A3.2, F-A4.3, F-A5.3, F-A6.2, F-A7.1, F-A7.2, F-A7.4, F-B1.3 and Conclusions C-A1.4, C-A2.1, C-2.2, C-A4.2, C-A7.1, C-A7.2, C-A7.3, C-B1.2.]

### Recommendation 2

To promote sustainability of SLPs, ICAA2 IPs should undertake market and value chain analyses to identify the most promising products and focus market and value chain development on these in order to provide economic benefit for the communities.

[Supported by Findings F-A2.4 and Conclusions C-A2.2 and C-A9.3]

### Recommendation 3

ICAA IPs should develop and implement strategies to sustain capacity development with government institutions (especially those with higher turnover rates). Such strategies should target capacity building at the institutional (rather than individual staff) level, should be based upon an institutional needs analysis, and will likely include foci on staff development and retention policies and institutional knowledge management.

[Supported by Finding F-A4.2 and Conclusion C A.4.1]

## Recommendation 4

Collaboration between consortia is important to ensure any program impact beyond the individual consortium level. As such, a serious investment of time and financial resources is warranted to promote and incentivize collaboration for the remainder of ICAA2. Potential activities could include:

- Two ICAA2 partner meetings as well as several thematic meetings should be held, focusing on opportunities for collaboration. Participants should commit to developing collaboration agreements and be willing to be held accountable for these agreements for the remainder of ICAA2.
- USAID AORs and CORs should consider ways to incentivize collaboration between ICAA2 IPs and incorporate these approaches into partner work plans, reporting to the consortia at partner-wide meetings on the success of collaboration efforts.
- Consortia and USAID should discuss and agree on a plan to ensure collaboration towards region-wide program results.

[Supported by Finding F-A9.2, F-B1.3, F-B2.1, F-B2.2, F-B2.3, F-C.1.2, F-C.2.1, F-C2.2, F-C2.3 and Conclusion C-A9.2, C-B1.1, C-B2.1, C-B2.2, C-B2.3, C-C1.2, C-C1.3, C-C2.2]

## Recommendation 5

Given the low level of familiarity with the result chains among many IPs, it is counter-productive at this stage to attempt to mainstream the results chains in program delivery and reporting. However, results chains should be revisited at the end of ICAA2 by USAID and IPs to assess program performance.

[Supported by Finding F-B2.4 and Conclusion C-B2.4]

## Recommendation 6

TSPs should support activities of landscape consortia partners in the current intervention sites. Ongoing activities that do not comply with these criteria should be amended to comply with this approach or discontinued.

[Supported by Finding F-B2.3 and Conclusion C-B2.3]

## Recommendation 7

USAID should develop a written protocol to instruct its partners about their interaction with Ecuadorian government agencies during the remainder of the program.

[Supported by Finding F-B1.4 and Conclusions C-A4.3, C-B1.3]

## Recommendation 8

Recommendation 8 is a restatement of Recommendation 6 from the 2010 ICAAI mid-term evaluation report. *USAID should revisit its consortia management practices to:*

- *Explore ways to reduce the time expended from the work plan drafting stage to final approval.*
- *Encouraged consortia to be more candid, describing clearly and transparently both positive developments and setbacks.*
- *Have AORs ensure that each consortium has a coherent upper-level strategy, intelligent implementation tactics and indicators to track progress at both levels. In some cases, it may be necessary to use a logical framework or similar tool.*

[Supported by Findings F-B1.2, F-C1.1 and Conclusions C-B1.1, C-C1.1]

## **Recommendations for the Design of a Subsequent Phase of the Program**

### **Recommendation 9**

Recommendation 9 is a restatement of Recommendation 7 from the 2010 ICAAI mid-term evaluation report. *ICAA2 should increase the magnitude of its measurable impact by being more strategic in future investments. A highly-focused strategy should be the foundation for any such funding. Procurements should specifically outline USAID's strategy and what is needed to meet it. Respondents should be obligated to meet those requirements. Implementation instruments should be designed, to the extent possible, so that USAID can have an ongoing role in helping implementers adapt to changing circumstances.*

[Supported by Findings F-B2.1, F-B3.2, F-C1.1 and F-C1.2 and Conclusions C-B2.1; C3.2, C-C1.1]

### **Recommendation 10**

As the program structure has not achieved impact beyond the individual landscapes (both in ICAAI and ICAA2), USAID should consider an alternative program structure in any future phase of ICAA that will promote greater degrees of collaboration between consortia working in different landscapes.

[Supported by Findings F-B1.3, F-B2.1, F-B2.2 and Conclusions C-B1.1., C-B1.2., C-B2.2.]

### **Recommendation 11**

USAID should consider alternative approaches that ensure the replication and scaling up of SLPs, including ceasing development and on-site testing of SLPs and concentrating fully on scaling up well-documented practices to create large-scale impact. The application of the positive lessons learned for replication, achieved through the involvement of indigenous peoples' organizations in ICAA2 consortia, should be explored.

[Supported by Findings F-A2.6, F-B3.2, F-C2.2 and Conclusions C-B3.2, C-C2.2]

### **Recommendation 12**

USAID should consider developing individual bilateral programs where this is politically possible (e.g., Peru, Colombia, possibly renewing efforts to include Guyana, Surinam and Brazil) with joint contributions to an articulated regional vision based upon biological and socio-economic criteria.

While the bilateral programs can operate independently, a regional structure is required that oversees regional coherence and coordinates specific joint activities to promote impact. This structure could be coordinated by a stakeholder who can act at the regional level, has the capacity to convene both governments and civil society and is able to develop science-based policies and intervention strategies. In addition, a multi-stakeholder platform should be promoted to ensure the delivery of the region-wide vision and appropriation by key stakeholders at the national and regional levels.

[Supported by Findings F-B1.3, F-B2.1, F-B2.3, F-C1.1, F-C1.2, F-C2.3 and Conclusions C-B1.2, C-B1.3; C-C1.1, C-C1.2, C-C1.3. C-C2.2]

## **Recommendation 12**

To ensure more coherent delivery of program strategies in any future phase of ICAA, USAID should agree on results chains before the start of interventions and select intervention areas, beneficiaries and partners best suited to deliver them. Reporting and monitoring should be aligned to the results chains.

[Supported by Finding F-B2.4 and Conclusion C-B2.4]

## ANNEXES

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# ANNEX A: STATEMENT OF WORK

## Statement of Work (SOW) for a Mid-Phase II Performance Evaluation of the Initiative for Conservation in the Andean Amazon (ICAA) (Version 5 – November 25, 2014)

### 1. Activity Description

In 2006, the U.S. Agency for International Development (USAID) initiated a long-term, four-phase regional program to build capacity and commitments to promote the sustainable use and conservation of biodiversity and environmental services in the Andean Amazon. The program is called the Initiative for Conservation in the Andean Amazon (ICAA). The first phase of ICAA lasted for five years and ended in 2011. In 2011, the second – and current – phase of ICAA was launched. Phase II of ICAA (“ICAA II”) integrates the efforts of more than 30 partner organizations, both local and international, to strengthen conservation of the Amazon biome on a regional basis. The program is currently active in Peru, Ecuador, and Colombia. It was also active in Bolivia until USAID ceased activities there in 2013.

### 2. Development Hypothesis

This section reviews the theory of change and development hypotheses in USAID’s Results Framework (RF) for ICAA II as well as a set of “results chains” that have been developed for ten technical foci of the program.

#### a. Program Theory of Change

ICAA II fits within the structure of intended results that make up the RF for USAID/Peru’s Regional Operating Unit for South America Regional (SAR), which originated in the Latin America Bureau’s Regional Sustainable Development Office (LAC/RSD) from which ICAA II was designed and procured in collaboration with Amazon Missions. The ICAA II portion of this RF, which is included in the program’s Performance Management Plan, focuses on a single goal, or Development Objective (DO): *Amazon Biome Maintained*. Three broad program objectives support this goal:

- Objective 1 – *Reduced deforestation and biodiversity loss*
- Objective 2 – *Natural resources governance functioning effectively*
- Objective 3 – *Increased livelihood quality and sustainability*

Four Intermediate Results (IRs) support the achievement of these three objectives under the overarching DO:

- IR 1: *Selected landscapes managed sustainably*
- IR 2: *Functioning of key elements of natural resources governance in critical landscapes improved*
- IR 3: *Capacity to use PES-like and other economic incentive programs increased*
- IR 4: *Understanding of key environmental issues and solutions improved*

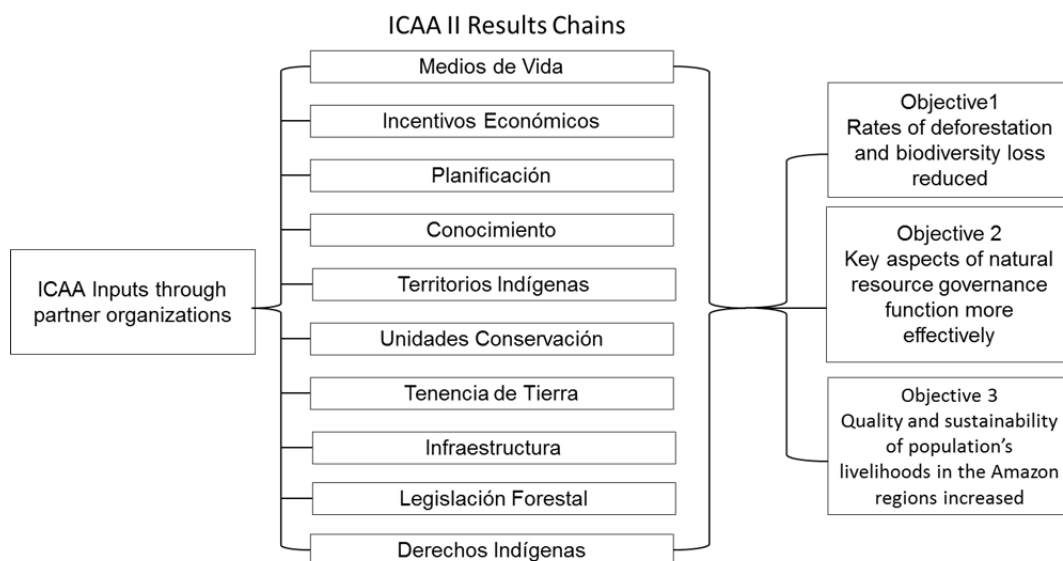
Annex A provides a graphic representation of this ICAA II RF, which also shows a set of cross-cutting themes that interact with these objectives and IRs, including policies, gender, regional organizations, capacity development, and indigenous peoples.

## b. Detailed “Results Chains”

In 2013, after the implementing partners for ICAA II had begun their work, USAID facilitated a collaborative process through which its partners interactively developed a set of detailed “results chains.” These chains show how the activities of various partners, in support of specific program outcomes, interface with each other along a series of results chains that identify outputs and the broader results to which they lead.<sup>233</sup> In all, ten results chains were developed and are being used by ICAA II partners to guide their work. These include:

- 1) Livelihoods (Actividades Productivas Sostenibles/Medios de Vida)
- 2) Payment for Environmental Services (Incentivos Económicos/Pago por servicios ambientales)
- 3) Large-Scale Planning (Planificación Integral de Recursos a Gran Escala)
- 4) Knowledge Generation and Dissemination (Generación y difusión del conocimiento)
- 5) Indigenous Territories (Manejo de Territorios Indígenas)
- 6) Conservation Units (Establecimiento y gestión de unidades de conservación)
- 7) Land Tenure (Tenencia de Tierra)
- 8) Infrastructure (Infraestructura)
- 9) Forest Law (Desarrollo e Implementación de la Legislación Forestal)
- 10) Indigenous Rights (Derechos Indígenas)

A highly simplified version of the way in which achievement along these results chains feeds into broader program results is shown below. Concordance that approximates the relationship between USAID’s RF IRs and these results chains is provided in Annex B.



<sup>233</sup> Detailed results chains of the type that ICAA II uses fit within an adaptive management approach to conservation project planning and management. Their utility for participatory strategy formulation as well as program monitoring and evaluation (M&E) is discussed early in the World Wildlife Foundation’s volume on Measuring Conservation Impact, edited by Saterson, Kathryn (1999): <http://rmportal.net/library/content/tools/biodiversity-support-program/scb61499.pdf/view>). Conceptual models of this type as aid for M&E are described greater detail in Margolis, Richard (2009), “Using conceptual models as planning and evaluation tools in conservation,” in Evaluation and Program Planning 32, 138-147 and more recent publications: [ftp://tango.zo.ncsu.edu/out/manatee/Library/Margoluis-et-al2009\\_EvalProgPlan\\_ConceptualModelsForConservationPlans.pdf](ftp://tango.zo.ncsu.edu/out/manatee/Library/Margoluis-et-al2009_EvalProgPlan_ConceptualModelsForConservationPlans.pdf).

### c. Implementation Status/Issues

ICAA is currently mid-way through the second phase of what is intended to be a four phase program. It is anticipated that a new generation of regional Andean Amazon programming will begin in 2016. The current portfolio has a budget of \$75 million for the five-year period (2012-2016) and is managed by USAID/Peru's regional platform – the Operating Unit for South America Regional/Environment (SAR/Env). The Office of Forestry and Biodiversity in USAID's Economic Growth, Education, and Environment (E3) Bureau provides technical assistance to SAR/Env and its ICAA program through the E3 Measuring Impact project.

USAID administers ICAA II through 12 mechanisms consisting of three main groups of partners: a set of seven landscape consortia; a regional support unit; and four technical support partners. These groups are described in more detail below.

- **Consortia.** Each of the seven landscape consortia under ICAA II consists of several organizations working under a lead, or prime, organization. The consortia are organized around landscapes and focus on holistic solutions to the threats that put the Andean Amazon at risk. The seven landscapes teams, their abbreviated project names (where available), with the lead organization noted in parentheses, are:
  - Indigenous Landscapes (The Nature Conservancy),
  - Sustainable Landscapes (Rainforest Alliance),
  - Loreto and Manu-Tambopata (Wildlife Conservation Society),
  - Purús - Manu (World Wildlife Fund),
  - Madre de Dios (University of Florida),
  - Reduction of Deforestation Trends and Threats to Biodiversity Loss in the Central Region of the Andean Amazon Piedmont of Colombia (Fondo Patrimonio Natural)
  - Caqueta: Maintaining and Restoring Connections within Andean and Amazonian Social and Natural Systems (Fondo Acción)
- **The ICAA Support Unit (ISU)** is also a consortium and is managed by the International Resources Group (IRG). The ISU is responsible for implementing IRs 2 and 3 and is largely responsible for implementing IR4. As such, rather than being focused on a particular landscape, this consortium is responsible for the implementation of activities that are focused on cross-cutting themes, as well as promoting and supporting the dissemination of knowledge among all ICAA partners. The ISU also serves as the program secretariat, providing assistance in program management in addition to technical support through the areas of knowledge management, communications, monitoring, gender, indigenous issues, and capacity building.
- **Technical Support Partners** provide technical support and complement the work of the consortia and the ISU, sharing their experience in the management and conservation of natural resources. This group is made up of the Center for International Forestry Research (CIFOR), Higher Education for Development (HED), the U.S. Department of the Interior (DOI) and the U.S. Forest Service (USFS).

Performance reporting for ICAA II focuses on 15 common indicators included in the program's Performance Monitoring Plan (PMP). In addition, each of the twelve implementing partner groups has additional indicators which they use internally to monitor progress.



### 3. Existing Performance Information Sources

The ISU houses a document database called ISIS that holds a variety of types of performance information for each of the 12 mechanisms mentioned earlier (consortia, ISU, and technical support partners). ICAA II information that is maintained in ISIS includes: FY13 quarterly and annual reports

- FY12 quarterly and annual reports (currently an incomplete set, but these reports are being updated and soft copies have been provided)
- FY13 and FY14 work plans
- ICAA II-wide indicator data
- Mechanism-specific indicator data (provided through “Table 3” in annual reports, though data is missing or unavailable for a number of mechanisms)
- Activity-specific information for all mechanisms (provided through “Table 4” in annual reports; data is available for all mechanisms except HED)

Additional information on this program can be found on the ICAA website at <http://www.amazonia-andina.org/en>.

In addition to these resources, documents were provided to the E3 Analytics and Evaluation Project evaluation team, led by Management Systems International (MSI), by USAID through GoogleDocs and shared folders. This data was provided by the ISU as well as USAID’s Measuring Impact team, who gathered information for a 2013 evaluation. Information shared in this manner included:

- Previous evaluations
- Action Plans for each IR and two cross-cutting themes
- RFs and ICAA II-wide indicators
- Copies of the 10 results chains in both Word and Miradi format
- Information on the research grants funded through the ISU
- ICAA II-wide PMP and the ISU PMP (all remaining mechanism PMPs have not yet been provided)
- Meeting notes, agendas, and some data from the Measuring Impact evaluation

While a great deal of documents and information were provided, there remain several gaps and additional information needed by the MSI evaluation team. The following are priority documents or pieces of information needed:

- PMPs for each mechanism (except the ISU, which has already been received), including Performance Indicator Reference Sheets detailing the definition and sources of indicator data
- The list of activities (Table 4) for HED
- Budget or financial information at the most detailed level available (activity, consortia, IR, etc.)
- One-page write-ups on each of the Landscapes, particularly those relating to the two Colombia-focused landscape consortia, as little information is available elsewhere
- Data on the numbers and types of beneficiaries reached through each activity
- Data on which results chains are being addressed by each activity
- Clarification of terminology in evaluation questions as it is used by partners working on specific results chains

### 4. Evaluation Purpose, Audience, and Intended Use

The purpose of this evaluation is to better understand how well ICAA is performing midway through the second phase, so as to identify and address any immediate necessary changes and to inform the design of the third phase of the program. There is also a secondary interest in identifying any potential

positive or negative results of funding ICAA as a regional program as opposed to multiple bilateral projects.

The primary audiences for the evaluation are USAID’s LAC and E3 Biodiversity teams, though lessons learned from this evaluation may be applicable to biodiversity programs or projects in other regions or countries.

USAID’s preliminary dissemination plan for this evaluation includes sharing its results with all of its implementing partners and other interested country stakeholders. As appropriate, oral presentations will be provided as well as written copies of the executive summary, if not the full evaluation report. This includes one or more presentations the evaluation team will be expected to make to the Mission and other designated audiences prior to disbanding. A copy of the final evaluation report will be delivered to the USAID Development Experience Clearinghouse (DEC) within 30 days of the USAID COR’s acceptance of the final evaluation report and approval to post it on the DEC.


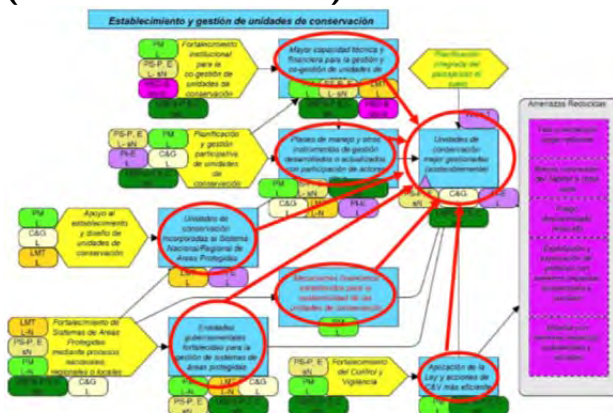

## 5. Evaluation Questions



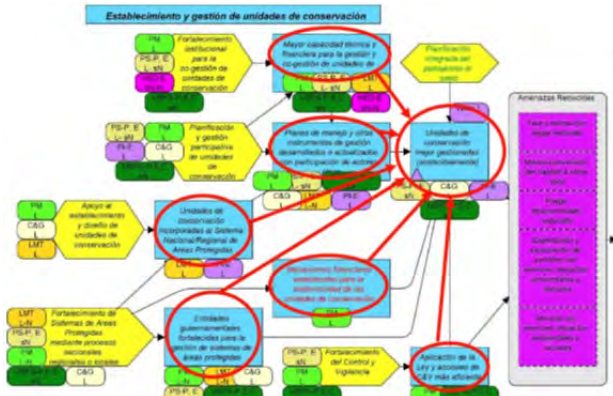
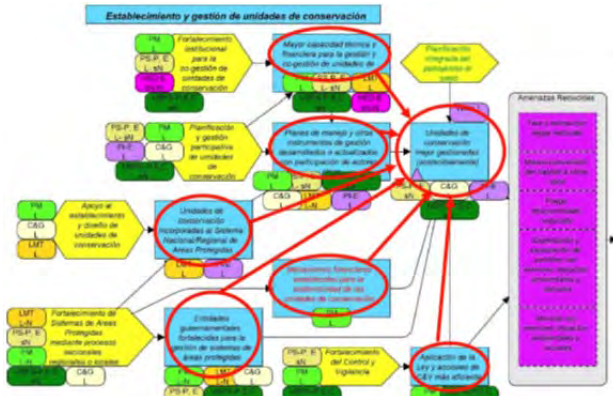
In a preliminary discussion paper for this evaluation, USAID identified a series of evaluation questions that it has since discussed with E3 Analytics and Evaluation Project team. Terms have been clarified and the number of evaluation questions has been substantially reduced. The current question structure includes three broad questions, two of which have subordinate questions that operationalize the larger questions under which they are clustered. Subordinate questions under the first of the evaluation’s three broad questions are, for the most part, very closely linked to the detailed results chain diagrams that USAID uses to articulate and monitor the ICAA II program strategy. These subordinate questions focus on six of the ten detailed results chains.

Accordingly, USAID’s evaluation questions are shown in the table below, which includes evaluation questions in the column on the left and a thumbnail of the relevant results chain on the right, where applicable. On each of these results chains, the specific activities or results to which questions refer are highlighted using red circles and arrows. Full-scale versions of these results chains are provided in Annex C. Asterisks have been placed next to select questions, indicating where some gender consideration must be made; more information on this is provided in the next section.

**USAID Evaluation Questions for the ICAA Mid-Phase II Performance Evaluation**

ICAA Performance Evaluation Questions	Results Chain Thumbnails
<p>A. How are program elements performing towards achieving results?*</p>	<p>While not all results chains in the ICAA program will ask precisely the same detailed questions to answer this major question, the specific questions they ask (which are outlined in detail as sub-questions for question A), are generally structured to identify:</p> <ul style="list-style-type: none"> <li>• The extent to which expected results were achieved;</li> <li>• The evidence demonstrating the achievement of results;</li> <li>• The approaches positively or negatively affecting the achievement of results; and/or</li> <li>• Lessons learned from the implementation of activities.</li> </ul>

ICAA Performance Evaluation Questions	Results Chain Thumbnails
<p>A-1 Where USAID partners are promoting sustainable livelihood practices, to what degree have those practices been taken up by target groups?* [Disaggregate by on-the-ground and institutional levels (affecting laws, policies, etc.)]</p>	<p><b>Livelihoods (Medios de Vida)</b></p> 
<p>A-2 Where target groups have taken up sustainable livelihoods practices promoted by USAID partners, what were the results/effects of such uptake?* (affecting laws, policies, etc.) (disaggregate by on-the-ground and institutional levels)</p>	<p><b>Payment for Environmental Services (Incentivos Económicos)</b></p> 
<p>A-3 Is there evidence that increasing capacity, increasing knowledge, and improving design for environmental incentives leads to the creation of a sufficient enough favorable condition for the development and implementation of economic incentives for conservation?</p>	<p><b>Large Scale Planning (Planificación)</b></p> 
<p>A-4 What evidence is there of better landscape management planning by government and civil society that can be linked to ICAA efforts to strengthen these types of entities?</p>	
<p>A-5 To what degree do ICAA partnerships (alliances) beyond the consortia, i.e., with government, civil society, universities, etc., influence landscape management planning?</p>	

ICAA Performance Evaluation Questions	Results Chain Thumbnails
<p>A-6 What changes (in policy, levels of cooperation, nature of dialogue, discussion among relevant actors, etc.) have been influenced by ICAA II information products - i.e., what evidence do we have of the impact of these products vis-à-vis the results chains?</p>	<p><b>Knowledge Generation and Dissemination (Conocimiento)</b></p>  <p>The diagram shows a flow from 'Sensibilización y difusión del conocimiento' to 'Generación de conocimiento' and 'Diseminación de conocimiento'. Key outcomes include 'Mejor comprensión de los problemas de conservación' and 'Mayor participación en la toma de decisiones'. A red circle highlights the 'Generación de conocimiento' stage.</p>
<p>A-7 What is the progress towards territorial consolidation (measured through such indicators as land titling, internal guard systems, <i>planes de vida</i>, and internal governance)?*</p>	<p><b>Indigenous Territories (Territorios Indígenas)</b></p>  <p>The diagram illustrates the process from 'Formación de territorios indígenas' to 'Territorios indígenas consolidados y bien manejados'. Key outcomes include 'Mayor protección efectiva de territorios PMAI' and 'Mayor seguridad jurídica en territorios indígenas'. A red circle highlights the 'Territorios indígenas consolidados' stage.</p>
<p>A-8 What is the evidence of improved management practices in protected areas? (Disaggregate by indigenous territories and non-indigenous conservation areas)</p>	<p><b>Conservation Units (Unidades de Conservación)</b></p>  <p>The diagram shows the flow from 'Formación de unidades de conservación' to 'Unidades de conservación mejor gestionadas'. Key outcomes include 'Mayor capacidad técnica y financiera para la gestión' and 'Mayor participación en la toma de decisiones'. A red circle highlights the 'Unidades de conservación mejor gestionadas' stage.</p>
<p>A-9 How are new management practices in protected areas addressing key threats to biodiversity? (disaggregate by indigenous territories and non-indigenous conservation areas)</p>	<p><b>Conservation Units (Unidades de Conservación)</b></p>  <p>This thumbnail is identical to the one for A-8, showing the flow from 'Formación de unidades de conservación' to 'Unidades de conservación mejor gestionadas' with a red circle highlighting the final stage.</p>
<p>B. How is program performance being affected by management structures at the USAID-level, program-level and mechanism-level?</p>	<p>This cell is currently blank in the provided image.</p>

ICAA Performance Evaluation Questions	Results Chain Thumbnails
C. How effectively is the overall strategic design of the initiative leading to results that will ensure long-term conservation of natural resources in the Andean Amazon?*	
C-1 Is there value added from having this program operate regionally versus having multiple bilateral projects?	
C-2 How is the work being done by partners creating synergies at the various levels of engagement (regional, national, sub-national, or local)?	

## 6. Gender Considerations

Gender has been identified as one of the critical cross-cutting themes for ICAA and, more importantly, for this evaluation. In the above list of evaluation questions, an asterisk (\*) is included at the end of each question in which USAID requires data to be disaggregated by gender. No questions have been asked that focus specifically on gender-differential effects (e.g., gender-specific access, participation, results, or benefits), though it is expected that the MSI evaluation team will pay particular attention to this issue throughout the evaluation and will report on this subject as appropriate.

## 7. Data Collection Methods

This section describes the broad evaluation framework formed by the ICAA II results chains and established evaluation protocols associated with results chains that should guide planning for this evaluation. Also covered are USAID’s expectations concerning linkages between methods selected for addressing the specific evaluation questions and evaluation best practices for the kinds of results (and results chains) on which specific questions focus.

### a. Evaluation Framework

When considering evaluation approaches for this performance evaluation, it is important to be aware of the landmark review of evaluation practices in conservation and development conducted by a team from Foundations for Success in 2005 (Stem, 2005). This study mapped the world of evaluation tools, as it was understood and used in conservation projects at the time, and noted significant advances in conservation and development evaluation methodologies that have come to prominence since. To characterize conservation evaluation at the time, the authors developed a graphic spanning the 1900 to 2000 time period on the vertical axis and describing a continuum on the horizontal axis that placed *status assessments*, which it characterized as being the evaluation norm for conservation programs, on the far left. Moving to the right, it identified *impact assessments* (along the lines of an environmental assessment or social impact assessment<sup>234</sup>) and at the far right described what it called *adaptive management*. Adaptive management subsumes a cluster of approaches that integrate monitoring and evaluation, using theory-of-change logic models and indicators, into program design and use the data these tools generate to modify program strategies and plans based on evidence about effectiveness that accumulates as implementation proceeds.

Conceptually, USAID’s current program cycle, which integrates evaluation throughout, falls squarely in the adaptive management end of this continuum. Weighing the merits of this evaluation range for the

<sup>234</sup> Impact assessments of this sort look at consequences, but they should not be confused with USAID’s current definition of the term “impact evaluation” which includes comparisons to a counterfactual that are not characteristic of impact assessments.

conservation field, the authors recommended that the field migrate towards evaluation as a component of adaptive management. To a significant extent, with the benefit of other innovative developments in conservation program evaluation since the 2005 study was conducted, this is what has occurred.

The ICAA results chains emerged from efforts across the conservation field to adopt adaptive management concepts and tools, as a means of strengthening program planning and the evidence on which to base decisions during program implementation in future ICAA phases. In light of these facts and intentions, USAID expects that the overarching framework for this mid-phase evaluation will be the theory of change as depicted in the ICAA results chains. In practice, this means that choices about data to be collected from a mix of sources and methods should demonstrably expand the evidence available along the arrows and around the nodes in the results chains, as well as inform answers to the specific evaluation questions. Ideally, a side product of this evaluation will be an evaluation evidence map for each of the six results chains that USAID has identified for attention in this study.

## **b. Methods for Gathering Data by Question**

USAID requires that data collection and data analysis methods be identified on a question-by-question basis, covering data sources as well as proposed data collection methods and sampling strategies, where appropriate. Annex D provides a question-by-methods matrix that addresses methods for data collection as well as for data analysis on a preliminary basis. Cutting across the matrix in Annex D, on methods for each specific question, are a number of patterns that will need to be considered as methods are finalized and various data collection instruments are developed during the evaluation design process. (Patterns that will affect plans for data analysis are discussed in Section 8.)

### **Data Sources**

From the preliminary Getting to Answers matrix provided in Annex D, it appears that data from beneficiaries/community residents would be desirable in relation to five evaluation questions. The first two (A-1 and A-2) would benefit from data from adopter/beneficiaries involved with livelihood programs, while the second cluster (A-7, A-8, and A-9) could benefit from data from local residents and community members where land use management practices are the focus of activities. Mini-surveys or group interviews are suggested in these cases. For a somewhat larger number of questions, community representatives/key informants appear to be an appropriate data source. While the numbers of individuals of this type will be smaller, such interviews will still require instruments, pre-testing, and other large-scale data collection protocols. Aspects of the program that have a local government, regional, national, or multi-country focus from a data collection perspective will be fewer in number, but arrangements for them may be equally labor intensive. Given the large number of ICAA partners, consideration should be given to obtaining all of the partner data that the Getting to Answers matrix suggests will be needed in an efficient manner, consolidating data needs across a number of evaluation questions into a protocol that can be followed in a single meeting, or perhaps two, with lead organizations for a given consortium. Observation, interviews, existing documents, and data series are also highlighted as potentially useful options to be considered.

### **Data Collecting Procedures**

While USAID anticipates that a mix of methods will be used to address the questions identified for this evaluation, conservation project evaluations over recent years have demonstrated the value of adopting certain techniques for specific results chains. To that end, it will be important to assemble an evaluation team that has knowledge of the range of pertinent methods that have already been used in other conservation implementation and impact studies. In addition to the description in this section, Annex D identifies some of the data collection strategies that may be appropriate for specific results chains. The conservation evaluation and research papers identified in the references list at the end of this SOW also include some potential strategies.

Two particularly challenging aspects of the evaluation from a data collection perspective are highlighted below, along with some of the ways these issues are addressed in conservation evaluations and research, to suggest the type of exposure and experience the team will need.

#### *Integration of established techniques for addressing evaluation questions on a results chain basis*

In addition to obtaining and organizing data to help USAID validate whether its ICAA II interventions seem to be resulting in changes along the results chains, USAID expects that evaluation methods selected for addressing questions relating to specific results chains will build on evaluation methods specific to these arenas. For example, to address question A-4 on ICAA efforts to develop favorable conditions for the successful introduction of economic incentives for conservation, other studies including several rigorous impact evaluations have evaluated payments for environmental services (PES) interventions. Choices about how to examine these types of incentive programs can affect the findings that emerge (Arriagada, 2012). While such techniques will not be expected for this performance evaluation, an understanding of how these programs have fared, and under what conditions, will help ensure that the right questions are asked about preparatory stages in a process for introducing PES interventions.

#### *Site and Respondent Selection*

ICAA II is a large and complex program with an array of actors working across multiple results chains in three distinct countries. For this reason, simply picking one or two sites to visit at random would be unlikely to give the evaluation team a fair, if not statistically representative, understanding of the program's facets. What is needed is an approach that ensures that the range of approaches and mechanisms through which ICAA II works is observed either through documents or site visits during the evaluation. Initial work is being carried out by the MSI team to assess the evaluability of ICAA at mid-phase in Phase II. That effort has already begun to yield a statistical synthesis of where and how the program is laid out across its target area, which is included below and in Annex E.

Across the three countries where ICAA II is active, its interventions by type of activity are fairly evenly distributed. Greater concentration is found on both a topical and geographic basis. As the figure below shows, the majority (51%) of ICAA II activities focus on IRI, which loosely equates to landscapes and livelihoods, as shown in Annex B. Natural resources governance and the associated results chains represent another 20% of activities, with economic incentives accounting for 14% of the activities. Peru, Ecuador, and Colombia represent 87% of all activities initiated under ICAA II. Of this portion, Peru accounts for 67% of activities in the three active countries, while 22% are located in Ecuador and 11% in Colombia, though USAID indicates that most activities in Colombia are relatively new. As the map of Peru shows below, ICAA II activities are not necessarily equally distributed across countries; the majority of activities in Peru are in just a few provinces. Site-specific data on the number and location of activities in Peru, Ecuador, and Colombia are included in Annex E and will be used to inform site selection for data collection under this evaluation.

### ICAA Activities by Results Framework IRs

Activity Type	ICAA II Intermediate Result (IR)				TOTAL	% of Total
	IR1	IR2	IR3	IR4		
Training	172	46	32	21	271	22%
Technical Assistance	177	47	58	30	312	25%
Dialogue Activities	97	70	30	17	214	17%
Products/Dissemination	141	65	34	103	343	27%
Other	50	23	17	23	113	9%
<b>TOTAL</b>	<b>637</b>	<b>251</b>	<b>171</b>	<b>194</b>	<b>1253</b>	
<b>% of Total</b>	<b>51%</b>	<b>20%</b>	<b>14%</b>	<b>15%</b>		

### Distribution of ICAA II Activities in Peru



### Using innovative methods for addressing questions about causality using appropriate non-experimental methods

Two evaluation questions that USAID has included for this performance evaluation concern linkages between program interventions and outcomes of interest. Given time and resource constraints for the evaluation, non-experimental approaches should be considered along with analytic models associated with evaluations of the validity of the specific results chains on which these two questions focus. Such non-experimental approaches for arriving at answers include: techniques for logically eliminating alternative possible causes; case studies; and close tracking between actions and results such as outcome mapping.

A review of past studies of similar questions in the conservation arena may also be helpful. For example:

- To address question A-2 on the relationship between USAID activities, the adoption of sustainable livelihood practices in target communities, and positive conservation outcomes, past studies that examined the relationship between ecosystem factors and livelihoods (Ashley, 2000; Coad, 2008), and studies that look at how these factors work could be useful for tailoring data collection methods. Studies that have looked at how factors outside the program intervention affect conservation outcomes (Glew, 2010) may also suggest useful metrics and methods.
- To address question A-4, which asks about the relationship between USAID-funded capacity building, better government, and civil society land use management planning, studies that have used Cost Utility Analysis (CUA) to assess alternative landscape management approaches (Haddock, 2006), and others that have examined improvements in land use management practices through an analysis of drivers and actors, including work carried out by CIFOR, may provide useful ideas.



## 8. Data Analysis Methods

Data analysis methods identified in Annex D follow closely from the methods used to collect each type of data needed to answer the evaluation questions. Of note are instances when the evaluation team may reanalyze existing data as well as cases where analysis approaches suggested by previous studies and in various guidelines for conservation program evaluation warrant consideration. Whatever data analysis methods are chosen for this evaluation, they should be justified in terms of their fit with the data collected for a question and the types of answers that USAID seeks. Time and cost considerations are also important in this area.

## 9. Strengths and Limitations

The two greatest challenges methodologically for this evaluation will be:

- Fairly, though not statistically, representing the program’s many facets while at the same time learning from success rather than simply depicting the “typical” example of a given type of activity or performance,
- Answering USAID questions about attribution using the best possible evidence from non-experimental methods in a performance evaluation context.

The evaluation’s successful navigation of these two challenges will go a long way towards minimizing the limitations that will need to be stated when the study is finalized.

## 10. Evaluation Deliverables

The MSI evaluation team will be responsible for the following deliverables:

<b>Deliverable</b>	<b>Estimated Due Date</b>
1. Evaluation Design Proposal, including a full description of the evaluation methodology, with drafts of all data collection instruments and a sampling plan, as relevant	30 days from client approval of SOW
2. An inception stage description of what is already known with respect to the evaluation questions and what gaps remain that will need to be addressed through field work	As an annex to the Evaluation Design Proposal
3. Field debrief for USAID staff on study findings and conclusions prior to team’s departure, to ensure sufficient data has been collected to answer the evaluation questions and to receive initial feedback before drafting the evaluation report	Following completion of field work but before the expat team returns to the U.S. or begins drafting the evaluation report
4. Draft Evaluation Report using the standard USAID template	o/a February 13, 2015
5. Oral Presentation(s) of draft evaluation report key findings, conclusions and recommendations for USAID and its invitees	o/a February 16, 2015

<b>Deliverable</b>	<b>Estimated Due Date</b>
6. Final Evaluation Report using the standard USAID template	o/a March 6, 2015
7. Evaluation data (data sets, codebooks, transcripts, including any required translations)	Within one week of COR approval of Final Evaluation Report
8. Debrief for ICAA partners (tentative)	As agreed following COR approval of Final Evaluation Report

All documents and reports will be provided electronically to USAID no later than the dates indicated above. All qualitative and quantitative data will be provided in electronic format to USAID either by email or by thumb drive, depending on the size of the files being provided. All debriefs will include a formal presentation with slides delivered both electronically and in hard copy for all attendees.

## **II. Team Composition**

The primary evaluation team is expected to be comprised of an expatriate evaluation expert, an expatriate subject matter expert, three two-person local teams (a combination of evaluation and subject matter experts for Peru, Ecuador, and Colombia), and additional home office evaluation support, oversight, and expertise provided by the MSI team. Depending on their relative experience, either the evaluation expert or subject matter expert will serve as the overall evaluation team leader.

### **Evaluation Expert**

An expatriate evaluation expert with extensive experience leading multi-disciplinary teams conducting field evaluations of complex projects will oversee the evaluation implementation process including field data collection, analysis and report preparation. Depending on their experience relative to the subject matter specialist, the evaluation expert may serve as the overall evaluation team leader. The expert should hold at least a master's degree with at least 10 years of experience as an evaluation team leader or team member. Relevant experience and knowledge with environment/conservation/biodiversity programs is preferred, as well as prior experience in Latin America and familiarity with models for recent conservation project evaluations. Fluent Spanish is required.

### **Subject Matter Specialist**

An expatriate subject matter expert will provide expertise and guidance to the evaluation team on sectors relevant to some or all of the six results chains that are the focus of this evaluation: livelihoods, payment for environmental services, large scale planning, conservation units, indigenous territories, and knowledge generation and dissemination. They should have familiarity with the relevant literature in their technical area. The specialist should hold at least a master's degree with at least 10 years of experience in their technical sector, including experience working on evaluation teams. Prior experience in Latin America is preferred. Depending on their experience relative to the evaluation expert, the subject matter specialist may serve as the overall evaluation team leader. Fluent Spanish is required.

### **Local Team Members**

The local team member will serve as a member of the ICAA evaluation team in their respective country, as well as cross-cutting support on the overall evaluation as required, contributing substantially to the data collection (interviews, site visits, etc.), data analysis, drafting of reports, and presentations/debriefs being conducted for the evaluation. They will provide country context for the evaluation and relevant subject matter knowledge or evaluation expertise, as required. They may also be asked to provide translation or logistical support, if needed by the evaluation team. Fluent English and Spanish is required.

## 12. USAID Participation

Possible USAID participation in the data collection phase will be determined prior to the start of field work.

## 13. Scheduling and Logistics

The following GANTT chart provides a general overview of the anticipated timeframe for evaluation activities and deliverables. This schedule is assuming approval of this SOW in March 2014, followed by approval of the Evaluation Design Proposal in April and the evaluation team preparation commencing immediately thereafter. The evaluation implementation is anticipated to run from May through the end of September, with approximately eight weeks of data collection in Peru, Ecuador, and Colombia.

There do not currently appear to be any public holidays, pre-scheduled events, or seasonal issues that will impact field work in any of the three countries.

**Estimated ICAA II Mid-Phase Performance Evaluation Timeframe (2014-15)**

<b>Task/Activity</b>	<b>Oct</b>	<b>Nov</b>	<b>Dec</b>	<b>Jan</b>	<b>Feb</b>	<b>Mar</b>
Evaluation Design						
Evaluation Preparation						
Field Work						
In-Country USAID Debrief						
Report Writing						
Draft Report					2/13	
Final Report						3/6
Possible In-Country Partner Debrief						

The evaluation team will be responsible for procuring all logistical needs such as work space, transportation, printing, translation, and any other forms of communication. USAID will offer some assistance in providing introductions to partners and key stakeholders as needed, and will ensure the provision of data and supporting documents as possible.

## 14. Reporting Requirements

The format of the evaluation report should follow USAID guidelines set forth in the USAID Evaluation Report Template (<http://usaidlearninglab.org/library/evaluation-report-template>) and the How-To Note on Preparing Evaluation Reports (<http://usaidlearninglab.org/library/how-note-preparing-evaluation-reports>).

The final version of the evaluation report will be submitted to USAID and should not exceed 30 pages, excluding references and annexes.

## **ANNEX B: USAID EVALUATION POLICY, APPENDIX I**

### **USAID EVALUATION POLICY, APPENDIX 1**

#### **CRITERIA TO ENSURE THE QUALITY OF THE EVALUATION REPORT**

- The evaluation report should represent a thoughtful, well-researched and well organized effort to objectively evaluate what worked in the project, what did not and why.
- Evaluation reports shall address all evaluation questions included in the scope of work.
- The evaluation report should include the scope of work as an annex. All modifications to the scope of work, whether in technical requirements, evaluation questions, evaluation team composition, methodology or timeline need to be agreed upon in writing by the technical officer.
- Evaluation methodology shall be explained in detail and all tools used in conducting the evaluation such as questionnaires, checklists, and discussion guides will be included in an Annex in the final report.
- Evaluation findings will assess outcomes and impact on males and females.
- Limitations to the evaluation shall be disclosed in the report, with particular attention to the limitations associated with the evaluation methodology (selection bias, recall bias, unobservable differences between comparator groups, etc.).
- Evaluation findings should be presented as analyzed facts, evidence and data and not based on anecdotes, hearsay or the compilation of people's opinions. Findings should be specific, concise and supported by strong quantitative or qualitative evidence.
- Sources of information need to be properly identified and listed in an annex.
- Recommendations need to be supported by a specific set of findings.
- Recommendations should be action-oriented, practical, and specific, with defined responsibility for the action.

## ANNEX C: CONCORDANCE OF ICAA2 IRS AND RESULTS CHAINS

The table below demonstrates primary concordance between ICAA2 results chains and intermediate results. However, this simplified presentation obscures some overlaps as activities aligned to IRs 2, 3 and 4 in some cases also contribute to IR1 (and hence may contribute to multiple results chains across the program).

**TABLE I-1: ALIGNMENT OF ICAA2 RESULTS CHAINS TO INTERMEDIATE RESULTS**

Intermediate Results	ICAA2 Results Chains
IR 1: <i>Selected landscapes managed sustainably</i>	Large-Scale Planning
	Conservation Units
	Sustainable Livelihoods
	Indigenous Territories
IR 2: <i>Functioning of key elements of natural resources governance in critical landscapes improved</i>	Infrastructure
	Land Tenure
	Forest Legislation
	Indigenous Rights
IR 3: <i>Capacity to use payment for environmental services (PES)-like and other economic incentive programs increased</i>	Economic Incentives
IR 4: <i>Understanding of key environmental issues and solutions improved</i>	Knowledge Generation and Dissemination

## ANNEX D: SITE SELECTION AND RESPONDENT IDENTIFICATION

Based upon a March 2014 download of the ICAA II database of partner information assembled by the ISU,<sup>235</sup> the Project team has defined the universe of ICAA II activities as consisting of 617 activities. This database includes information on activity locations, their relationship to USAID's IRs in the ICAA II RF, and types of activities undertaken (training, technical assistance, etc.). During the evaluation design preparation period, the Project team gathered supplementary data on each of these activities from ICAA II partners to better understand the relationship between activities and results chains, and other activity characteristics including: the levels at which activities focus (regional, national, sub-national, local) and the types of participants involved in these activities (individual citizens, community leaders, indigenous groups, government at the national or subnational level, etc.).

Data on this universe of ICAA II activities were analyzed by the Project team during the evaluation design period to provide the evaluation team with structured information on the characteristics of activities in this portfolio, and to support the evaluation's site visit selection process.

The earliest finding from this analysis indicated that ICAA activities were unevenly distributed across provinces/regions in Peru, Ecuador and Colombia. Ranking activities by location, the Project team determined that 318 (52%) of the universe of 617 activities were concentrated in six provinces/regions across these three partner countries, as shown in Figure 2 in the Evaluation Design Proposal.<sup>236</sup> Thirty activities were designated by USAID partners as being located in capital cities (Lima – 24, Quito – 3, and Bogota – 3.)

Based on the highly concentrated nature of this activity distribution, the Project team discussed two broad options for selecting sites for the evaluation team's in-country visits. One option would have involved selecting sites from all locations in which ICAA II is active to try to represent the full range of its efforts. This option would have given an equal chance for selection to low and high density sites, in the manner of a conventional "representative" sample. The second option was to mirror ICAA II's own emphasis on a few locations in which activities are highly concentrated. This second option would deliberately over-represent communities in which multiple ICAA II activities are located, in order to learn what types of results appear to be emerging from the program's strategy of concentrating its resources in a few areas. Based on a discussion of these options with USAID staff on July 10, 2014, a site selection strategy constructed around locations with high density of ICAA II activity was selected.

Based on the above, five of the six provinces/regions with high concentrations of ICAA II activities, as well as the capital cities of the three participating countries, were identified for site visits. Due to security concerns, Caquetá Department in Colombia, one of the high density ICAA II areas, was not selected for an evaluation team site visit.

To validate this broad site selection process in relation to the ICAA II results chains that the SOW for this evaluation identified as priorities for attention, the Project team calculated the percentage of activities in these high density areas coded by USAID partners to each results chain. As Table I shows, activities in high density areas associated with these six priority results chains (highlighted in bold in the table) captured 50% or more of activities coded to these results chains, with the exception of Economic

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<sup>235</sup> Counting activities by partner organization was deemed by the Project team to be the most reliable method of establishing the ICAA II activity universe, as all other methods of counting entries in the database involve either undercounting due to missing data or over counting, where partner organizations were allowed to assign multiple codes to activities.

<sup>236</sup> Namely, Ucayali, Peru – 93, Madre de Dios, Peru – 78, Sucumbíos, Ecuador – 46, Loreto, Peru – 42, Caquetá, Colombia – 31 and Napo, Ecuador- 29.

Incentives, which is somewhat less well represented.<sup>237</sup>

**TABLE I: PERCENTAGE OF ICAA II ACTIVITIES BY RESULTS CHAIN IN HIGH DENSITY ACTIVITY LOCATIONS**

Results Chain (RC)	Activities Coded by Results Chain by USAID Partners (N = 617 activities)	Activities Located in High Density ICAA II Locations (N = 318 activities)	% of Activities by Results Chain Located in High Density ICAA II Locations
Infrastructure	60	31	52%
<b>Indigenous Territories</b>	<b>134</b>	<b>80</b>	<b>60%</b>
<b>Conservation Units</b>	<b>180</b>	<b>124</b>	<b>69%</b>
<b>Large-Scale Planning</b>	<b>182</b>	<b>111</b>	<b>61%</b>
<b>Knowledge &amp; Dissemination</b>	<b>315</b>	<b>157</b>	<b>50%</b>
<b>Sustainable Livelihoods</b>	<b>197</b>	<b>130</b>	<b>66%</b>
Indigenous Rights	148	67	45%
Forestry Legislation	109	71	65%
<b>Economic Incentives</b>	<b>141</b>	<b>60</b>	<b>43%</b>
Land Tenure	82	39	48%

## Site Visit Selection Criteria within High Density Locations

As it moves from the provincial level down to the level of towns the evaluation team could have visited, the primary selection criteria remained the density of activity in those locations, so that towns with ten projects were more likely to be selected than those with only one or two activities. Beyond this, the Project team considered three other factors when selecting specific locations for the final evaluation design:

- Balance of activities with respect to the results chains they address. As the evaluation team used the database prepared for this purpose to identify high density activity towns within high density activity regions, they also considered the results chains that activities in these towns represent, consistent with the percentages displayed in Figure 3.
- Proximity to specific landscapes, indigenous territories, and conservation units with which ICAA II works. A portion of the questions addressed at the community level focus on the environmental spaces, which made it important for the sites selected to include sites in close relation to these areas.
- Logistical feasibility. While most of the towns associated with specific activities were accessible by paved roads, some were more difficult or expensive than others to reach.
- Relationship of candidate site visit towns to regional and sub-regional capitals where interviews about the involvement of government representatives at these levels and their perspectives on the visibility of ICAA II results made it important to include those locations on the itinerary.

These several factors were weighed as the evaluation team developed its itineraries and visit schedules.

<sup>237</sup> Until the adoption of enabling legislation for these kinds of activities in Peru, in mid-2014, most activities on this results chain were located in Ecuador or Colombia.

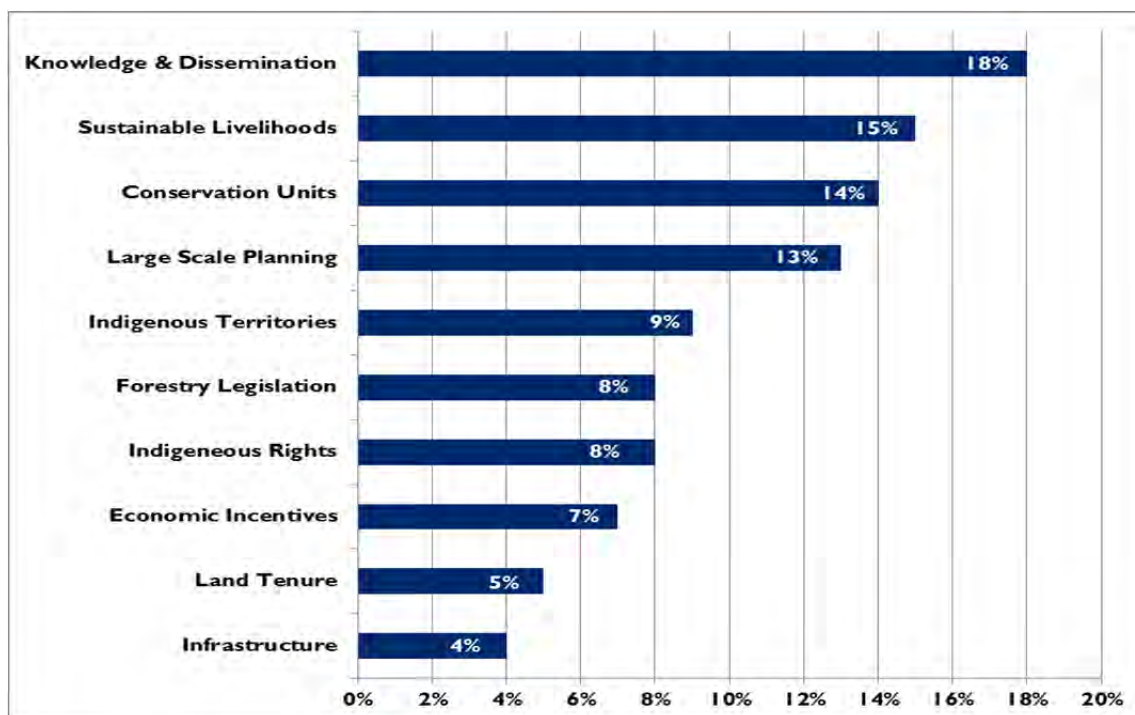
Data analyzed at the provincial/regional and community levels supported the site selection process. Figure 3 displays characteristics of 318 ICAA II activities in the high density areas selected for site visits. With the exception of location data, parallel data can be quickly extracted from this database for most activities within each of the five provinces/regions and three capital cities with which these 318 activities are associated to help inform the community-level site selection and itinerary construction process.

## Current Information on Characteristics of ICAA II Activities in High Density Areas

To further clarify the nature of the 318 ICAA II activities in high density locations selected for site visits, the Project team calculated the percentage and graphed the frequency with which specific results chains were assigned to each of these activities by USAID partners, shown in Figure 3. It also examined how activities in each results chain were distributed by activity type, which is shown in Figure 4. Similarly, the Project team calculated the frequency with which activities in these high density areas were coded by USAID partners as including a focus at one or more levels at which ICAA works, as shown in Figure 5.

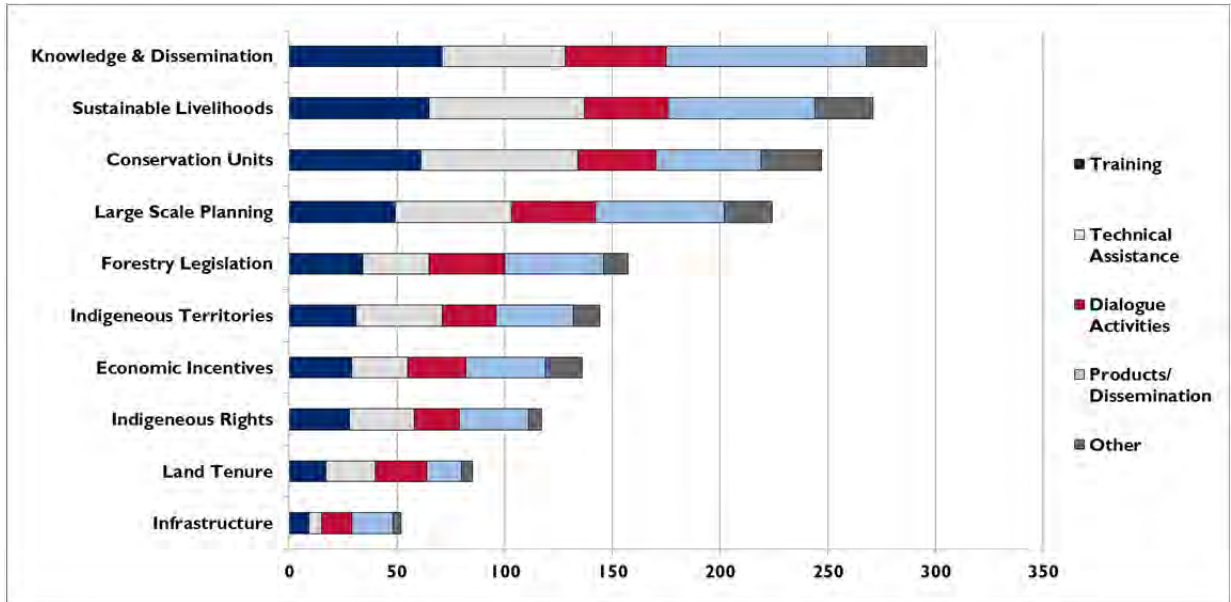
These data and data that support the following figures are available for each activity, and can be displayed at the level of a municipality as well as at a provincial level, or for any specific activity, and helped the evaluation team ensure that as it moves to smaller size locations, i.e., to the towns in a specific province, it could understand and balance which results chains are represented by every possible choice of activities in those locations. Short narratives for each activity in each location that are embedded in the activity database helped the evaluation team to select and document activities in high density activity sites in terms of how they represent the range of what ICAA II is doing in that location.

**FIGURE 3: PERCENTAGE OF 318 ACTIVITIES IN HIGH DENSITY AREAS CODED AS BEING ASSOCIATED WITH SPECIFIC RESULTS CHAINS BY ICAA II PARTNERS**

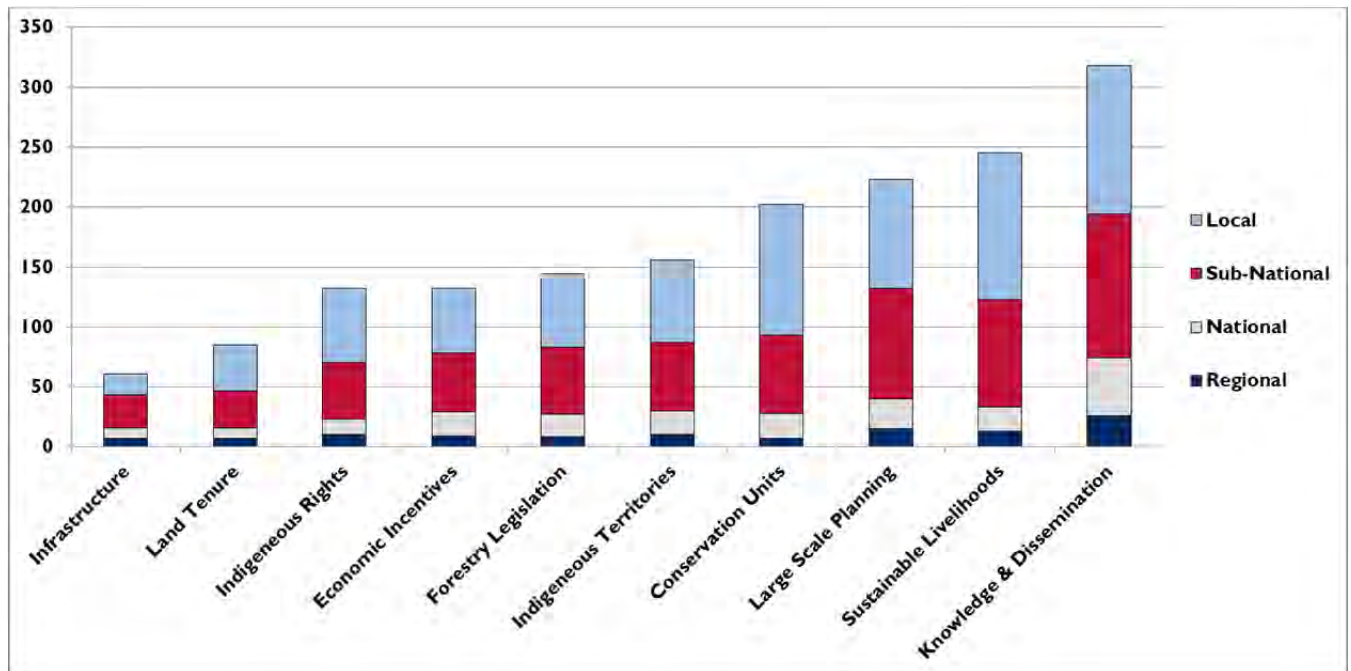




**FIGURE 4: DISTRIBUTION OF ACTIVITIES IN HIGH DENSITY LOCATION BY TYPE OF ACTIVITY**

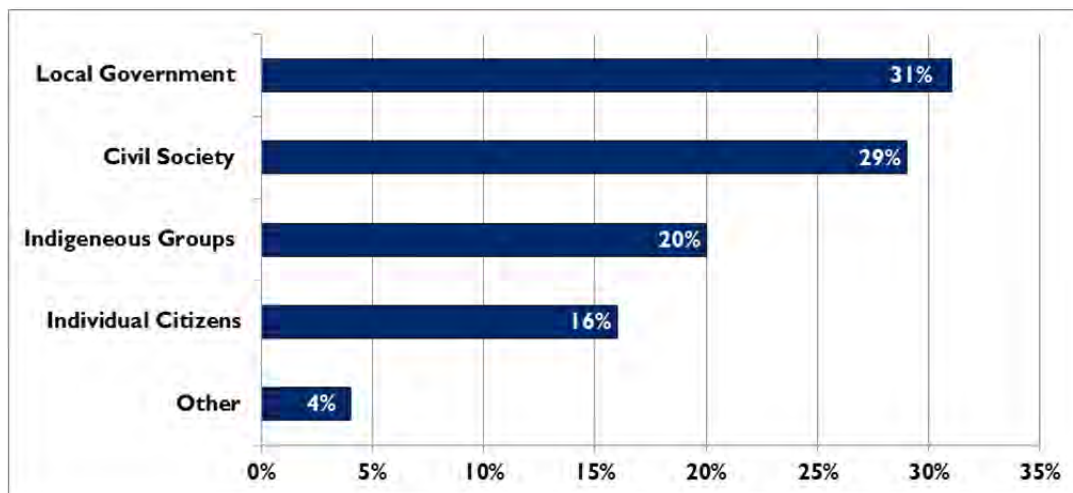


**FIGURE 5: DISTRIBUTION OF 318 ACTIVITIES IN HIGH DENSITY LOCATION BY FOCUS**



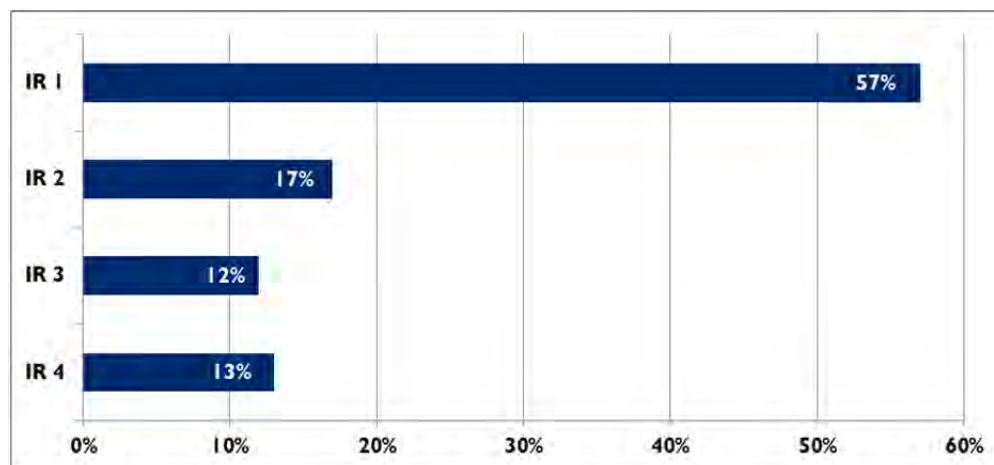
In addition to these characteristics, in Figure 6 the Project team calculated the frequency with which USAID partners coded these 318 activities in high density areas as involving various types of participants.

**FIGURE 6: FREQUENCY WITH WHICH 318 ACTIVITIES IN HIGH DENSITY LOCATIONS WERE CODED BY USAID PARTNERS AS INVOLVING SPECIFIC TYPES OF PARTICIPANTS**



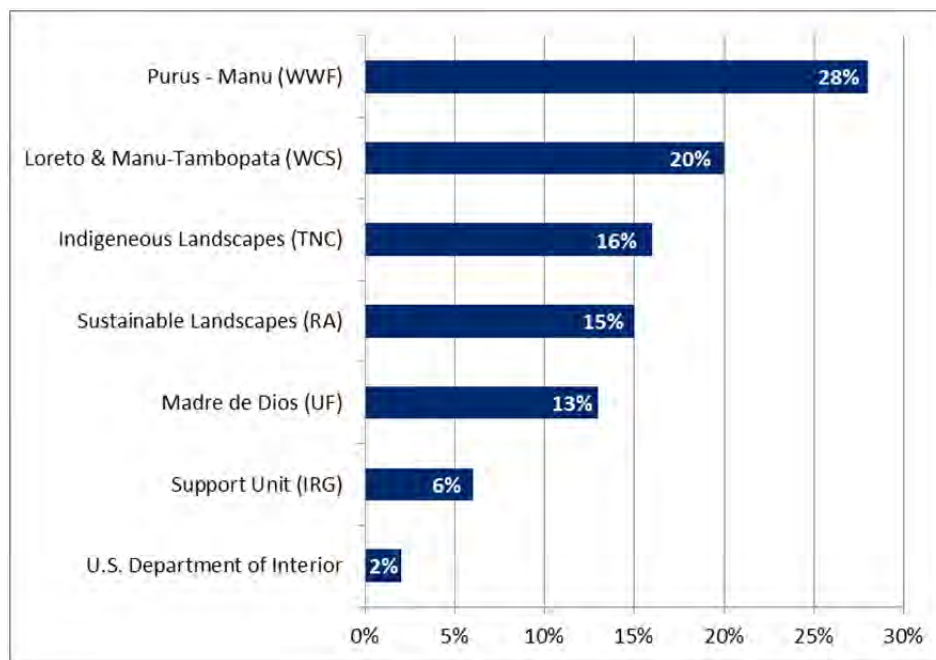
Given that ICAA II partners still monitor performance indicators based on the original ICAA II RF, Figure 7 indicates the frequency with which activities in high density areas are coded by partners as being associated with each of the RF's IRs.

**FIGURE 7: FREQUENCY WITH WHICH 318 ACTIVITIES IN HIGH DENSITY LOCATIONS ARE LINKED BY USAID PARTNERS TO IRS IN THE ICAA II RF**



The final figure in this set displays the percentage of these 318 activities implemented by the USAID implementing partners to which they are coded in the ICAA II database. As this graphic illustrates, some ICAA partners are not linked to specific activities in the database, and of those that are coded to activities, some may not implement activities in these high activity density areas.

**FIGURE 8: ICAA II CONSORTIA AND OTHER PARTNERS THAT IMPLEMENT 318 ACTIVITIES IN HIGH DENSITY LOCATIONS SELECTED FOR SITE VISITS BY THE EVALUATION TEAM**



### Selecting Individual Respondents at Specific Sites

At the national, sub-national and community level, the evaluation team used a consistent set of principles for determining exactly which individuals to interview to obtain data in relation to specific evaluation questions.

#### National and Sub-National Government Officials

Interviews with USAID implementing partners were the primary source of contact information within national government ministries and regional/provincial and district governments, as well as for identifying government representatives who play specific roles in the management of landscapes on which ICAA II focuses. The evaluation team applied two criteria when setting up interviews at these levels, namely: (a) the individual occupied an appropriate position or office; and (b) the individual is personally knowledgeable about the kinds of results chain (if not ICAA II-specific) questions they will be asked. Where personal knowledge were lacking, alternative respondents within the same units who are personally knowledgeable about sites and issues can be interviewed instead.

#### Municipal Officials, Community Leaders and Civil Society and Indigenous Group Representatives

In most communities, the team relied on suggestions from implementing partners to identify the most relevant and personally knowledgeable individuals for key informant interviews and to obtain information about civil society and indigenous groups in each locale who should be interviewed about their perceptions of the status of the kinds of results ICAA II is trying to achieve and the role and benefits of ICAA's involvement in achieving them.

## **Citizen Participants in ICAA Activities**

Figure 6 shows that within the high density areas selected for site visits, 16% of the 318 ICAA II activities in the region were coded as involving individual citizens as participants. Some of these individuals have been involved in trainings and others participated in technical assistance or dialogue activities. Using the database prepared by the Project team, the evaluation team can identify those activities in any high density region or municipality that included citizen participants.

To select individual participants to interview about results stemming from these activities, the evaluation team attempted to follow a standard protocol before arriving at sites.

Prior to visiting each community, the team (a) obtained official participant lists from consortia partners; (b) determine the number of individuals the team hoped to interview about a specific activity's results; (c) used simple random sampling from the participant lists to generate a set of names to ask implementing partner representatives and/or community leaders to help the team meet individuals or groups to collect data.

In nearly every community, this process was not successful. Despite providing lists of participants with whom the evaluation desired to speak, it was very rarely the case that those individuals were available for interviews during the site visit and it was often the case that persons not identified by the evaluation team expressed a desire to speak with the evaluation team – to which the evaluation generally acquiesced.

## **Regional Organizations and Other Donors**

Regional organizations and other donors who are engaged in similar efforts, and more specifically individuals within such organizations who are personally knowledgeable about regional results, landscapes and other specific issues in the region, were important sources of data and merited separate interviews on results they have observed. These individuals were identified through ICAA partner contacts and included in field visit schedules as warranted.

# ANNEX E: RESEARCH METHODS AND PROTOCOLS

## Background and Rationale

In 2006, USAID initiated a long-term, four-phase regional program known as ICAA to build capacity and commitments to promote the sustainable use and conservation of biodiversity and environmental services in the Andean Amazon. The first phase of ICAA lasted for five years and ended in 2011. In 2011, phase 2 of ICAA (“ICAA2”) was launched and integrates the efforts on a regional basis of more than 30 partner organizations, both local and international, to strengthen conservation of the Amazon biome. The program is currently active in Peru, Ecuador, and Colombia. It was active in Bolivia until USAID ceased activities there in 2013.

The current portfolio has a budget of \$75 million for the five-year period (2012-2016) and is managed by USAID/Peru’s regional platform – the Operating Unit for South America Regional/Environment (SAR/Env). The program is currently mid-way through its second phase and it is anticipated that a new generation of regional Andean Amazon programming will begin in 2016.

The purpose of this evaluation is to better understand ICAA2’s performance midway through the second phase, so as to identify and address any immediate necessary changes and to inform the design of the third phase of the program. USAID also has a secondary interest in identifying any potential positive or negative results of funding ICAA2 as a regional program as opposed to multiple bilateral projects.

## Study Setting

The evaluation research took place in the capital cities of Lima, Peru and Quito, Ecuador, as well as in approximately 11 parish-level locations in regions/provinces adjacent to Amazonian watersheds. The communities in which the research was conducted varied considerably in socio-economic contexts. Of special consideration in conducting the research was the presence within the study area of indigenous communities.

While these communities vary in terms of their levels of contact with broader Peruvian and Ecuadorian society, the members of each of these communities were considered to be marginalized populations for the purposes of the research. Prior to conducting research in each of these communities, the evaluation team liaised with the IPs to understand the social context and modus operandi for interactions with members of the community, requesting introductions or accompaniment by IP staff where necessary. Extra consideration was given in these contexts to ensuring that research was undertaken consistent with the highest ethical standards.

## Field Methods

The evaluation field research relied on three types of primary research activity: semi-structured interviews, group interviews and the solicitation of Most Significant Change stories.

Field research was undertaken by three teams in Peru and two teams in Ecuador, with each team composed of two researchers. The practice employed in most circumstances was for one researcher to lead the semi-structured or group interview while the other researcher focused primarily on recording the interview, including non-verbal cues of the respondents.

## **Semi-structured Interviews with Key Informants/Community Beneficiaries**

### **Purpose**

The evaluation team undertook semi-structured interviews as a primary form of data collection. Semi-structured interviews allowed the evaluation team to explore issues in depth and to understand the personal and communal context for some respondents.

### **Participants**

Semi-structured interviews were undertaken with two categories of respondents: key informants and program beneficiaries. Key informants consisted of USAID staff, ICAA2 IP staff, CSO representatives and national, subnational and local government officials. While the method of undertaking the interviews was similar with both categories of respondents, additional protections were undertaken with program beneficiaries to ensure their consent and anonymity.

### **Informed Consent Process**

Informed consent was sought from all respondents, but additional protections were applied for community members and program beneficiaries. While informed consent is often demonstrated through a signed consent form in bio-medical research, recent studies have demonstrated that the act of signing a consent form may make respondents feel compelled to engage in the research and make it more difficult for respondents to withdraw once the research had started.<sup>238</sup> Therefore, the evaluation team did not request respondents to sign consent forms but requested verbal consent following an introductory statement that:

- explained the purpose of the research and its aims;
- identified USAID as the funder of the research;
- explained that participation in the research is voluntary and that the respondent can at any time refuse to answer specific questions or terminate the interview;
- explained the nature of the interview that will be conducted, stated its approximate length and summarized broadly what will be discussed; and
- addressed how the notes or recording from the interview will be stored and access restricted.

Where the respondent was acting as a key informant in their official role as representative of an organization, the researcher did not offer anonymity, but anonymity was provided if specifically requested. Where the respondent was acting in their personal capacity, such as informal community leader or a direct program beneficiary, the researcher expressly offered to the respondent that their identity can remain anonymous and confidential.

### **Recording Interviews**

Semi-structured interviews were recorded through notes taken in Spanish by the researcher.

### **Contact Summary Forms**

At the conclusion of each day, the evaluation team members drafted short summaries of all of the interviews conducted during the day.

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<sup>238</sup> Graham, J., Grewal, I. and Lewis, J. (2007) *Ethics in Social Research: the Views of Research Participants*, London: Government Social Research Unit, Cabinet Office.

## **Team Debrief**

The research team convened formally at several points during the evaluation to review the research instruments in light of the research undertaken to date and to revise them where necessary. The purpose of the debriefing was to:

- update each other on progress with data collection;
- discuss key findings from data collection so far, including differences and similarities; and
- discuss any problems/changes with the topic guides.

The first debrief took place at the conclusion of the first week of research prior to the initiation of community-level research. The second debrief took place at the conclusion of the second week of research following one week of community-level research. A final debrief took place at the beginning of the fifth week of research at the initiation of research in Quito, Ecuador.

## **Group Interviews with Program Beneficiaries**

### **Purpose**

The evaluation team undertook group interviews with community beneficiaries as a primary form of data collection. Group interviews allowed the evaluation team to generate data shaped by community interactions, to display the social context – how people talk about an issue – and to discuss differences within the group.

### **Participants**

The group interviews were intended to be undertaken with a random sample of community program beneficiaries identified through training participation lists and whose participation would be arranged through consultation with and the assistance of the IPs. The sample of participants selected for the group interviews was stratified according to key characteristics including gender, to ensure broad representation from key groups of stakeholders. Unfortunately, in no case was it possible to speak to the random selection of persons that were requested, and the research teams instead spoke to community members willing and available to speak to them upon arriving in the community.

### **Informed Consent Process**

Informed consent was sought from all participants verbally following an introductory statement that:

- explained the purpose of the research and its aims;
- identified USAID as the funder of the research;
- explained that participation in the research is voluntary and that the respondent can at any time refuse to answer specific questions or terminate their participation in the interview;
- explained how the group interview will be conducted, stating its approximate length and summarizing broadly what will be discussed;
- addressed how the notes or recording from the interview will be stored and access restricted; and
- confirmed that anything stated during the interview will be confidential and that the anonymity with respect to anything stated during the interview will be maintained.

### **Conducting the Group Interviews**

One researcher acted as group moderator, while the second researcher acted as the assistant moderator. Participants were instructed that the discussion is informal, everyone is expected to participate and divergent views are welcome. A group interview discussion guide was prepared in

advance, covering the topics and issues to be discussed, but was general and brief in nature to ensure that time and flexibility were maintained to pursue unanticipated but relevant issues.

The primary role of the assistant moderator was to take extensive written notes reflecting the content of the discussion as well as nonverbal behavior (facial expressions, hand movements, etc.).

### **Team Debrief**

At the conclusion of each group interview, the team that conducted the interview met to summarize the information, their impressions, and implications of the information for the study. The full evaluation team met on the same schedule noted above to review and revise the discussion guide as required.

## **Most Significant Change Stories**

### **Purpose**

The evaluation team collected Most Significant Change stories from a small sample of community leaders and community program beneficiaries. Most Significant Change stories provide a good opportunity to obtain a rich picture of what is happening with respect to the respondent and the community, and provide a good means of identifying unexpected changes.

### **Participants**

Most Significant Change stories were collected from a small sample of community leaders and program beneficiaries – approximately 25 stories in all. The stories were collected at the conclusion of in-depth interviews, and informed consent had already have been established at that point.

### **Recording the Stories**

The Most Significant Change stories were recorded using digital voice recorders and transcribed for analysis and inclusion of a sample in the report.

Unfortunately, despite collecting over twenty Most Significant Change narratives, there was little additional information obtained in this approach that warranted new findings. As such, the narratives were primarily used to establish convergence with other data sources.



# ANNEX F: RESEARCH INSTRUMENTS

## Modular Topic Guide: Interviews with Implementing Partners

### I. Introduction

- Introduction to the researcher
- Description of the aims and objectives of the evaluation
  - Learning focus of the evaluation
  - Importance of Results Chains
- Explain confidentiality and anonymity
- Explain recording, length and nature of discussion, and data storage
- Check whether respondents have any questions.

### II. Background

- Purpose and background of the organization
  - Size and geographical reach
  - Main areas of activity
- Experience working in the target area
- Role of respondent
- Roles of consortium partners

### III. Integrity and Strategic Focus of the Program

- Design of ICAA II Initiative
  - To what extent was the problem clearly identified and articulated?
  - To what extent of have ICAA II objectives been clearly identified and articulated?
  - Was target population clearly identified?
  - Are the ICAA II components well suited to achieving objectives?
  - Were the selection of territories and sites for the implementation of project consistent with overall objectives?
  - To what extent have activities associated with different results chains been integrated or coordinated? For the program as a whole? Within each region?
  - What changes would you propose to ICAA II components and activities to make it more effective?
- Coordination with other partners
  - Familiarity with the work of other ICAA II consortia
  - Extent of cooperation with other ICAA II partners in the same country
    - Benefits
    - Challenges
  - Extent of cooperation with other ICAA II partners in other countries
    - Benefits
    - Challenges
  - Has work with different levels of governments been influential with other levels of government?

### IV. Institutional Structures

- Management of the Program by USAID
  - Clarity of organization
  - Reporting Requirements

- Implementation Support
- ICAA II program structure
  - Clarity of organization
  - Communication within ICAA II
  - Role of ISU
    - Benefits
    - Challenges
    - Specific Examples
  - Role of Technical Support Partners
    - Benefits
    - Challenges
    - Specific Examples
- Consortia Management Structures
  - Role of Consortium Lead
  - Clarity of consortium roles and responsibilities
  - Capacity building within the organization
    - Strategic Direction of the Consortium [Request specific examples]
    - Oversight
    - Communication and frequency of meetings
    - Influence (do junior partners have influence over the strategic direction of the consortium)?
    - Benefits
    - Challenges

## **V. Sustainable Livelihoods Results Chain**

- Activities of the consortium to promote SLPs
  - What SLPs are promoted?
  - What activities (e.g., training) undertaken to promote SLPs?
- Key challenges
- Adoption of SLPs (for each activity, probe)
  - Level of adoption of SLPs by communities
  - Key factors that make adoption more likely
  - Key factors that make adoption less likely
  - How do you measure adoption?
- Benefits to the community from adopting SLPs
  - Environmental benefits
  - Economic benefits
  - Social Benefits
  - Have these been realized yet? Evidence?

## **VI. Economic Incentives Results Chain**

- Groundwork required for a successful economic incentive program for conservation
  - Political/ legal – national, subnational, local?
  - Social – national, subnational, local?
  - Economic – national, subnational, local?
  - Environmental – national, subnational, local?
- Activities of the consortium to promote a successful economic incentive program for conservation

- Dialogues?
- Proposals?
- Stakeholder mobilization?
- Technical Advice?
- Other?
- Progress for setting the groundwork for economic incentives
  - Generally
  - As a result of the consortium's contributions – Monitored/Evidence?

## **VII. Landscape Management Planning Results Chain**

- Elements of an ideal LMP process
  - Participation?
  - Dialogue?
  - Decision-making/ Training?
  - Information?
- Partnership working
  - Does consortium form partnerships on LMP with external organizations?
  - Why? Objective of these partnerships?
- Consortium activities designed to improve...
  - LMP by governments
  - LMP by civil society
- Key challenges
- Progress towards better LMP
  - Generally
  - As a result of the consortium's contributions – Monitored/Evidence?
  - Stemming from building partnerships – Monitored/Evidence?

## **VIII. Indigenous Territories Results Chain**

- Consortium activities to promote indigenous territory consolidation (e.g., through land titling, internal guard systems, etc.)
- Key challenges to territorial consolidation
- Progress toward better protected indigenous territories
  - Generally
  - As a result of the consortium's contributions – Monitored/Evidence?

## **IX. Conservation Units Results Chain**

- What are the key threats to biodiversity in the protected areas?
- Consortium activities to address these key threats in protected areas?
  - Generally
  - Specifically through improving management practices of protected areas
- Key challenges
- Progress towards improving management practices (if applicable)
- Progress toward addressing key threats to biodiversity
  - Generally
  - Through consortium activities

## **X. Information Products**

- Information products created by the consortium
  - Proposals?
  - Technical studies and research?
  - Briefing papers?
  - Blogs, video, social media?
- Influence of products
  - Most influential products? Why?
  - Progress in moving the agenda/ framing the debate? Evidence?
- Information products by other ICAA2 consortia
  - Awareness of other ICAA 2 Information Products
  - Use or reliance on these products

## **XI. Conclusion**

- Thank the respondent for their time. Tell the respondent they are welcome to contact you to ask questions at a later date if they wish.

DRAFT

## Modular Topic Guide: Interviews with USAID Staff

### I. Introduction

- Introduction to the researcher
- Description of the aims and objectives of the evaluation
  - Learning focus of the evaluation
  - Importance of Results Chains, products and changes
  - Identify additional evidence on the evaluation questions
- Explain confidentiality and anonymity
- Check whether respondents have any questions.

### I. Background

- Role of the member of the staff in the design, implementation and reporting of the project
  - Which of the components has the member of the staff been involved with?
  - For how long has the member of the staff been involved with the project?

### II. Integrity and Strategic Focus of the Program

- Regarding the three main partners groups
  - Project Design Problem, design and implementation
  - To what extent the problem was clearly identified?
  - To what extent the objective was clearly identified?
  - Do you think that the target population was clearly identified?
  - Do you think that the components of the project can achieve the final objective?
  - To what extent the selection of the territories and sites for the implementation of the project is consistent with the objectives of the project?
  - To what extent have the activities associated with the different result chains are integrated and coordinated in the territory? (i.e. SLP, EI, LMP, etc.)
  - Given the lessons learned during the implementation of the Project, what changes would you propose to components and activities of the ICAA project?
- Regarding other partners
  - Cooperation and information sharing with ICAA 2 partners?
  - Extent of cooperation with other in-country ICAA2 partners
    - Benefits?
    - Challenges?
  - Extent of cooperation with ICAA2 partners in other countries
    - Benefits?
    - Challenges?
  - ICAA2 influence and activities with one level of government (e.g., municipal) influence change at other levels of government (e.g., regional or national)

### III. Institutional structure

- What are the main advantages and disadvantages of the institutional structure to implement ICAA2?
  - What are the main advantages and disadvantages of implementing the project at a regional level?
  - Can you give specific examples?
- Have the consortia shared experiences and knowledge at the national level?
- Have the consortia shared experiences and knowledge at the regional level (Ecuador-Peru-Colombia)?
- How the ICAA Support Unit has given assistance to the Implementing partners?

- Can you give specific examples?
- How the Technical Support Partners have given assistance to the Implementing partners?
  - Can you give specific examples?
- Given the lessons learned during the implementation of the Project, what changes would you propose to the institutional structure to implement this project?

#### **IV. Sustainable Livelihoods Results Chain**

- Most important impacts (changes) at the community level
- Most important impacts at the institutional level (legal framework, institutional arrangements, human capital and knowledge)
- Most important activities that have produced those impacts
- Key challenges
  - Prime example of the success
  - Best example of the difficulties

#### **V. Economic Incentives Results Chain**

- Most important impacts (changes)
  - At the community level
  - At the institutional level
- Most important activities
  - Dialogues, participation?
  - Proposals?
  - Stakeholder mobilization?
  - Technical Advice, information?
  - Other?
- Key challenges
  - Political/ legal – national, subnational, local?
  - Social – national, subnational, local?
  - Economic – national, subnational, local?
  - Environmental – national, subnational, local?
    - Prime example of the success
    - Best example of the difficulties

#### **VI. Landscape Management Planning Results Chain**

- Most important impacts (changes)
  - At the community level
  - At the institutional level
- Most important activities
  - Dialogues, participation?
  - Proposals?
  - Stakeholder mobilization?
  - Technical Advice, information?
  - Other?
- Key challenges
  - Political/ legal – national, subnational, local?
  - Social – national, subnational, local?
  - Economic – national, subnational, local?

- Environmental – national, subnational, local?
  - Prime example of the success
  - Best example of the difficulties

#### **VII. Indigenous Territories Results Chain**

- Most important impacts (changes)
  - At the community level
  - At the institutional level
- Most important activities
- Key challenges
  - Prime example of the success
  - Best example of the difficulties

#### **VIII. Conservation Units Results Chain**

- Most important impacts (changes)
  - At the community level
  - At the institutional level
- Most important activities
- Key challenges
  - Prime example of the success
  - Best example of the difficulties

#### **IX. Information Products**

- Most important impacts (changes)
  - At the community level
  - At the institutional level
- Most important Information products
  - Proposals?
  - Technical studies and research?
  - Briefing papers?
  - Blogs, video, social media?
- Key challenges
  - Prime example of the success (i.e Most influential products)
  - Best example of difficulties

#### **X. Conclusion**

- Key informants and information sources
- Thank the respondent for their time.

## Modular Topic Guide: Interviews with Government Stakeholders

This Topic Guide is modular in nature. It is unlikely that any key informant will be able to address all of the topics listed. Therefore, topic categories IV, V, VI, VII and VIII should be incorporated as needed and appropriate based upon the responses relating to topics II and III.

### I. Introduction

- Introduction to the researcher
- Description of the objectives of the discussion
  - Gather information about the work of the department, including its mandate and objectives
  - Understand better the challenges the department faces in undertaking its work
  - Understand better the interactions between the department and the ICAA2 program and partners
- Is the respondent aware of or familiar with the ICAA 2 program? (If not, provide a short description)
- Explain recording, length and nature of discussion
- Explain confidentiality and anonymity
- Check whether respondents have any questions.

### II. Background

- Role and responsibilities of informant
- What is the mandate of the department? What are its overall objectives?
- Structure of the government department
  - To whom does the department report?
  - What are the key day to day responsibilities of the department?
  - Can the respondent describe the structure and size of the department?
- Relationships with other relevant government departments (including other levels of government – i.e., national, subnational, municipal)

### III. Relationship to ICAA2 program and partners

- Is the informant familiar with the ICAA 2 implementing partners and has the department worked or consulted with any of these partners on conservation issues? If so, which partners?
- If the department has worked or consulted with these partners, how has this taken place? E.g., policy discussions, trainings, workshops, information flows, etc.

### IV. Role of Department in Promoting Sustainable Livelihood Practices (if appropriate)

- EXPLANATORY STATEMENT: One of the key areas of focus for the ICAA2 program is to promote landholder or communal productive practices that are environmentally sustainable, such as in areas like logging, beekeeping, fishing, etc.
- Does this department work on these issues, and if so, how? (Possible prompts below, but if “No” SKIP to IV(e))
  - Formulating policy and regulations?
  - Enforcing policy and regulations?
  - Research?
  - Educating the public?
- Are any of the ICAA2 partners involved with the department on these issues? If yes, how? (If “No”, SKIP to IV.e)
- Where ICAA2 partners have been involved in these issues with your department, what has been the result? (Possible prompts below)



- Have their activities influenced the work of your department? How?
- Have ICAA 2 partners conducted research or produced policy briefs that you have used? [sub-optimal question – try to tease this out more indirectly if possible]
- What has been achieved?
- Does this department work on issues related to mining and resource extraction? (Possible prompts below, but if “No” SKIP to V)
  - Formulating policy and regulations?
  - Enforcing policy and regulations?
  - Monitoring and testing?
  - Research?
  - Educating the public?
- Are any of the ICAA2 partners involved with the department on these issues? If yes, how? (If “No”, SKIP to V)
- Where ICAA2 partners have been involved in these issues with your department, what has been the result? (Possible prompts below)
  - Have their activities influenced the work of your department? How?
  - What has been achieved?

#### **V. Role of the Department in Economic Incentives**

- EXPLANATORY STATEMENT: One of the key areas of focus for the ICAA2 program is to promote governments to establish incentives for environmental services and conservation – initiatives such as REDD (“reducing emissions from deforestation and degradation”).
- Does this department work on these issues, and if so, how? (Possible prompts below, but if “No” SKIP to VI)
  - Formulating policy and regulations?
  - Enforcing policy and regulations?
  - Research?
  - Educating the public?
- What are the key obstacles to putting in place these economic incentive programs? (Possible prompts below)
  - Political obstacles that have to be overcome
  - Legal obstacles that have to be overcome
  - Economic obstacles that have to be overcome
  - Social/cultural issues that have to be addressed
- Are any of the ICAA2 partners involved with the department on these issues? If yes, how? (If “No”, SKIP to VI)
- Where ICAA2 partners have been involved in these issues with your department, what has been the result? (Possible prompts below)
  - Have their activities influenced the work of your department? How?
  - Have ICAA 2 partners conducted research or produced policy briefs that you have used? [sub-optimal question – try to tease this out more indirectly if possible]
  - What has been achieved?

#### **VI. Role of Department in natural resource management planning at the landscape, provincial, and/or municipal levels**

- EXPLANATORY STATEMENT: Another area of focus for ICAA2 program is to support government and civil society stakeholders to develop better natural resource management plans at the landscape, provincial and municipal levels.

- Does this department work on these issues, and if so, how? (Possible prompts below, but if “No” SKIP to VII)
  - Developing management plans?
  - Enforcing management plans?
  - Bringing together key stakeholders?
  - Research into management practices?
  - Educating and engaging the public?
- Are any of the ICAA2 partners involved with the department on these issues? If yes, how? (If “No”, SKIP to VII)
- Where ICAA2 partners have been involved in these issues with your department, what has been the result? (Possible prompts below)
  - Have their activities influenced the work of your department? How?
  - Have ICAA 2 partners conducted research or produced policy briefs that you have used? [sub-optimal question – try to tease this out more indirectly if possible]
  - What has been achieved?

### **VII. Role of Department in Management of Indigenous Territories**

- Does this department work on issues relating to the management of indigenous territories, and if so, how? (Possible prompts below, but if “No” SKIP to VIII)
  - Developing policies and regulations to protect indigenous territories and communities?
  - Developing policies and regulations to promote co-management or self-governance of protected areas?
  - Enforcing regulations to protect indigenous territories and communities?
  - Public education?
- Are any of the ICAA2 partners involved with the department on these issues? If yes, how? (If “No”, SKIP to VIII)
- Where ICAA2 partners have been involved in these issues with your department, what has been the result? (Possible prompts below)
  - Have their activities influenced the work of your department? How?
  - Have their activities brought together key stakeholders( including representatives from indigenous groups)? How?
  - Have ICAA 2 partners conducted research or produced policy briefs that you have used? [sub-optimal question – try to tease this out more indirectly if possible]
  - What has been achieved?

### **VIII. Role of Department in Management of Protected Areas**

- Does this department work on issues relating to the management of protected areas, and if so, how? (Possible prompts below, but if “No” SKIP to IX) (Where respondent notes explicitly or implicitly threats to protected areas, ask for elaboration)
  - Developing policies and regulations for protected areas?
  - Enforcing regulations for protected areas?
  - Public education?
- Are any of the ICAA2 partners involved with the department on these issues? If yes, how? (If “No”, SKIP to IX)
- Where ICAA2 partners have been involved in these issues with your department, what has been the result? (Possible prompts below)
  - Have their activities influenced the work of your department? How?
  - Have their activities brought together key stakeholders ( including representatives from indigenous groups)? How?

- Have ICAA 2 partners conducted research or produced policy briefs that you have used? [sub-optimal question – try to tease this out more indirectly if possible]
- What has been achieved?

**IX. Knowledge Generation – Cross Cutting Questions**

- Awareness of Information Products
  - Awareness of other ICAA 2 Information Products
  - Use or reliance on these products
- Influence of products
  - Most influential products? Why? How?
  - Progress in moving the agenda/ framing the debate? Influence Legislation and regulations? Evidence?

**X. Conclusion**

- Thank the respondent for their time.
- Tell the respondent they are welcome to contact you to ask questions at a later date if they wish.
- Ask permission of the respondent to use their name in the report.

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## Modular Topic Guide: Interviews with Community Leaders

### I. Introduction

- Introduction to the researcher
- Description of the objectives of the discussion
  - Gather information about the community and its members, including how they make their livings.
  - Understand better the interactions between the community and the ICAA2 partner(s)
- Explain confidentiality and anonymity and obtain informed consent
- Explain recording, length and nature of discussion, and data storage
- Check whether respondents have any questions.

### II. Background

- Role and responsibilities of respondent
- What is the size of the community?
- What are the main challenges facing the community right now?
  - Economic
  - Environmental
  - Political
  - Social
  - Basic Infrastructure
- Is migration an issue in your community?
- How does the community make decisions about its welfare?
- Are there any other important projects or activities in the community?

### III. ICAA 2 Partner Activities

- Can you tell us how you and your community came to participate in the project? (suggested prompts below)
  - Which actors have had contact with you or your community during the implementation of the ICAA2 project?
  - How did you and you community learn about the ICAA2 project?
  - For how long have you and your community been participating in the project?
  - Have you or your community participated in the diagnostic, design and follow-up of the ICAA2 project? How?
  - Have you or your community participated in the selection of the sites of the project? How?
  - How fair are the rules or requisites for participating in the project?
  - Do women participate at different levels of the implementation structure?
  - How flexible have the project been to adjust to the needs and characteristics of the community?
  - Does the project inform about, activities, results and future actions? How well informed you and your community are about the activities and results of the project?
- Can you tell us about the work that the ICAA2 partner has undertaken in this community? (Suggested prompts below)
  - Nature of the activities (e.g., training, workshops, investment, etc.)
  - How do you grade the quality of those activities?
  - Objectives of these activities (e.g., promoting beekeeping, establishing community agreement on conversation issues, mobilizing community around planning participation, etc.)
  - What are the advantages or disadvantages of participating in the project?
  - What is the most valued product/service offered by the project?
  - What is the most important benefit derived from those products and services?

- Level of presence – How and how often does the ICAA partner engage with the community e.g., permanently resident in the community, bi-weekly visits, etc.), are there regular meetings, how involved is the community and how much influence they have in the planning and evaluation of the activities?
- How important are the activities of the project?
- How relevant for the community are the sites selected by the project?

#### **IV. Livelihoods**

- How do members of the community primarily make their living?
- What are the challenges that they face?
- Can you tell us about the activities the ICAA2 partner has undertaken in this community to change the ways that people make their living?
  - Which productive practices (e.g., beekeeping, growing cocoa, forestry) have they promoted?
  - How have they promoted these practices?
  - To what extent have indigenous practices or knowledge been incorporated into the productive practices?
- How have community members reacted to what the ICAA partner has tried to do?
  - Have they been welcoming of the ICAA partner? Indifferent? Suspicious? Accepting? Resistant?
  - Of the people that have engaged with the ICAA2 partner or attended trainings by the ICAA2 partners, what proportion have adopted the practices that have been promoted? (Comparative Question – please try to use the categories outline below).
  - All, Most, Some, Few, None.
  - Where people have adopted the practices, why do you think that is?
  - Where people haven't adopted the practices, why do you think that is?
- Where people have adopted the practices that the ICAA2 partner has promoted, what has changed in their lives or in the community as a result? (Ask if appropriate – possible prompts below)
  - Economic changes (e.g., income, resistance to shocks)
  - Environmental changes (e.g., fewer trees being cut)
  - Social changes (e.g., people working together more in the community)
- Do you think that the practices adopted are going to be maintained in the future?
- Do you think that additional community members are going to implement these practices in the next two years?

#### **V. Natural resource management planning at the landscape, provincial, and/or municipal levels**

- Can you tell us about the activities the ICAA2 partner has undertaken in this community to improve natural resource management planning or the ways in which these plans are developed?
  - Trainings (including on rights and the legal framework)
  - Facilitating workshops with other key stakeholders
  - Mobilization and advocacy
- How has the community reacted to what the ICAA partner has tried to do?
  - Has the community been welcoming of these efforts? Indifferent? Suspicious?
- Has landscape management planning improved over the last two years? How and Why?
- To what extent do you think that landscape management or NRM plans now reflect the concerns and views of your community?
- Over the last two years, do you feel that:
  - Your views have been considered more than they were previously?
  - Your views have been considered less than they were previously?

- There hasn't been a change.
- Why do you think that is?
- Do you think that the improvements reached over the last two years are going to last? And do think that additional improvements are going to be implemented in the next two years?

#### **VI. Indigenous Peoples Territorial Consolidation**

- Can you tell us about the activities the ICAA2 partner has undertaken in or with your community to support the participation of your community in the management of communal and indigenous lands?
  - Trainings (including on rights and the legal framework)
  - Facilitating workshops with other key stakeholders
  - Mobilization and advocacy
- How has the community reacted to what the ICAA partner has tried to do?
- What specific changes this activities have generated?
  - Have there been any changes in the community or the way that the community relates to other communities and government related to the activities of the ICAA partner?
  - Have there been changes on titling?
  - Have there been changes in defining "planes de vida"?
- Do you think that the improvements reached over the last two years are going to last? And do think that additional improvements are going to be implemented in the next two years?

#### **VII. Management of protected areas**

- Can you tell us about the activities the ICAA2 partner has undertaken in this community to improve the management of protected areas and the role of your community in management practices?
  - Trainings (including on rights and the legal framework)
  - Facilitating workshops with other key stakeholders
  - Mobilization and advocacy
- Has landscape management planning improved over the last two years? How and Why?
- To what extent do you think that landscape management or NRM plans now reflect the concerns and views of your community?
- Over the last two years, do you feel that:
  - Your views have been considered more than they were previously?
  - Your views have been considered less than they were previously?
  - There hasn't been a change.
- Why do you think that is?
- Do you think that the improvements reached over the last two years are going to last? And do you think that additional improvements are going to be implemented in the next two years?

#### **VIII. Recommendation**

- Can you suggest ways to improve the performance of the project? How can the ICAA partner make the participation of the in the project easier for you and you community?
- Could you suggest ways to make the results or improvements sustainable?
- Could you suggest ways in which the project can make the diffusion of the practices more effective?

#### **IX. Conclusion**

- Thank the respondent for their time.
- Tell the respondent they are welcome to contact you to ask questions at a later date if they wish.
- Ask permission of the respondent to use their name in the report.

## Modular Topic Guide: Interviews with Community Beneficiaries

### I. Introduction

- Introduction to the researcher
- Description of the objectives of the discussion
  - Gather information about its socioeconomic environment.
  - Understand better the interactions between the beneficiaries and the ICAA2 partner(s)
- Explain confidentiality and anonymity.
- Explain recording, length and nature of discussion, and data storage
- Check whether respondents have any questions.

### II. Background

- Socioeconomic Profile of the beneficiary
  - Landless worker, small land owner
    1. If applies, size of the land
    2. Do you have title?
    3. What are the main crops you produce?
    4. Proportion of the total area involved in the ICAA project
    5. How many people in your household?
    6. How many people working outside the household?
  - How do you primarily make their living?
- What are the main challenges facing you right now?
  - Economic
  - Environmental
  - Political
  - Social
  - Basic Infrastructure
- How long have you been living in this community?
- Are you a member of a civil society organization or cooperative? Do you participate in community meetings?
- Are there any other important projects or activities in your community?

### III. ICAA 2 Partner Activities

- Can you tell us how you came to participate in the project? (suggested prompts below)
  - Which actors have had contact with you during the implementation of the ICAA2 project?
  - How did you learn about the ICAA2 project?
  - For how long have you been participating in the project?
  - Have you participated in the diagnostic, design and follow-up of the ICAA2 project? How?
  - Have you participated in the selection of the sites of the project?
  - How fair are the rules and requisites for participating in the project?
  - Do women and men participate equally at different levels of the implementation structure of the project?
  - How flexible have the project been to adjust to your needs?
  - Does the project inform about, activities, results and future actions? How well informed are you about the activities and results of the project?
- Can you tell us about the work that the ICAA2 partner has undertaken in this community? (Suggested prompts below)
  - Nature of the activities (e.g., training, workshops, investment, etc.)

- How do you grade the quality of those activities?
- Objectives of these activities (e.g., promoting beekeeping, establishing community agreement on conversation issues, mobilizing community around planning participation, etc.)
- What are the advantages or disadvantages of participating in the project?
- What is the most valued product/service offered by the project?
- What is the most important benefit derived from those products and services?
- Level of presence – How and how often does the ICAA partner engage with the community e.g., permanently resident in the community, bi-weekly visits, etc.), are there regular meetings, how involved is the community and how much influence they have in the planning and evaluation of the activities?
- How important are the activities of the project?
- How relevant are the sites selected by the project?

#### **IV. Livelihoods**

- Can you tell us about the activities the ICAA2 partner has undertaken with you?
  - Which productive practices (e.g., beekeeping, growing cocoa, forestry) have they promoted?
  - How have they promoted these practices?
  - To what extent the productive practices promoted by the project are compatible with your traditional practices? How hard or easy has been to incorporate the new practices into your production system?
- What are the main advantages and benefits of the productive practices promoted by the ICAA2 project?
- What are the main disadvantages and costs of the productive practices promoted by the ICAA2 project?
  - Have they been welcoming of the ICAA partner? Indifferent? Suspicious? Accepting? Resistant?
  - Of the people that have engaged with the ICAA2 partner or attended trainings by the ICAA2 partners, what proportion have adopted the practices that have been promoted? (Comparative Question – please try to use the categories outline below).
    - I. All, Most, Some, Few, None.
    - Where people have adopted the practices, why do you think that is?
    - Where people haven't adopted the practices, why do you think that is?
- Where people have adopted the practices that the ICAA2 partner has promoted, what has changed in their lives or in the community as a result? (Ask if appropriate – possible prompts below)
  - Economic changes (e.g., income, resistance to shocks)
  - Environmental changes (e.g., fewer trees being cut)
  - Social changes (e.g., people working together more in the community)

#### **V. Natural resource management planning at the landscape, provincial, and/or municipal levels**

- Can you tell us about the activities the ICAA2 partner has undertaken in this community to improve natural resource management planning or the ways in which these plans are developed?
  - Trainings (including on rights and the legal framework)
  - Facilitating workshops with other key stakeholders
  - Mobilization and advocacy
- How has the community reacted to what the ICAA partner has tried to do?
  - Has the community been welcoming of these efforts? Indifferent? Suspicious?
- Has landscape management planning improved over the last two years? How and Why?
- To what extent do you think that landscape management or NRM plans now reflect the concerns and views of your community?
- Over the last two years, do you feel that:
  - Your views have been considered more than they were previously?



- Your views have been considered less than they were previously?
- There hasn't been a change.
- Why do you think that is?
- Are you planning in maintaining the productive practices adopted in the following years?
- Are you planning on extending the practices to new areas in the following years?

#### VI. **Indigenous Peoples Territorial Consolidation**

- Can you tell us about the activities the ICAA2 partner has undertaken in or with you to support the participation of your community in the management of communal and indigenous lands?
  - Trainings (including on rights and the legal framework)
  - Facilitating workshops with other key stakeholders
  - Mobilization and advocacy
- What do you think about what the ICAA partner has tried to do?
- What specific changes this activities have generated?
  - Have there been any changes in the community or the way that the community relates to other communities and government related to the activities of the ICAA partner?
  - Have there been changes on titling?
  - Have there been changes in defining "planes de vida"?
- Do you think that the improvements reached over the last two years are going to last? And do think that additional improvements are going to be implemented in the next two years?

#### VII. **Management of protected areas**

- Can you tell us about the activities the ICAA2 partner has undertaken in this community to improve the management of protected areas and the role of your community in management practices?
  - Trainings (including on rights and the legal framework)
  - Facilitating workshops with other key stakeholders
  - Mobilization and advocacy
- Has landscape management planning improved over the last two years? How and Why?
- To what extent do you think that landscape management or NRM plans now reflect the concerns and views of your community?
- Over the last two years, do you feel that:
  - Your views have been considered more than they were previously?
  - Your views have been considered less than they were previously?
  - There hasn't been a change.
- Why do you think that is?
- Do you think that the improvements reached over the last two years are going to last? And do you think that additional improvements are going to be implemented in the next two years?

#### VIII. **Recommendation**

- Can you suggest ways to improve the performance of the project? How can the ICAA partner make the participation of the in the project easier for you and you community?
- Could your suggest ways to make the results or improvements sustainable?
- Could you suggest ways in which the project can make the diffusion of the practices more effective?

#### IX. **Conclusion**

- Thank the respondent for their time.
- Tell the respondent they are welcome to contact you to ask questions at a later date if they wish.

- Ask permission of the respondent to use their name in the report.

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## ICAA2 Implementing Partners Interrogatory Sheet

### Sustainable Livelihoods (Medios de Vida) Results Chain

- In discussions with the evaluation team, xxxx identified several sustainable livelihood practices that your consortium promotes with key stakeholders (e.g., A, B, and C). Could you please describe in a little more detail how your consortium believes the adoption of these practices may (if applicable):
  - achieve environmental and conservation outcomes (positive or negative) for the beneficiary communities and the ecosystem at large;
  - achieve economic outcomes (positive or negative) for beneficiary communities, community members or the larger population; and/or
  - achieve social or cultural change (positive or negative) within the beneficiary communities or the larger population.
- Have there been any effects from your work promoting sustainable livelihood practices that were unanticipated or surprising?

### Economic Incentives (Incentivos económicos) Results Chain

- One of the objectives of the Economic Incentives Results Chain is to support the design and implementation of economic incentive programs for conservation. Based upon the experience of your consortium, can you describe the key conditions or factors that will contribute to the development and implementation of these programs? Specifically:
  - Are there political and legal factors/conditions that must be taken into consideration in order to successfully develop and implement these programs?
  - Are there economic factors/conditions that must be taken into consideration in order to successfully develop and implement these programs?
  - Are there social and cultural factors/conditions that must be taken into consideration in order to successfully develop and implement these programs?
  - Are there environmental factors/conditions that must be taken into consideration in order to successfully develop and implement these programs?

### Resource Planning (Planificación) Results Chain (Relating to landscape management planning, municipal planning, provincial planning, etc.)

- Does your consortium form partnerships with external organizations (government, civil society, community, etc.) to promote better landscape, municipal and provincial planning? If so, what are your key partners?
- Have you found partnership working to be an effective way to address these issues? If so, how? If not, why not?

## ICAA2 Implementing Partner Pre-Evaluation Questionnaire

### Interviewer Comments

Name	
Title	
Organization	
Email address	
Phone contact	
Evaluation Team Members	
Consultation Date	

### Other Information Provided Not Applicable to Interview Fields

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### Project Synopsis (from Quarterly Reports)

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Dear ICAA II Partner,

The evaluation team thanks you for participating in the initial consultations for the ICAA II mid-term evaluation. We appreciate the time that you have taken out of your busy schedule to provide us with information about the nature of your work and the evaluation team looks forward to discussing your work in the Andean Amazon in more detail in the upcoming months.

The evaluation team has drafted below a summary of the matters discussed during the first consultation. The summary is structured to reflect the various Results Chains about which we have previously corresponded and the consultation itself. We would appreciate it if you would please review this summary and notify us of any corrections or clarifications you deem appropriate Friday, August 1.

If you have any questions or concerns, please do not hesitate to contact \_\_\_\_\_.

### Sustainable Livelihoods Results Chain (Annex I)

1. How does your organization define the term “sustainable livelihood practices?”

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2. Does your organization use the term “sustainable livelihood practices?”

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3. Examples of sustainable livelihood practices (SLPs) that are promoted by your organization and the locations where you work to promote these.

	Sustainable Livelihood Practices Promoted	Locations in which you pursue these activities
1.	•	
2.		
3.	•	

4. Does your organization use the term “taken up” or “uptake”?

--

5. How does your organization monitor the adoption of sustainable livelihood practices?

--

6. Please inform us about your activities corresponding to the strategies within the Sustainable Livelihoods Results Chain?

Strategy from the Results Framework	Activities you are undertaking under this strategy	Locations in which you pursue these activities
Improvement of public policies for the promotion of sustainable management		
Strengthening of technical capacity and organization of producer groups and civil society		
Promote better practices for the management of		

Strategy from the Results Framework	Activities you are undertaking under this strategy	Locations in which you pursue these activities
natural resources		
Facilitate access to programs and financing sources		
Development of production chains		
Facilitate access to differentiated markets		

7. Do you monitor the activities under this results chain and do you have available monitoring data that you can share with the evaluation team?

### **Economic Incentives/ Payment for Environmental Services Results Chain (Annex I)**

1. Please inform us about your activities corresponding to the strategies within the Economic Incentives/ Payment for Environmental Services Results Chain?

Strategy from the Results Framework	Activities you are undertaking under this strategy	Locations in which you pursue these activities
Technical and institutional strengthening for the implementation of mechanisms for economic incentives		
Valuation of ecosystemic services		
Improvement of generation and access to information		
PLARS for economic incentives		
Integration of ecosystemic services within planning stages		
Design and implementation of economic program incentives (PSA and others)		

2. Do you monitor the activities under this results chain and do you have available monitoring data that you can share with the evaluation team?

### **Resource Planning Results Chain (Annex I)**

1. How does your organization define the term “landscape management planning?”

2. Does your organization use the term “landscape management planning?”

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3. Examples of Landscape Management Practices that are promoted by your organization and the locations where you work to promote these.

	Landscape Management Practices Promoted	Locations in which you pursue these activities
I.		

4. Please inform us about your activities corresponding to the strategies within the Resource Planning Results Chain?

Strategy from the Results Framework	Activities you are undertaking under this strategy	Locations in which you pursue these activities
Climate Change Adaptation		
Promote Integrated landscape planning/ land use		
Strengthening and training of government and civil society planning and integrated land management		
Building partnerships between multiple stakeholders		
Awareness campaigns on the value of landscapes		
Adequacy of the regulatory framework and institutional management plans		

5. Do you monitor the activities under this results chain and do you have available monitoring data that you can share with the evaluation team?

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**Management of Indigenous Territories Results Chain (Annex I)**

1. How does your organization define the term “territorial consolidation?”

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2. Does your organization use the term “territorial consolidation?”

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3. Please inform us about your activities corresponding to the strategies within the Management of Indigenous Territories Results Chain?

Strategy from the Results Framework	Activities you are undertaking under this strategy	Locations in which you pursue these activities
Strengthening PIACI protection and contingency plans		
Strengthening of legal		

Strategy from the Results Framework	Activities you are undertaking under this strategy	Locations in which you pursue these activities
framework		
Awareness of the value of conserving indigenous lands		
Facilitate the effective participation of indigenous communities in territorial planning processes		

4. Do you monitor the activities under this results chain and do you have available monitoring data that you can share with the evaluation team?

### Conservation Units Results Chain (Annex I)

1. What specific threats to biodiversity are you attempting to address by improving management practices in conservation units?

2. Can you provide specific examples of management practices in conservation units that have been the focus of your program activities?

	Conservation Unit Management Practices Promoted	Locations in which you pursue these activities
1.		

3. Please inform us about your activities corresponding to the strategies within the Conservation Units Results Chain?

Strategy from the Results Framework	Activities you are undertaking under this strategy	Locations in which you pursue these activities
Institutional strengthening for the co-management of conservation units		
Participatory planning and management of conservation units		
Support for the establishment and design of conservation units		
Strengthening of Protected Area Systems through national, regional and local processes		
Strengthening control and oversight		

4. Do you monitor the activities under this results chain and do you have available monitoring data that you can share with the evaluation team?



**Fieldwork Related Questions**

1. Overall across the results chains on which you work what 2-3 locations would offer the evaluation team the best chance to understand the effectiveness of your consortia’s work and how far along the various results chains it has progressed? Why would you send them to each of these locations?

Most useful ICAA II sites to visit to understand “success” as far as it has progressed		Specific reason for this choice or what that the team should try to see and understand?
1.		
2.		
3.		

2. Overall across the results chains on which you work what 2-3 locations would offer the evaluation team the best chance to understand the problems/issues/difficulties in achieving success that your consortia has experienced under ICAA II? Why, specifically, would you send them to each of these locations?

Most useful ICAA II sites to visit to understand “challenges” of program delivery		Specific reason for this choice or what that the team should try to see and understand?
1.		
2.		
3.		

3. The evaluation team also hopes to visit your consortia office(s) and meet your consortia members either at your office or at their locations. It would be helpful if you could recommend program offices (head office and regional offices) that the evaluation team should visit to understand the scope and breadth of your program.

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4. Are “black out” dates in August and September when it would not be possible to meet with your team?

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## ANNEX G: FINDINGS RELATED TO SLP BY VISITED COMMUNITY

Community	Primary SLP promoted	Est. % of community members adopting	Reported/observed social benefit	Reported/observed environmental benefit	Reported/observed economic benefit	Observations
Chalwayacu (Napó, EC)	<i>Naranjilla</i> , Guayusa harvesting	50%	<ul style="list-style-type: none"> <li>- Increased community meetings to develop integrated management plan</li> </ul>	<ul style="list-style-type: none"> <li>- Cleaner production of <i>naranjilla</i> implies less environmental impact</li> </ul>	<ul style="list-style-type: none"> <li>- Community questions profitability of clean <i>naranjilla</i> as no market exists.</li> <li>- Economic benefits only from Guayusa</li> </ul>	<ul style="list-style-type: none"> <li>- Guayusa: contact with RUNA (certified buyer)</li> </ul>
Wamani (Napó, EC)	Timber, <i>Naranjilla</i>	<i>Naranjilla</i> : 25% (mostly women) Timber: 6 men	<ul style="list-style-type: none"> <li>- Clean <i>naranjilla</i> demanded mostly by woman: "clean &amp; healthy"</li> </ul>	<ul style="list-style-type: none"> <li>- Cleaner production of <i>naranjilla</i> implies less environmental impact</li> </ul>	<ul style="list-style-type: none"> <li>- None in <i>naranjilla</i>, the community is looking for a specialized market.</li> <li>- Timber (conventional market)</li> </ul>	<ul style="list-style-type: none"> <li>- <i>Naranjilla</i> still pilot level</li> </ul>
Dureno (Sucumbios, EC)	Cocoa, coffee, medicinal plants, fish farming, tourism, handicrafts	Cocoa less than 10%	<ul style="list-style-type: none"> <li>- One woman leads medicinal plants garden.</li> <li>- Women have group handicrafts, men fish ponds.</li> <li>- Additional activities (small animals) provide some additional food security</li> </ul>	<ul style="list-style-type: none"> <li>- No environmental reported or observed</li> </ul>	<ul style="list-style-type: none"> <li>- None</li> <li>- No sales for handicrafts in Lago Agrio</li> </ul>	<ul style="list-style-type: none"> <li>- All pilot activities</li> </ul>
Dovuno (Sucumbios, EC)	Cocoa, coffee, medicinal plants, fish farming	Not yet any adoption	<ul style="list-style-type: none"> <li>- Women group fish ponds</li> </ul>	<ul style="list-style-type: none"> <li>- No environmental reported or observed yet</li> </ul>	<ul style="list-style-type: none"> <li>- None</li> </ul>	<ul style="list-style-type: none"> <li>- All pilot activities</li> <li>- Poor cocoa and coffee crops due to disease</li> </ul>
Buenavista (Loreto, Peru)	Hunting-bushmeat	100%	<ul style="list-style-type: none"> <li>- Social organization strengthened</li> <li>- Women participate fully in surveillance activities</li> </ul>	<ul style="list-style-type: none"> <li>- Activity related to PA management plan</li> <li>- Wild population increase</li> </ul>	<ul style="list-style-type: none"> <li>- Economic benefits described as "low"; cannot sell in large quantities.</li> </ul>	<ul style="list-style-type: none"> <li>- Surveyal committee with government support (related to PA)</li> </ul>

Community	Primary SLP promoted	Est. % of community members adopting	Reported/observed social benefit	Reported/observed environmental benefit	Reported/observed economic benefit	Observations
El Chino (Loreto, Peru)	Paiche fishing, Peccary skins, handicrafts	Paiche: 100%	- Women participate fully in surveillance activities	- Activity related to PA management plan - Wild population increase	- Good additional income from paiche (Iquitos), peccary skins	- Surveyal committee with government support (related to PA) - Better infrastructure than other communities - Diversified economy with tourism, handicrafts and other agricultural products based on the families initiatives
Puerto Prado (Loreto, Peru)	Handicrafts	100%	- Good balance in handicraft SLP: men do woodcutting, women fibers and weaving. - Social organization strengthened	- Activity related to PA management plan	- Local sales to tourists. Some additional income	-
San Juan Yanayacu (Loreto, Peru)	Paiche fishing taricaya pets and eggs	Paiche: 14 members (25%)	- Women have developed specific artisan committee - Women involved in surveillance activities	- Activity related to PA management plan - Wild population increase	- Fishing and agriculture are primarily for consumption	- Surveyal committee with government support (related to PA)
San Pedro (Loreto, Peru)	Peccary skins	100%	- Only men	- Activity related to PA management plan - Wild population increase	- Peccary skins to EL Chino	- Surveyal committee with government support (related to PA)
Bélgica (Madre de Dios, Peru)	Timber, latex artesanias, tourism agriculture	Latex: 25%	- Diversified tasks men and women in value chain	- Forest management plan (for timber) in place which probably improved biodiversity in forest	- Latex gives income, but not enough to replace conventional agricultural activities	- Low compliance of community due to "fatigue" of ONG assistance. - Contract for Timber/ agriculture is "conventional" support

Community	Primary SLP promoted	Est. % of community members adopting	Reported/observed social benefit	Reported/observed environmental benefit	Reported/observed economic benefit	Observations
Boca Pariamanu (Madre de Dios, Peru)	Timber, brazil nut	90%	<ul style="list-style-type: none"> <li>- Community cohesion improved (“stronger bonds between families”)</li> <li>- Women active participants in training courses and participate in production activities (e.g., widow runs her own brazil nut plot).</li> <li>- To obtain brazil nut certification required community improvement (e.g., installation of toilets, painting houses) appreciated by members</li> </ul>	<ul style="list-style-type: none"> <li>- Forest management plan (for timber and brazil nuts) in place which probably improved biodiversity in forest</li> </ul>	<ul style="list-style-type: none"> <li>- No economic benefit yet for brazil nuts, but this is anticipated for 2015. To date community has not seen much difference between price of certified and uncertified brazil nuts.</li> <li>- Increase in sustainability arising from managed wood production anticipated in following years.</li> <li>- Conventional markets for timber currently</li> </ul>	<ul style="list-style-type: none"> <li>- Communal area make people have to participate (collectively)</li> </ul>
Infierno (Madre de Dios, Peru)	Timber, agriculture	Timber: less than 10%	<ul style="list-style-type: none"> <li>- Men lead timber, women agroforestry;</li> <li>- Better food security</li> <li>- Better community organization</li> </ul>	<ul style="list-style-type: none"> <li>- Forest management plan (for timber) in place which probably improved biodiversity in forest</li> </ul>	<ul style="list-style-type: none"> <li>- Timber from conventional market. Poor income from agriculture</li> </ul>	<ul style="list-style-type: none"> <li>- Timber from logs that are collected from river side.</li> <li>- Initial experience frustrated because of flooding.</li> </ul>
La Merced (Madre de Dios, Peru)	Cocoa	25%	<ul style="list-style-type: none"> <li>- No evidence of social benefits</li> </ul>	<ul style="list-style-type: none"> <li>- No forest associated</li> </ul>	<ul style="list-style-type: none"> <li>- None yet</li> <li>- Farmers express concern about market for product.</li> </ul>	<ul style="list-style-type: none"> <li>- Just initiated: planted in 2013 but not in 2014 due to difficulties preparing land.</li> </ul>
La Novia (Madre de Dios, Peru)	Cocoa	50%	<ul style="list-style-type: none"> <li>- Poor gender balance</li> </ul>	<ul style="list-style-type: none"> <li>- Attempts to plant cocoa in 2013 and 2014 have been largely unsuccessful.</li> <li>- No evidence of environmental benefit at this time.</li> </ul>	<ul style="list-style-type: none"> <li>- None yet</li> <li>- Farmers express concern about market for product.</li> </ul>	<ul style="list-style-type: none"> <li>- Enhancing existing experience</li> </ul>
Manuani (Madre de Dios, Peru)	Agroforestry, Restoration of out-mined	100% (members are obliged to)	<ul style="list-style-type: none"> <li>- Better community organization – increase attendance at meetings</li> </ul>	<ul style="list-style-type: none"> <li>- Restoration of out-mined zones</li> </ul>	<ul style="list-style-type: none"> <li>- None</li> <li>- Communities hopes to develop expertise in</li> </ul>	<ul style="list-style-type: none"> <li>- Too much expectation created: the promoted</li> </ul>

Community	Primary SLP promoted	Est. % of community members adopting	Reported/observed social benefit	Reported/observed environmental benefit	Reported/observed economic benefit	Observations
	zones	participate)	(required) - Women demonstrate strong leadership - Women only participate in activities during weekends (focused on education of children)		restoration of out-mined zones and market this once restoration becomes obligatory	activity (restoration) is not considered feasible on long term.
Palma Real (Madre de Dios, Peru)	Brazil nut, timber, tourism, handicrafts	Brazil nut: 100%; Timber: 25%	- Women group dedicated to handicrafts; men all other activities. - Used to have a woman as president, but now all men	- Forest management plan (for timber and brazil nuts) in place which probably improved biodiversity in forest	- Conventional market for timber - Community receives premium for brazil nuts, but are not happy with the prices they are receiving. - Few handicrafts are sold - "Only brooms sold in Puerto Maldonado."	- Brazil nut = collective. - Earlier experience with tourism and handicrafts unsuccessful, lessons not applied.
Puerto Arturo (Madre de Dios, Peru)	Agriculture and agroforestry	Between 10% and 25%	- Diversified agriculture provides better food security	-	- Puerto Arturo suffered a major flood in 2014 causing relocation of community and loss of tree nursery and plantations. - Community is starting again although few community members are involved in agroforestry and agriculture (8 families out of 35).	- Participation is low because a too high expectation (about increased production) was raised initially
San Francisco (Madre de Dios, Peru)	Cocoa	"Almost all" (90%)	- All of the women in this small community attended the MDD Consortium training courses.	- Unclear	- Increased income is anticipated but not yet realized. First crop will be around April 2015.	- Conventional cocoa
Sonene (Madre de Dios, Peru)	Brazil nut, timber	Brazil nut: Between 50% and 75%;	- The community is now better organized and planning is better and community members work	- Forest management plan (for timber and brazil nuts) in place which probably improved biodiversity in	- The management of brazil nut production has resulted in a higher quality product, but this has not translated	- Earlier experience with brazil nut unsuccessful, lessons not applied

Community	Primary SLP promoted	Est. % of community members adopting	Reported/observed social benefit	Reported/observed environmental benefit	Reported/observed economic benefit	Observations
		Timber: 100%	more for the good of the community than just themselves individually. - Community in very poor food, health and sanitation conditions	forest	to higher prices. - Conventional market for timber	
Tres Islas (Madre de Dios, Peru)	Fruit harvesting, Brazil nut, timber	Timber: 10%, other SLP: 25-50%	- Women leader of fruit and Brazil nut committees - Fruit is direct women group interest - Women also in rest of committees	- Environmental situation has been reported to decrease due to other factors (mining)	- Better forest management has not translated into increased income - Brazil nut production resulted in a premium resulting from certification that has been re-invested in production	- Proximity to Puerto Madolnado provides better trained people
Chunchuwi (San Martin, Peru)	Cocoa	Not yet any adoption	- Mostly men; women lead conservation group (not SLP groups)	- Cocoa related to PES for watershed management	-	- Pilot level - Problems with plague in coca
Calleria (Ucayali, Peru)	Fish farming, timber	Fish farming: 25%; Timber: 100% (whole community is certified)	- 4 of 14 members in fish committee are women. - Community organization strengthened	- Fish stocks increased thanks to SL - Forest management plan (for timber) in place which probably improved biodiversity in forest	- Forest management promoted by AIDER has resulted in higher prices for timber, although this support pre-dated ICAA2. - Nearly the entire community is involved in Paiche fishing and ICAA2 IPs have brought potential buyers to see stocks, but only one sale to date. Restaurants in Lima want larger Paiche.	- Timber harvesting is a traditional activity

Community	Primary SLP promoted	Est. % of community members adopting	Reported/observed social benefit	Reported/observed environmental benefit	Reported/observed economic benefit	Observations
Pankyretsi (Ucayali, Peru)	Handicrafts, agroforestry, Copaiba oil, Taricaya	Handicrafts and copaiba oil in process (no adoption yet); Taricaya: 100 %	<ul style="list-style-type: none"> <li>- Better organization</li> <li>- Women handicrafts organization</li> </ul>	<ul style="list-style-type: none"> <li>- Positive influence on wildlife and forest</li> <li>- Native fruit tree nursery provides plants to other communities</li> </ul>	<ul style="list-style-type: none"> <li>- Copaiba oil does give sustained additional income</li> </ul>	<ul style="list-style-type: none"> <li>- Mostly improvement of ongoing practices</li> </ul>

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## ANNEX H: FINDINGS RELATED TO INDIGENOUS TERRITORIES RESULTS CHAIN BY VISITED COMMUNITY

Community	Ethnicity (Indig./ Mestizo)	Governance Support Provided	Observations on Govern. Support	Legal Support Provided	Status of Legal Framework	Observations on Legal Support	Planning Support Provided	Status of Planning Documents	Observations on Planning Support
Tres Islas, Madre de Dios (Peru)	Indigenous	Support for administrative and internal procedures to producer (community) members to access credit	Tailored support based on explicit needs of the communities	Support to by-laws revision, redefining limits, paperwork and contact with government agencies	Well advanced	ICAA2 activity, recognized by community as a critical	Support provided to develop Plan de Vida, and Annual Operation Plans (POA) and management plans for brazil nut and timber extraction (forest management) to comply with national and certification standards	Completed and approved	Plan de Vida has contributed to communities' organization
Sonene, Madre de Dios (Peru)	Indigenous	Administrative support	Tailored support based on explicit needs of the communities, contribution to improve relations with government officials	Support to by-laws revision, redefining limits and conflict resolution	Well advanced	Legal status approved during ICAA2 activity	Plan de Vida developed	Completed	Focus group meetings showed Plan de Vida is poorly understood
Palma Real, Madre de Dios (Peru)	Indigenous	Support to administrative and internal procedures	Tailored support based on explicit needs of the communities	Support to redefining limits and conflict resolution	Well advanced	Legal status approved during ICAA2 activity	Support to develop Plan de Vida and sustainable tourism management plans for lodges and community activities that include environmental and social standards to obtain certification	Completed and approved	Tourism management plans in correspondence to priority in Plan de Vida



Community	Ethnicity (Indig./ Mestizo)	Governance Support Provided	Observations on Govern. Support	Legal Support Provided	Status of Legal Framework	Observations on Legal Support	Planning Support Provided	Status of Planning Documents	Observations on Planning Support
Puerto Arturo, Madre de Dios (Peru)	Indigenous	Support for administrative and internal procedures to producer (community) groups	Support has contributed to organize production and obtain sustainable income	N/A	N/A	N/A	Plan de Vida and forest and other non-timber products management plans, forest carbon stocks analysis developed	Completed and approved	Plan de Vida has contributed, but there is a misconception in the community that REDD+ mechanisms (carbon stock study) will limit their control over the land
Boca Pariamanu, Madre de Dios (Peru)	Indigenous	Support for administrative and internal procedures to producer organization to obtain certification	Support has contributed to organize production and obtain sustainable income	N/A	N/A	N/A	Forest and other non-timber products management plans (brazil nut and timber), Annual Operational Plans have been developed, paper work has been prepared for certification and commercialization	Completed and approved	Support has organized production
San Francisco, Madre de Dios (Peru)	Mestizo	Support for administrative and internal procedures to producer (community) groups	Support has contributed to organize production and obtain sustainable income	N/A	N/A	N/A	Forest and other non-timber products management plans (brazil nut and timber) and Annual Operational Plans have been developed	Completed	Support has organized production
Manuani, Madre de Dios (Peru)	Mestizo	Managerial support to improve relation with governmental agencies	Support provided has improved the associations' access to government agencies at regional and national level	N/A	N/A	N/A	Support to develop a Plan de vida	Completed and approved	Supporting this community is critical as it borders with the mining frontier. The community has unrealistic expectations of what the project can provide (health,

Community	Ethnicity (Indig./ Mestizo)	Governance Support Provided	Observations on Govern. Support	Legal Support Provided	Status of Legal Framework	Observations on Legal Support	Planning Support Provided	Status of Planning Documents	Observations on Planning Support
									education, infrastructure)
Infierno, Madre de Dios (Peru)	Indigenous	Support for administrative and internal procedures. Support to prepare paperwork and liaise with government officials	Complementary work between consortia in this community (SLP and Conservation Unit); systemic support	Support to land titling and redefining limits and recognition as private reserve	Well advanced	Legal status approved during ICAA2 activity  Issues are approached in an integrated fashion - previous experience in SLP by RA (ICAA1) is complemented with land titling	Private conservation concession preparation studies and link with authorities; resource management plans for timber, brazil nut and sustainable tourism	Well advanced	Management plans have been prepared previously (annual basis), innovation during ICAA2: sustainable tourism and Private Conservation Unit creation
La Novia, Madre de Dios (Peru)	Mestizo	Support for administrative and internal procedures to manage private conservation concession	Activities in SLPs (tourism and agroforestry) complement conservation unit creation	N/A	N/A	N/A	Private conservation concession preparation studies and link with authorities; Management plan for the reserve	Completed	Private conservation unit closely linked to protected area allowing connectivity
La Merced, Madre de Dios (Peru)	Mestizo	Administrative support to producer group	Support has contributed to organize production and obtain sustainable income	N/A	N/A	N/A	N/A	N/A	N/A
Bélgica, Madre de Dios (Peru)	Indigenous	Support for internal procedures and coordination in risk prevention	The community is part of a larger municipality in which focus on disaster risk prevention mechanisms (floods) have been established	N/A	N/A	Legal status approved during ICAA2 activity  Recognized as a critical activity triggered by severe floods	Support provided to the development of a Risk Management and Climate change adaptation Plan with vulnerability maps	Completed and approved	Planning support provided complementary to the assistance given to Municipality, for improved coordination

Community	Ethnicity (Indig./ Mestizo)	Governance Support Provided	Observations on Govern. Support	Legal Support Provided	Status of Legal Framework	Observations on Legal Support	Planning Support Provided	Status of Planning Documents	Observations on Planning Support
Puerto Nuevo, Madre de Dios (Peru)	Indigenous	N/A	N/A	Support to land titling process	Well advanced	Legal status approved during ICAA2 activity	N/A	N/A	N/A
Calleria, Ucayali (Peru)	Indigenous	Support for administrative and internal governance of the natural resource management committees and producer groups to obtain certification, establishment of relation with government agencies	There has been a long history of work in this community that has improved organization.	Support to redefining limits and incorporating new lands	Well advanced	Supported previously by ICAA1 to develop Plan de Vida, now with ICAA2 support to incorporate new areas to their territory	Management plans for timber and fisheries	Completed and approved	Management plans have been prepared previously (annual basis), innovation during ICAA2: sustainable tourism and Private Conservation Unit creation
MABOSIFRO, Ucayali (Peru)	Mestizo	Support for internal governance (by-laws) so that private reserve (concession) can be better managed.	Tailored support to prepare documents to get recognized by government. Activities carried out with members participation	Technical support to conduct inventories to be recognized as a private concession	Completed and approved	Support was given during ICAA2 to finish paper work for recognition and conduct pertinent studies.  Previously the association had legal title but not recognized as a reserve.	Support provided to administrative and strategic planning	Well advanced	Outputs to help the association and the reserve to attract scientific tourism
Pankiretsy, Ucayali (Peru)	Indigenous	Training support in administration and leadership	Tailored support to women's handcraft group and leaders that are interested in SLPs	N/A	N/A	Specific support provided during ICAA2. Community was well-organized prior to program entry.	N/A	N/A	N/A

Community	Ethnicity (Indig./ Mestizo)	Governance Support Provided	Observations on Govern. Support	Legal Support Provided	Status of Legal Framework	Observations on Legal Support	Planning Support Provided	Status of Planning Documents	Observations on Planning Support
Chunchuwi, San Martin (Peru)	Indigenous	N/A	N/A	N/A	N/A	N/A	Plan de Vida developed	Completed and approved	Various other USAID projects are supporting this community in preparing paperwork to settle agreement for EIC, support of ICAA2 has contributed supporting the Plan de Vida a useful instrument according to the community
Puerto Prado, Loreto (Peru)	Indigenous	Support to improve administration and leadership and SLPs (tourism and handcrafts) support	Support has allowed this community to compete for a price granted by MINAM	Support to be recognized as a private conservation unit	Completed and approved	Specific support provided during ICAA2. Community already had legal title and requested support to obtain recognition of private conservation concession	Support to obtain a community and private reserve management plan	Completed and approved	Small private reserve, the community requested support
Libertad, Loreto (Peru)	Indigenous	N/A	N/A	Support to land tenure and conflict resolution	Well advanced	Specific support provided during ICAA2. Community already had legal title identified through a legal/tenure analysis.	N/A	N/A	N/A

Community	Ethnicity (Indig./ Mestizo)	Governance Support Provided	Observations on Govern. Support	Legal Support Provided	Status of Legal Framework	Observations on Legal Support	Planning Support Provided	Status of Planning Documents	Observations on Planning Support
El Chino, Loreto (Peru)	Mestizo	Support given to internal governance of the natural resource management committees and for monitoring and reporting of species managed and used	There has been a long history of work in this community that has improved organization.	Support in land titling and liaison with government officials	Well advanced	Land titling is supported by ICAA2 and is considered by communities as a step in the right direction after a long period of sustainable management. This will improved access to government programs	Support to natural resource management plans, surveillance and control plans (annually updated)	Completed and approved	Management and control & surveillance plans have been drafted and implemented for over a decade prior ICAA2, this support continues this dynamic
San Pedro, Loreto (Peru)	Mestizo	Support given to internal governance of the natural resource management committees and for monitoring and reporting of species managed and used	There has been a long history of work in this community that has improved organization.	Support in land titling and liaison with government officials	Well advanced	Land titling is supported by ICAA2 and is considered by communities as a step in the right direction after a long period of sustainable management. This will improved access to government programs	Support to natural resource management plans, surveillance and control plans	Completed and approved	Management and control & surveillance plans have been drafted and implemented for over a decade prior ICAA2, this support continues this dynamic

Community	Ethnicity (Indig./ Mestizo)	Governance Support Provided	Observations on Govern. Support	Legal Support Provided	Status of Legal Framework	Observations on Legal Support	Planning Support Provided	Status of Planning Documents	Observations on Planning Support
San Juan Yanayacu, Loreto (Peru)	Mestizo	Support given to internal governance of the natural resource management committees and for monitoring and reporting of species managed and used. Support to improve liaison with government officials	There has been a long history of work in this community that has improved organization.	Support to land titling	Well advanced	Land titling is supported by ICAA2 and is considered by communities as a step in the right direction after a long period of sustainable management. This will improved access to government programs	Support to natural resource management plans, surveillance and control plans	Completed and approved	Management and control & surveillance plans have been drafted and implemented for over a decade prior ICAA2, this support continues this dynamic
Buenavista, Loreto (Peru)	Mestizo	Support given to internal governance of the natural resource management committees and for monitoring and reporting of species managed and used	There has been a long history of work in this community that has improved organization.	Support in land titling and liaison with government officials	Well advanced	Land titling is supported by ICAA2 and is considered by communities as a step in the right direction after a long period of sustainable management. This will improved access to government programs	Support to natural resource management plans, surveillance and control plans	Completed and approved	Management and control & surveillance plans have been drafted and implemented for over a decade prior ICAA2, this support continues this dynamic
Dureno, Sucumbios (Ecuador)	Indigenous	Support for administrative and internal procedures	Support is provided by the parent organization NOAIKE (ICAA IP) and focuses on administration and accountability trainings	Support to by-laws and regulations	Completed and approved	N/A	Management plans were already in place and implementation was supported by ICAA2.		NOAIKE the parent organization has a plan, that orients work in individual communities

Community	Ethnicity (Indig./ Mestizo)	Governance Support Provided	Observations on Govern. Support	Legal Support Provided	Status of Legal Framework	Observations on Legal Support	Planning Support Provided	Status of Planning Documents	Observations on Planning Support
Duvuno, Sucumbios (Ecuador)	Indigenous	Support for administrative and internal procedures	Support is provided by the parent organization NOAIKE and focuses on administration and accountability trainings	Support to by-laws and regulations	Completed and approved	N/A	Management plans were already in place and implementation was supported by ICAA2.	Completed and approved	ICAA2 is supporting implementation, drafting of the organizational strengthening plans drafted during ICAA I
Wamani, Napo (Ecuador)	Indigenous	Support for administrative, internal procedures and leadership.	Leadership trainings were connected to on-going program with proven results	N/A	N/A	N/A	Support to the territorial management plan in coordination with other communities that are all part of Hatun Sumaco	Completed and approved	Participatory zoning and development plan was carried out in all communities comprising Hatun Sumaco
Chalwayacu, Napo (Ecuador)	Indigenous	Support for administrative, internal procedures and leadership.	Leadership trainings were connected to on-going program with proven results	Land titling paperwork and liaison with government officials	Well advanced	Legal status approved during ICAA2 activity and recognized by community as a critical activity that had failed previously	Support to the territorial management plan in coordination with other communities that are all part of Hatun Sumaco	Completed and approved	Participatory zoning and development plan was carried out in all communities comprising Hatun Sumaco

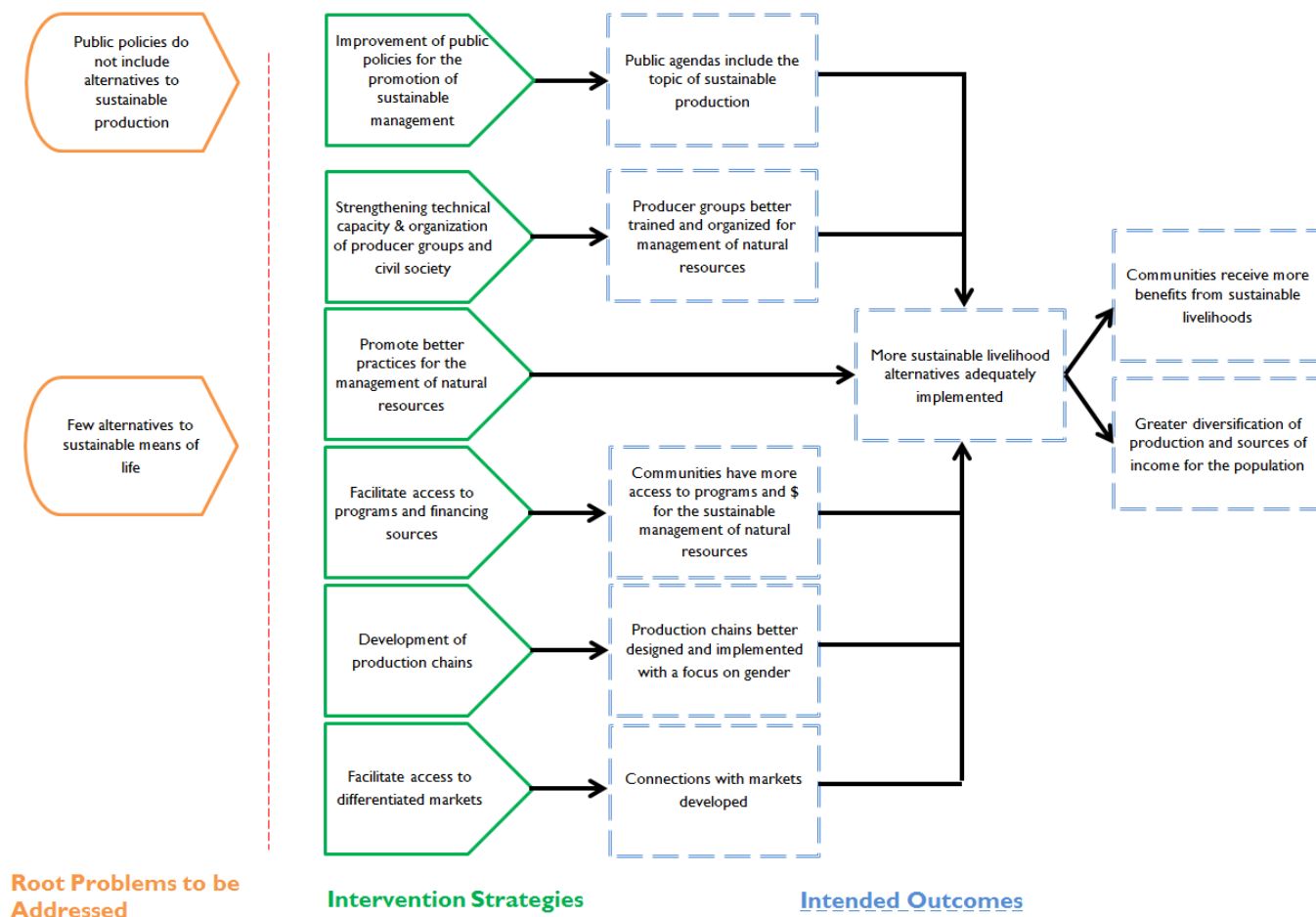
# ANNEX I: SUSTAINABLE LIVELIHOODS RESULTS CHAIN PROGRESS ASSESSMENT

## Results Chain Logic

The high-level objective of the Sustainable Livelihood results chain is greater diversification of production and income so communities receive more benefits from sustainable livelihoods. To achieve this objective sustainable livelihood productive alternatives have to be adequately implemented through (1) public agendas include the topic of sustainable production, (2) producer groups better trained and organized for management of natural resources, (3) communities have more access to financial resources and programs for the sustainable management of natural resources, (4) production chains better designed and implemented with focus on gender and (5) connection to the market developed. To achieve these intermediate outcomes, ICAA2 pursues the following strategies (Figure 1):

- Improving public policies for the promotion of sustainable management;
- Strengthening technical capacity and organization of producer groups and civil society;
- Promoting better practices for managing natural resources;
- Facilitating access to programs and financing sources;
- Developing production chains; and
- Facilitating access to differential markets

**FIGURE I: SUSTAINABLE LIVELIHOODS RESULTS CHAIN**





## Intervention Strategies, Findings and Contribution to Outcomes

### Improving Public Policy for the Promotion of Sustainable Management

The ICAA2 results chain hypothesizes that improving public policy for the promotion of sustainable management will lead to the inclusion of sustainable production as a topic of discussion on public agendas. The evaluation team reviewed ICAA2 activities designed to improve the public policy for the promotion of sustainable production.

ICAA2 IPs influenced the development of policies for the promotion of sustainable management. The LMT, MDD and SL consortia were most active in promoting public policies. Among others, ICAA2 IPs contributed to the development and adoption of several regulatory provisions (e.g., pertaining to the harvesting of palm fruit and fast growing tree species and the simplification of the Brazil nut operative plan) arising from Peru's Forest Law.

In addition to participating in working groups relating to the Peru Forest Law, LMT consortium also undertook activities to strengthen local forestry councils, support local fisheries multi-stakeholder roundtables and establishing best forestry management practices.<sup>1</sup> The LMT consortium engaged in a multi-stakeholder dialogue with regional government to identify and resolve legal bottlenecks around *paiche* production and management in Loreto - allowing for legal and more efficient *paiche* harvesting from managed ponds, resulting in Regional Ordinance for the Management of Fishery Resources (Loreto; 020-2012, DIREPRO).<sup>2</sup>

The SL consortium promotes the incorporation of best practices in sustainability in communities and national policies and support multi-stakeholders tables for the integral promotion of the value chains.<sup>3</sup> One example is SL's promotion of a *naranjilla* roundtable with the provincial government to develop local clean production standards for this fruit that comply with the national standards of *Agrocalidad* (the Ecuadorian Agency for the Quality Assurance of Agriculture).

Technical Support Partner CIFOR has conducted studies and drafted proposed regulations relating to the fast-growing tree species *Bolaina*. The proposed regulations, which were subsequently adopted, permit the sustainable use of this group of timber species important for the local economy.<sup>4</sup>

One factor mentioned by ICAA IPs and stakeholders is the role of multi-stakeholder round tables to influence policy change and the importance of institutionalizing these to improve development of public policy in the future.

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<sup>1</sup> WCS consultation notes and interview with SPDA (11/13/14).

<sup>2</sup> This fisheries multi-stakeholder group includes: IIAP (as fisheries technical authority), SPDA and AMPA. Interview with SPDA (11/13/14) and AMPA (11/3/14).

<sup>3</sup> Following the GIZ model, these tables are platforms where different stakeholders bring information in order to improve the decision-making and jointly face technical, economic, public policy or environmental challenges of the value chain. RA consultation notes and interviews with GIZ-Napo (11/26/14) and Naranjilla Multi-Stakeholder table (11/27/14)

<sup>4</sup> Interview with CIFOR (Sr. Scientist Peter Cronkleton) (7/16/14 & 11/14/14). The regulatory proposal and study could not be identified on the ISIS website although its existence and influence were verified by stakeholders.

### Contribution to Outcomes:

- ICAA2 IPs have influenced public policies to promote sustainable management, although there is no indicator metric identified by the evaluation team to assess whether and to what extent this is reflected in the public agenda. At local level multi-stakeholder roundtables bring attention to specific issues that are relevant for a public policy agenda aimed to promote sustainable value chains.

## Strengthening Technical Capacity and Organization of Producer Groups and Civil Society

The ICAA2 results chain hypothesizes that strengthening technical capacity and organization of producer groups and civil society will enhance their capacity to manage natural resources. The evaluation team reviewed ICAA2 activities designed to strengthen producers' and civil society's technical capacity.

The different ICAA2 consortia intervention activities aim at strengthening both technical and administrative and managerial skills of communities, associations or rural enterprises. Resource management plans are also included as part of the training as they are frequently a requisite for formalization, transportation permits or certification. The sustainable practices promoted by the SL consortium in Madre de Dios are principally Brazil Nuts, sustainable timber extraction and processing, handicrafts and tourism.<sup>5</sup> In addition, frequently new productive opportunities are identified and introduced as complementary activities.<sup>6</sup> The intervention model includes the definition of a management plan, training in improving the gathering or extraction efficiency and the support for obtaining permits and certifications. Communities value the support they receive to improve their productive governance.<sup>7</sup>

The MDD consortium assists the establishment of community committees for every sustainable practice as a mechanism to coordinate the production and management practices and monitor compliance. In Puerto Arturo and Boca Parimamu, the MDD consortium supports extraction of Brazil nuts and timber. In addition to these main sources of income, MDD introduced agroforestry practices with cocoa and coffee as cash crops in association with plantains and native trees. Staple foods are frequently added into the intervention package mostly for self-consumption and the marginal surplus is sold in the local markets to traditional buyers.

Recently, fish farming is being included into the productive alternatives. The scarcity of fish, especially in the dry season, the reported contamination of the wild fish in some regions, and the potential impact on the community nutrition are the main reasons for including this practice. Agro-ecological orchards have been installed in some native communities with the purpose of both teach children as well as adults environmentally friendly practices to grow fruit and vegetables and to increase nutritious food in the community diet.<sup>8</sup> Cacao and coffee are the crops more frequently promoted by the MDD consortium in

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<sup>5</sup> Main SLPs promoted in Tres Islas, Puerto Arturo, Boca Parimamu, Palma Real and Sonene communities are brazil nut and timber exploitation. Handicrafts are an additional activity in Palma Real and fruit harvesting and processing in Tres Islas.

<sup>6</sup> Secondary sustainable practices are fishfarming, beekeeping, handicrafts, cacao, fruits and processing fruits. Interviews and Group interviews in Tres Islas (11/5/14), Puerto Arturo (11/4/14, 11/5/14), Boca Parimamu (11/6/14), Palma Real (11/7/14)

<sup>7</sup> In Palma Real for example, a community member declared "Although obtaining a management plan for timber and brazil nuts was key to legally sell and transport forest products, the support to the social organization (building of associations) was even more important, because without organization, no one can plan anything". Group interview in Palma Real (11/7/14)

<sup>8</sup> Field visits and group interviews in Puerto Arturo (11/4/14 & 11/5/14) and Boca Parimamu (11/6/14)

non-native agricultural communities planted in agroforestry association with plantain and native trees mainly in heavily deforested areas.<sup>9</sup>

In Madre de Dios the PM consortium supports natural rubber tapping in private land as well as in forest concessions of the members of a community enterprise ECOMUSA. The consortium trains ECOMUSA's associates and their families in latex extraction and documenting procedures for trade and export. Men extract latex and women participate on processing into latex sheets. Also, the consortium donates inputs (machetes, ropes, buckets, artisan ovens). Recently the consortium through CARE is supporting ECOMUSA in documenting procedures for organization of association documents.<sup>10</sup>

The LMT consortium supports the Rubber Tapping Association of Tahuamanu (Asociación Agroforestal Shiringas del Tahuamanu) on two fronts: reactivation of natural rubber tree forest and reforestation of high latex producing rubber trees in association with cacao and plantain. Nurseries are already in place and the planting is programmed for the first quarter of 2015. The consortium will give producers equipment and tools some donated and some as a credit to be repaid to producer's fund. The project is also supporting the association in strengthening their structure, credit fund managing, communication and public relations.

The SL consortium in Ecuador promotes clean *naranja* in Napo and the C&G and FA promote environmental friendly cattle grazing in Colombia. Additional SLP promoted in other areas are: fish management in Loreto, fish farming in Sucumbios and Ucayali, and wildlife management (bushmeat, taricaya turtles -pets and eggs-, peccary skins, ornamental fish) in Loreto by the IL and LMT consortia. IL also promotes coffee and cocoa in Sucumbios.<sup>11</sup>

Most producers, associations and communities visited by the evaluation team have received support previous to ICAA2, and the support received from ICAA2 IPs covers most of the areas of the supply chain, which raises concern about the financial sustainability of the activities once the program ends.<sup>12</sup>

#### **Contribution to Outcomes:**

- ICAA2 IPs activities to promote sustainable practices combine technical and managerial strengthening of communities, associations or rural enterprises. In addition to training, ICAA2 partners provide inputs, tools and machinery as well as assistance in completing product certification or formalization.
- Financial sustainability of producers, association and communities is a major challenge to overcome after ICAA2 support ends.

### **Promoting Better Practices for the Management of Natural Resources**

The ICAA2 results chain hypothesizes that promoting better practices for the management of natural resources leads to adequately implement more sustainable practices. The evaluation team analyzed the following activities to promote better practices for the management of natural resources.

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<sup>9</sup> Three producer associations visited by the research team (La Novia, La Merced and San Francisco) had cocoa as the main sustainable practice and economic driving force. Field visits and group interview in La Novia (11/12/14), La Merced (11/12/14), San Francisco (11/8/14).

<sup>10</sup> Interview with Ecomusa (11/19/14)

<sup>11</sup> Tariyaca and peccary in the Samiria Basin (WSC), Paiche and Ajuage in Calleria Native Community (TNC), Native fruit trees and agroforestry in Pankyretsi community.

<sup>12</sup> Fourteen out of 25 sites and producer associations visited showed clear evidence of previous significant interventions. In several cases it was observed that infrastructure from previous support was no longer being used.

IPs from the LMT and SL consortia support models include several aspects that improve the management of natural resources: collection of information and zoning of the community land, developing a community based management plan, building the capacity to implement the plan and a community based monitoring to enforce the agreements.<sup>13</sup> All communities visited in Madre de Dios by the research team involved in sustainable logging and brazil nut gathering had land use zoning that guided the process of locating the different sustainable practices and several of them have community based monitoring systems.<sup>14</sup>

In the Regional Conservation Area Tamshiyacu-Tahuayo – ACR TT Loreto, the LMT consortium supports the fish and wildlife community based surveillance system. In all four communities visited, residents mentioned the increase in fish and fauna population, especially in regards to conservation target species as a result from quotas established.<sup>15</sup> Zoning of forest and assessing forest inventories, mapping high quality timber-trees, Brazil nut trees and natural rubber inventory are required to obtain permits and certifications. Managing this tools facilitate the management of natural resources.<sup>16</sup>

#### **Contribution to Outcomes:**

- Collection of information and zoning of the community land, developing a community based management plan, building the capacity to implement the plan, and a community based monitoring to enforce the agreements are integral part of most ICAA2 intervention for promoting sustainable production systems. These elements facilitate natural resources management and are critical for sustainability by protecting biodiversity loss.

### **Facilitating Access to Programs and Financing Resources**

The ICAA2 results chain hypothesizes that by facilitating access to programs and financial resources communities will have more means for the sustainable management of natural resources. The evaluation team analyzed the following activities being undertaken by ICAA2 IPs designed to facilitate access to programs and financial resources.

Facilitating access to national government programs, promoting local government investment in sustainable value chain development and assisting producers to reach certified markets that pay premiums are activities that some ICAA2 consortia are implementing. Regarding access to programs, in Napo Ecuador, the SL consortium is supporting the several indigenous community of the Hatun Sumaco parish to get access to the EI programs for reforestation;<sup>17</sup> in Peru, PROCREL is planning on financing sustainable fish production in the ACR T-T communities supported by the LMT consortium.<sup>18</sup>

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<sup>13</sup> RA consultation notes and LMT Consultation Notes.

<sup>14</sup> Puerto Arturo, Infierno, Boca Pariamanu, Tres Islas, Palma Real y Sonene. Zonning and compliance with sustainable practices are required for the legal login and Brazil nut certification.

<sup>15</sup> Group and Individual Interviews in ACR TT communities: Buenavista, San Juan de Yanayacu, San Pedro and El Chino (05-06/11/14)

<sup>16</sup> This is the case of bazil nut trees (RA, Madre de Dios, WCS) , wood extraction (RA), and Natural rubber tapping (WWF and WCS)

<sup>17</sup> Field conversation with RA personnel Napo (11/27/14) confirmed by interview with MAGAP-Napo, (11/26/14). Five out of the seven communities of Hatun Sumaku are being supported by the SL consortium and the other two were in the program previous to the ICAA2 intervention.

<sup>18</sup> Interview with PROCREL (11/04/14).

In Napo, the local government has included in 2015 budget resources to build a processing facility for *naranja* to help producers supported by the SL consortium.<sup>19</sup>

The SL consortium reported that Agrobanco had approved a development loan for RONAP and ASCART,<sup>20</sup> however it is not clear that the loan is a specific result of ICAA2 intervention.

#### Contribution to Outcomes:

- Three types of ICAA2 funded activities to get access to programs and financing resources were analyzed by the evaluation team: facilitating access to national government programs, promoting local government investment in sustainable value chain development and assisting producers to reach certified markets that pay premiums. However, these achievements are not widespread.
- Scaling up these experiences and making sustainable producers subject to credit is the challenge for the future.

### Developing Production Chains

The ICAA2 results chain hypothesizes that developing production chains will lead to production chain better designed and implemented with a focus on gender. The evaluation team analyzed the following ICAA2 activities directed towards developing production chains.

ICAA2 consortia directly intervene in critical points of the value chains from acquiring the inputs to accessing the market. In the less-known production chains the consortia activities concentrate on setting up production, organizing producer associations and defining the guidelines for a sustainable production.<sup>21</sup> In Loreto, FUNDAMAZONIA and AMPA (grantees of LMT consortium) work with the community-based management committees to comply with the SERNANP requirements for Taricaya and fish (*paiche*).<sup>22</sup> In Purús, the PM consortium, through CARE, is developing the guidelines for Copaiba Oil extraction and management, a requirement for the formalization of this sustainable practice.<sup>23</sup>

In well-known production chain such as cocoa, coffee, and fish farming the consortia, acquire seeds or larvae, establish nurseries, train producers in sustainable practices, provide tools, support the construction of in-site storage and processing facilities, assist producers in complying with the regulations or the certification processes, and facilitate access to the market, depending of the initial conditions of the community. In Madre de Dios, PEMD (MDD consortium) develops the production chain by engaging farmers in establishing a tree nursery and helping with planting the seeds provided by the program. In this process, the producer organization is formed and farmers are trained on planting, pruning, grafting and the production and use of biofertilizer.<sup>24</sup> In two of the three sites visited PEMD has not provided management training to the farmers' association and in all of them access to markets,

<sup>19</sup> Interview with Production Unit GADP -Napo, (11/26/14)

<sup>20</sup> RA Quarterly Report Q2, 2014

<sup>21</sup> Less-known refers to markets in the introduction stage (non-traditional), and well-known refers to the growth and maturity stages (traditional) according to the product life cycle stages. Von Hesse, Milton (1994). Políticas Públicas y Competitividad de las Exportaciones Agrícolas. Revista de la CEPAL 53, 129-146.

<sup>22</sup> Interview with FUNDAMAZONIA, SERNANP and community management group of the Marañon basin (11/10/14 & 11/11/14)

<sup>23</sup> Interview with CARE (11/17/14)

<sup>24</sup> Interview with Special Project Madre de Dios-PEMD de Dios (11/17/14) confirmed by the group interviews group interview with Farmers and Forest Association of La Novia (11/17/14) and group interviews Group interview with the Community Enterprise María Cristina, La Merced (11/17/14)

commercialization and price negotiation are high on priorities of the producers but the subject has not yet been discussed.

In Yurua the PM consortium through ORAU is establishing fish farms in four indigenous communities directed mainly to self-consumption. ORAU, through a native technician (trained with non-ICAA2 funding), supports the construction of the pounds or the floating cages, the provision of larvae and trains the community in the productive practices.<sup>25</sup>

In Ecuador the SL consortium has developed the production of *naranjilla* with low agrochemical use ("clean" *naranjilla*) by training communal producers (especially in Wamani) in clean production of *naranjilla*, adopting clean production standards (aligned with Agrocalidad norms) and supporting environmental leadership training through ELA (leadership program, marginally supported by ICAA2).<sup>26</sup> Although the adoption has had a positive effect on reducing the contamination levels, the market linkage is yet to be defined since there is no demand for the clean product in the traditional market and no other market channels are available. To start addressing this restriction a market studies and a business plan are expected to be conducted in 2015.<sup>27</sup>

The diversification of sustainable productive activities (cocoa, coffee, fish farms, latex processing, handicrafts, tariyaca, fish farming), mentioned above, brings opportunities for women to engage in productive activities. As communities begin to include women in their governance bodies, women get access to directive positions in production committees.

#### **Contribution to Outcomes:**

- ICAA2 consortia engage in a wide array of activities along the value chain of the sustainable practices and combine them depending on the initial conditions of the community or producer association as well as the maturity of the production chain. Sustainability of these activities once the project ends is a critical challenge.

### **Facilitating Access to Differentiated Markets**

The ICAA2 results chain hypothesizes that facilitating access to differentiated markets will strengthen producers' connection to the markets. The evaluation team analyzed the following ICAA2 activities directed towards facilitating access to differentiated markets.

The SL consortium emphasizes that, when possible, their partners use FSC, RA verified, sustainable agriculture networks, fair trade or organic certifications.<sup>28</sup> In four out of the five communities visited by the evaluation team in Madre de Dios, where brazil nut is supported by ICAA2 IPs (Boca Pariamanu, Tres Islas, Palma real and Sonene), the communities sell their brazil nut production to Candela and the receive a FLO premium. However, the certifications were obtained before ICAA2 and the program has continued efforts to maintain access to the premium market.<sup>29</sup> Visited communities expressed that the additional income from certified market is disappointing (because Candela also charges higher processing

<sup>25</sup> Interview with ORAU: Organización Regional Aidesep Ucayali, Pre-field (10/23/14) and field (11/22/14).

<sup>26</sup> The ELA program was established before ICAA2 but is increasingly depending on third parties contracts to deliver the leadership program to indigenous communities.

<sup>27</sup> Interview with Production Unit at the at the Decentralized and Autonomous Provincial Government (GADP) of Napo (11/17/14), confirmed by interview with the multi-stakeholder roundtable coordinator (11/28/14)

<sup>28</sup> RA consultations notes.

<sup>29</sup> In Tres Islas the USD 1150 FLO premium is going to be used for a brazil nut in-site processing center. The other visited community, Puerto Arturo, has recently signed a contract with Candor and also expects a FLO premium in the next harvest.

costs) and therefore communities want to establish their own processing operation with support from ICAA2 IPs.

FUNDAMAZONIA (the LMT consortium grantee) has pre-ICAA2 successful experience working with peccary certified products and aims to establish a certification system for Taricaya in Samira but no cost-benefit analysis has been conducted. This consortium through AMPA has established contact with some gourmet restaurants in Lima that will buy the Paiche managed production from the management committees starting in 2015.

In Napo, *Naranjilla* linkage to the market has not yet be defined by a business plan.

According technical staff from PM and LMT consortia, latex has a high market potential. Adding value to latex such as latex covered fabric is still in exploring stages. The consortia have made initial contact with potential buyers.<sup>30</sup>

In Cocoa and Coffee, ICAA2 partners insist that the market is open and that once plantations are producing there will be no demand constrains using current market channels.<sup>31</sup>

In Madre de Dios, the SL consortium intervention led to the legalization of the logging operation in two native communities visited by the evaluation team (Inferno and Boca Pariamanu), by training the community, implementing a forest management plan and accompanying the community to obtain the forest permit that results in better prices. To ensure compliance with the new forest management plan a community-based forest guard was created.<sup>32</sup> All seven communities visited, where sustainable logging is supported by ICAA2 IPs, have permits for legal logging and sell their production through the traditional market.<sup>33</sup> Traditional legal market of wood is subject to price changes and seasonality. Consortia are in early stages of adding value by in-site sawing and wood processing machinery that enable communities to produce construction wood and furniture.<sup>34</sup>

Regarding handicrafts, the consortia frequently take the artisans to the commercial fairs. In Palma Real, the SL consortium took artisans to commercial fairs Expoamazonica in Bagua and other in Puerto Maldonado and Lima (Expoalimentaria, Arte Nativa).<sup>35</sup> In Purús the PM consortium has taken community artisans to commercial fairs.<sup>36</sup> However the economic return of those fairs has been minimal as compared to the investments.

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<sup>30</sup> Interviews with ECOMUSA and CARE and WWF field personnel.

<sup>31</sup> Interviews with technical personnel in La Novia, la Merced, San Francisco in Peru and Dovuno in Ecuador.

<sup>32</sup> Group interviews with the timber committee of Infierno native community (11/10/14) and Boca Pariamanu native community (11/6/14)

<sup>33</sup> These communities are Baca Pariamanu, Calleria, Infierno, Palma Real, Puerto Arturo, Sonene and Tres Islas.

<sup>34</sup> In Madre de Dios, out of the seven indigenous communities visited by the evaluation team where sustainable logging was supported by the ICAA2 IPs, three were establishing in-site sawing and wood processing workshops. Group interviews Infierno, Boca Pariamanu and Tres Islas and interview with consortia technical personnel in-site.

<sup>35</sup> Group interview w/ Palma Real community members (11/7/14)

<sup>36</sup> "The handcraft activities performed by the women Purús community groups have started to sell their products in fairs. They have participated in 3 fairs so far". Interview with CARE (11/17/14)

### **Contribution to Outcomes:**

- ICAA2 consortia aim to work with green markets, although not necessarily certified depending on the initial conditions of the operation. The program seeks market driven certification such as fair trade or organic. For the most organized operations, a FSC or other Sustainable Network standard is pursued, but where it has been implemented, this has been always pre-ICAA initiatives. Most of the distribution channels available are those already used by the ICAA2 consortia partners previous to the program.
- ICAA2 consortia's intervention implies not only connecting the program beneficiaries to the market but also accompanying the community to comply with certification requirements and providing the certification fee. The sustainability of maintaining the certification and thus access to differentiated markets once the program ends is a challenge.
- New differentiated markets for less-known sustainable practices such as paiche, latex covered fabric and clean naranjilla are still in exploring stage.

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# ANNEX J: ECONOMIC INCENTIVES FOR CONSERVATION RESULTS CHAIN PROGRESS ASSESSMENT

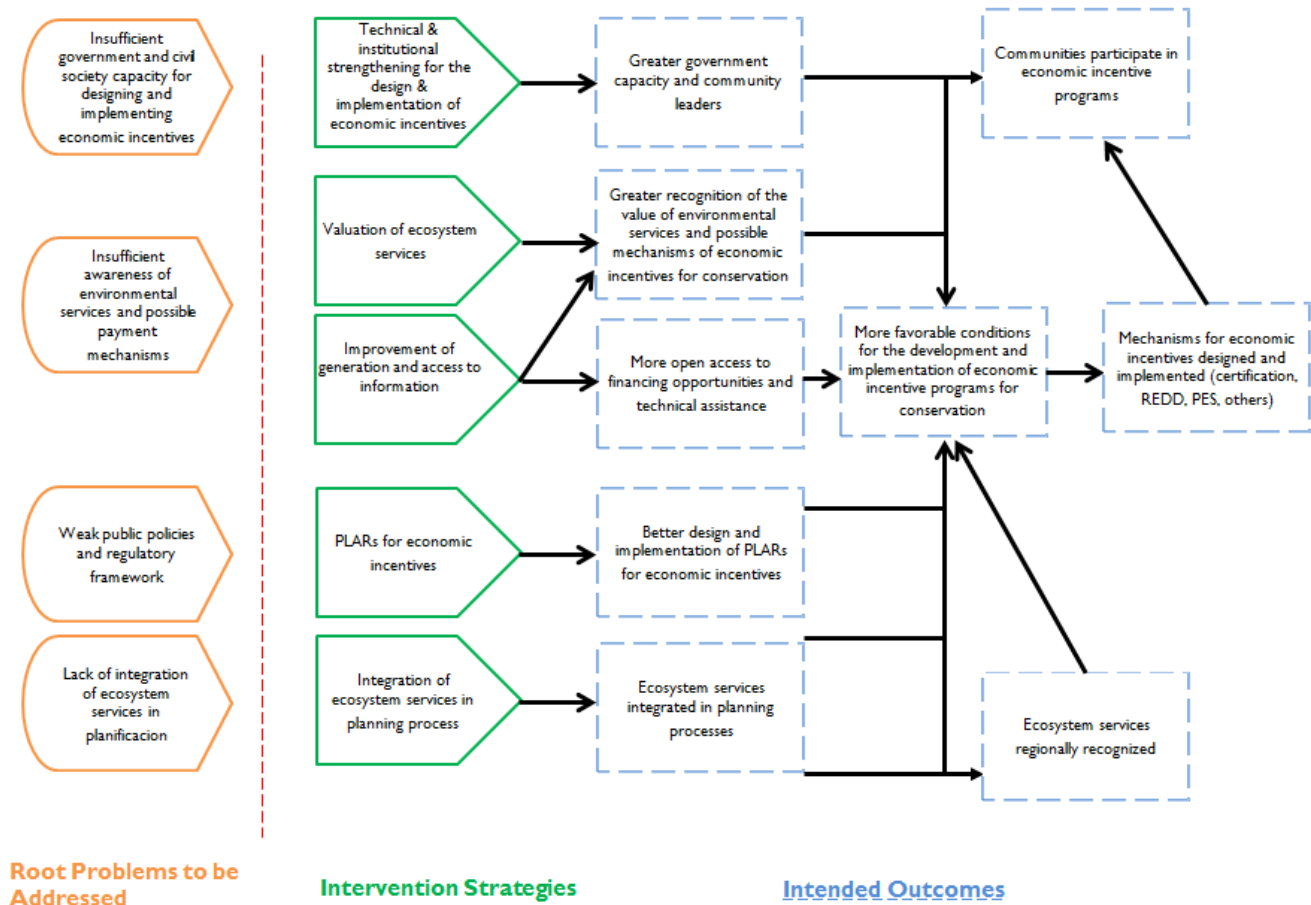
## Results Chain Logic

The high-level objective of Economic Incentives for Conservation Results Chain is communities participating in mechanisms for economic incentives as a result of more favorable conditions for its development and implementation achieved through (1) greater government and community leaders capacity, (2) greater recognition of the value of environmental services and possible mechanisms of economic incentives for conservation, (3) more open access to financing opportunities and technical assistance, (4) Belter design and implementation of PLARs for economic incentives, and (5) ecosystem services integrated in planning processes and regionally recognized. To achieve these intermediate outcomes, ICAA2 pursues the following strategies:

- Technical/institutional strengthening for the design/ implementation of economic incentives;
- Valuating ecosystem services;
- Improving generation and access to information;
- Designing and implementing PLARs for economic incentives; and
- Integrating ecosystem services in planning process.

A graphic depiction of this results chain is included below:

**FIGURE I: ECONOMIC INCENTIVES FOR CONSERVATION RESULTS CHAIN**



## Intervention Strategies, Findings and Contribution to Outcomes

The evaluation team identified activities pertaining to the five result chain strategies mentioned above. ICAA consortia and partners have directly supported and joined forces with regional, local governments and civil society, which has resulted in scattered but positive experiences in creating better conditions for the development of economic incentives for conservation.

### Technical and Institutional Strengthening for the Design and Implementation of Ecosystem Incentives

The ICAA2 results chain hypothesizes that technical and institutional strengthening for the design and implementation of ecosystem incentives will improve government and community leaders' capacity to implement ecosystem incentives. The evaluation team identified the following ICAA2 activities designed to strengthen the technical and institutional capacity for the design and implementation of ecosystem incentives.

ISU is implementing six projects in this topic under a grants program through local NGOs, including three on payment for environmental services (two in San Martín, Peru and one in Amazonas, Peru) and three on REDD+ projects (Madre de Dios, Peru; Ucayali, Peru; Vaupes, Colombia). Also, ISU is doing studies in three countries on fiscal and monetary incentives for conservation<sup>1</sup> and has supported meetings and workshops with stakeholders to discuss PES.<sup>2</sup>

The LMT consortium through SPDA is working with various regional authorities (i.e. Environmental Directorate, PROCREL, PMRFFS and DIREPRO) provides technical assistance and also organizes trainings to support the Regional REDD+ tables in Peru.<sup>3</sup>

The IL-TNC consortium has worked with the Ecuadorian Institute of Intellectual Property (IEPI) in order to systematize and patent the traditional knowledge of the Cofán people, and give designations of origin to Cofán products entering the market.<sup>4</sup>

HED, supported by several U.S.-based institutions, has established partnerships with Universidad Javeriana, Universidad San Francisco de Quito, Escuela Politécnica Nacional and Universidad Nacional de Ucayali to promote higher education in Amazon conservation. Under this partnership, scholarships are offered to pursue Masters Degrees as well as grants for researchers, professors, organizations and workgroups in Amazon conservation topics. ISU has also supported the curricula in conservation and gender.<sup>5</sup>

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<sup>1</sup> Interview with ISU (10/30/14). The organizations participating in the REDD+ projects are AIDER in Ucayali, RA in Madre de Dios and Fundación Natura in Vaupes. The organizations participating in payment for Hydrologic Services are CEDISA and AMPA in San Martín, AMPA and Apeco in the Amazonas.

<sup>2</sup> The consortium IL-TNC with support of ISU coordinated a workshop on the economic incentives for indigenous peoples of the Ecuadorian Amazon, April 2014, TNC Quarterly Report Q2 2014.

<sup>3</sup> WCS consultation notes confirmed by the interview with SPDA. SPDA declared that has trained three Loreto regional government officials from the REDD+ table. Interview with SPDA (11/13/14). SPDA strengthening officials technical and analytical capacities by sharing the experience of those countries that have worked on deforestation monitoring in support of the development of the regional REDD+ strategy (WCS Annual Report 2013).

<sup>4</sup> TNC Quarterly Report Q2 2014.

<sup>5</sup> HED Quarterly Report Q2 2014. Interview with DOI (12/5/14) and confirmed by Universidad Javeriana (12/5/14).

### Contribution to Outcomes:

- ICAA2 partners have implemented programs on payments of environmental services and REDD+, provided technical assistance to regional REDD+ tables and promoted higher education and academic research on amazon conservation.

## Valuation of Ecosystem Services

The ICAA2 results chain hypothesizes that valuating ecosystem services leads to a greater recognition of the value of environmental services and interest in possible mechanisms of economic incentives for conservation. The evaluation team identified the following ICAA2 activities designed to value ecosystem services.

In Madre de Dios the MDD consortium with UNAMAD has carried studies to assess the value of environmental services related with forest and the potential for carbon capture in Boca Pariamanu and Puerto Arturo native communities.<sup>6</sup>

In Loreto the LMT consortium partnered with ICAA ISU Economic Incentives for Conservation Program to integrate environmental and economic values of ecosystem services and biodiversity assessments into strategy and planning efforts towards the sustainable development of the Loreto Region, reaching agreements with Regional Government and the Ministry of Environment (MINAM).<sup>7</sup>

The IL consortium has supported the Municipality Sucumbios by elaborating vegetation maps and is also currently carrying out an inventory of tourist sites inside the municipal protected area to promote the value of the reserve.<sup>8</sup>

ICAA2 partners have contributed to improve technical knowledge and the use of analytical (economic) tools for conservation of the Amazon. The ISU and IL consortia have partnered in several occasions, obtaining support from CSFs. ISU jointly with CSF has: (i) offered courses on the usage of economic analytical tools for conservation, directed to public officials and decision makers in Peru, Ecuador and Colombia; (ii) offered competitive grants (13 so far); and iii) provided grants to seven research proposals, tendered by the ISU and based on the ICAA2 research agenda on biodiversity, socioeconomic analysis and infrastructure investments. Out of the seven proposals, six are carried out at the country level (two in each country: Colombia, Ecuador and Peru) and one is regional research.<sup>9</sup> In 2014, CSF, TNC and the consulting firm GRADE carried out an integral economic analysis (benefit cost, deforestation, opportunity cost) including environmental externalities under different scenarios (road-rail-no project) of the Pucallpa-Cruzeiro Do Sul Transport Link.<sup>10</sup>

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<sup>6</sup> UF consultation Notes confirmed by interviews with UNAMAD professors and students during the visit to Puerto Arturo native community (11/5/14). The subject of the research were: Economic valuation of the forest in the Puerto Arturo Community, the potential for carbon capture of the forest in the Puerto Arturo community and potential for the production of honey in the forest of the Puerto Arturo community.

<sup>7</sup> WCS Annual Report 2013.

<sup>8</sup> Interview with Sucumbios Municipality (12/2/14)

<sup>9</sup> Understanding and Solutions for Environmental Problems Action Plan (2012-2016) and interview with CSF (10/27/14).

<sup>10</sup> Hopkins, Alvaro et. Al. (2014) Infrastructure And Conservation: The Case Of A Pucallpa-Cruzeiro Do Sul Transport Link. USAID-CSF-TNC publication, available at [http://conservation-strategy.org/sites/default/files/field-file/CSF\\_B\\_enero\\_Final\\_EN\\_web.pdf](http://conservation-strategy.org/sites/default/files/field-file/CSF_B_enero_Final_EN_web.pdf).

### **Contribution to Outcomes:**

- ICAA2 partners have carried out studies and contributed to improve the knowledge on the value of the resources as well as the services they can provide. The consolidation of partnerships for the continuations of a research agenda, knowledge exchange and scaling up these experiences are challenges for the future.

## **Improving Generation and Access to Information**

The ICAA2 results chain hypothesizes that improving generation and access to information leads to more access to financing opportunities and technical assistance. The evaluation team identified the following ICAA2 activities designed to improve generation and access to information.

Generating and providing information on economic incentives helps communities and governments to apply for resources from those programs. The SL consortium is supporting the Wuamani indigenous community to get access to the Economic Incentives Programs for reforestation.<sup>11</sup> And the IL consortium reported that “FEINCE has succeeded in incorporating two Cofán territories into the Socio Bosque scheme, thus ensuring the constant provision of funds for the communities living there to protect the forests”.<sup>12</sup>

ISU is producing diffusion materials to raise awareness of economic incentives for the conservation of indigenous population.<sup>13</sup>

### **Contribution to Outcomes:**

- Several examples show that ICAA2 partners have effectively generated information that enable indigenous peoples organizations to access existing economic incentives programs

## **Designing and Implementing PLARs for Economic Incentives**

The ICAA2 results chain hypothesizes that designing and implementing PLARs for economic incentives leads to more favorable conditions for the development of economic incentive programs. The evaluation team identified the following ICAA2 activities directed towards designing and implementing PLARs for economic incentives.

The LMT consortium (SPDA) has proposed policies to develop PES, provided legal and technical support to implement PES-like initiatives on forested lands and protected areas, provided support to regional platforms for marketing carbon (Clean Development Mechanism and REDD+) and designed a cost benefit evaluation of alternative land use activities in Loreto under three scenarios.<sup>14</sup> Specifically the

<sup>11</sup> Field conversation with RA personnel Napo (11/27/14) confirmed by interview with MAGAP-Napo, (11/26/14)

<sup>12</sup> TNC Quarterly Report Q2 2014 Pg. 12. Currently FEINCE is replaced by NOAI'KE.

<sup>13</sup> ISU Annual Report 2012. ISU has produced studies and concept papers on economic incentives, training materials for indigenous peoples and public officials. Also ISU has undertaken valuation of ecosystems studies and prepared studies on fiscal and monetary incentives in the three ICAA countries. “We have a broad range of information we have produced and disseminated” (ISU consultation notes).

<sup>14</sup> WCS consultation Notes. The Directorate of Natural Resources of the Regional Government of Madre de Dios declared that WWF, SPDA, Pronaturaleza, AIDER, ACCA, RA, FZS, CARE were the organizations that have contributed to strengthening the Regional Government, Interview (11/4/14)

consortium has provided technical and legal assistance to government agencies on the development of Peruvian law on Ecosystem Services Retribution, (Law N ° 30250); proposed policies and regulations to facilitate the implementation of REDD+ on the framework of the draft regulation of Forestry and Wildlife Law; and provided legal and technical support on the development of a public registration of REDD+ projects.<sup>15</sup>

The IL consortium (through CEDISA) has been an important contributor for implementing a Payment for Hydrological Ecosystem Services (PHES) for the Cumbaza River in San Martin Peru. The ongoing process has taken more than 10 years and has required the participation of multiple stakeholders including cooperation partners. Before ICAA2, CEDISA's participation in the project was funded by the Inter-American Institute for Cooperation in Agriculture (IICA). ICAA2 support contributes to (i) facilitating the discussion of alternative legal proposals among participants in the PHES scheme in order to reach an agreement on the type of law required and (ii) sharing CEDISA experience drawn from the implementation of the PHES in the Cumbaza River for the drafting of the rules and regulations of the law.<sup>16</sup>

#### **Contribution to Outcomes:**

- The active role of ICAA2 partners, along with other stakeholders, in the Economic Incentives programs has enabled them to participate in discussions of the ecosystem services retribution law as well as policies and regulation for its implementation in Peru.

### **Integrating Ecosystem Services in the Planning Process**

The ICAA2 results chain hypothesizes that integrating of ecosystem services in the planning process will lead to economic services integrated to the sustainable development process and more favorable conditions for the implementation of economic incentives programs for conservation. The evaluation team identified the following ICAA2 activities designed to integrating of ecosystem services in the planning process.

Interest of regional governments to incorporate ecosystem services as a result of the ICAA2 activities is key for increasing the impact of the program. In this regard, ISU reports that as a result of its work in REDD+ and PES, six regional governments have verbally shown willingness to include PES in their policies (Loreto, Madre de Dios, Caquetá, Napo and Sucumbíos) and have agreed to have valuation studies. ISU also reported that one of them has expressed the intention to incorporate the program in its planning.<sup>17</sup>

As a way to incorporate ecosystem services into the planning process, in Palma Real, income generated from non-ICAA2 payment for environmental services has been incorporated into the financial planning of the ICAA2 activities of the SL consortium.<sup>18</sup>

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<sup>15</sup> WCS consultation Notes.

<sup>16</sup> TNC Quarterly Report Q2 2014, confirmed by interview with CEDISA, (10/30/14).

<sup>17</sup> Interview with ISU (10/30/14) .

<sup>18</sup> In Tambopata, Condor Travel, a private company, buys carbon credits provided by an AIDER non- ICAA2 REDD+ initiative and 70% of that funding (aprox s/ 30000/yr) is spent implementing the tourism plan of Palma Real, which is a ICAA2 activity. Interview with RA, (11/13/14).

**Contribution to Outcomes:**

- As a result of their work with ICAA2 partners, local governments have shown interest in incorporating REDD+ and PES instruments into their policies and planning generating positive conditions for the implementation of economic incentive programs in those areas. The challenge is to scale up these experiences to additional governments. The diffusion of the program experiences and the exchange of ideas is paramount on deepening the impact of the program.

DRAFT

# ANNEX K: LARGE-SCALE PLANNING RESULTS CHAIN PROGRESS ASSESSMENT

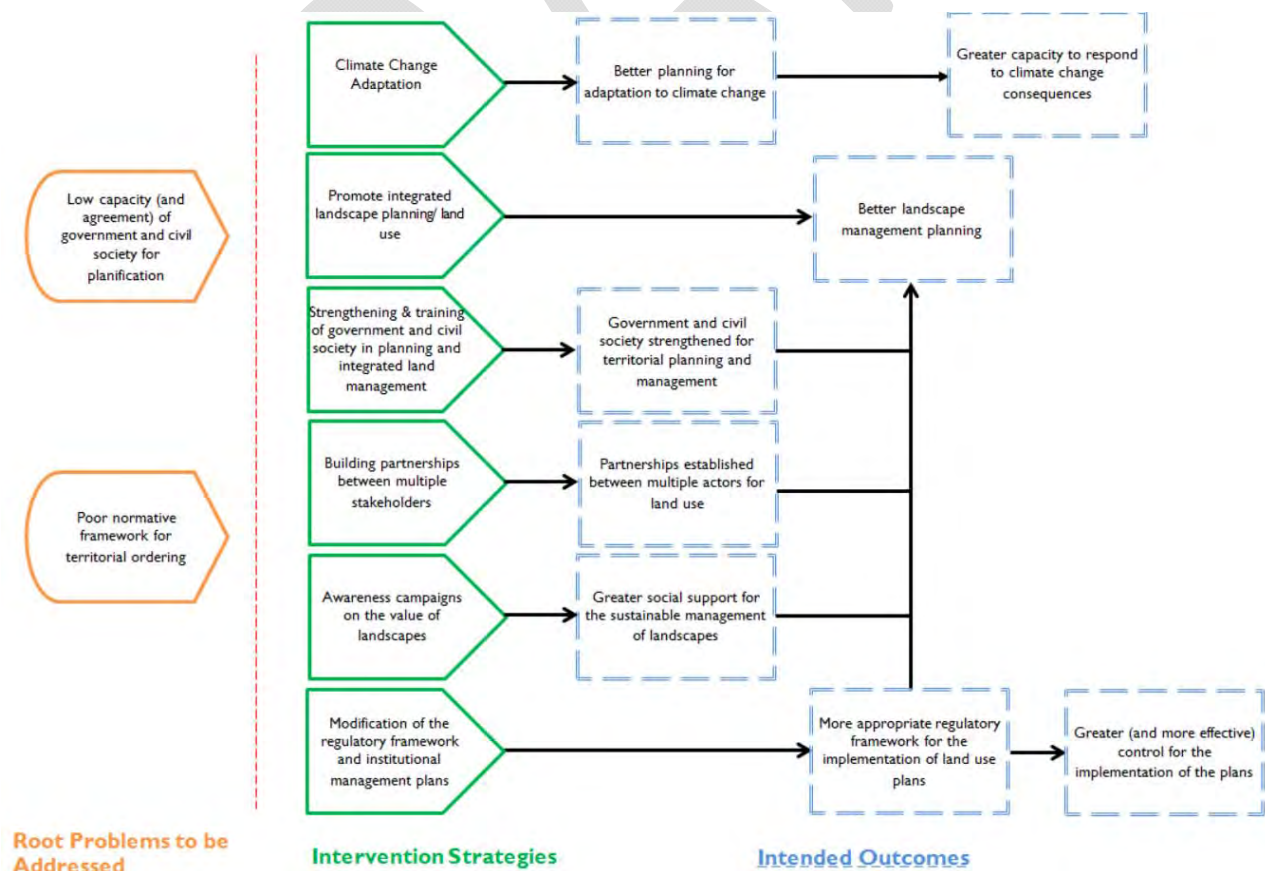
## Results Chain Logic

The high-level objectives of the Large-Scale Integrated Resource Planning results chain are a greater capacity to respond to climate change consequences and a greater and more effective control for the implementation of land use plans, achieved through (1) better planning for adaptation to climate change, and (2) better landscape management planning. An improved landscape management planning is obtained through (i) government and civil society strengthened for territorial planning, (ii) partnerships established between multiple actors for land use, (iii) greater social support for the sustainable management of landscapes, and (iv) more appropriate regulatory framework for the implementation of land use plans. To achieve these intermediate outcomes, ICAA2 pursues the following strategies:

- Improving climate change adaptation;
- Promoting integrated landscape planning and use;
- Strengthening and training of government and civil society in planning and integrated land management;
- Building partnerships between multiple stakeholders;
- Implementing awareness campaigns on the value of landscapes; and
- Modifying the regulatory framework and institutional management plans

A graphic depiction of this results chain is included below:

**FIGURE I: LARGE-SCALE INTEGRATED RESOURCE PLANNING RESULTS CHAIN**



## Intervention Strategies, Findings and Contribution to Outcomes

The evaluation team identified activities in the six result chain strategies mentioned above. ICAA consortia and partners have directly supported and joined forces with regional, local governments and civil society that has resulted in scattered but positive experiences in better landscape management planning.

### Improving Climate Change Adaptation

The ICAA2 results chain hypothesizes that improving climate change adaptation enhances the capacity to respond to climate change consequences. The research team identified ICAA2 consortia providing technical support to regional and local governments for integrating climate change considerations into their planning processes and increasing the population response capacity to extreme weather events.

In Madre de Dios, the PM consortium under an inter-institutional agreement has provided technical support to the Tahuamanu municipal government to carry a climate change flood vulnerability analysis as part of a risk management and adaptation to climate change plan for the Tahuamanu watershed. Specifically PM consortium helped focus in defining an initial plan; developing a methodology and tools to collect information about communities perception of climate change and capacity to respond to climate change; and to raise community awareness of risks of flood and fires through workshops. These activities are aligned with national guidelines and the community is better prepared to face the next wet season.<sup>1</sup>

In Ucayali, the PM consortium has incorporated adaptation to climate change in the Participatory Regional Development Plan. In addition CARE is training staff of the Finance Ministry on how to develop public investment projects that take adaptation to climate change measures into account.<sup>2</sup> In Purús they trained 24 public institution officials (Municipality, Regional office, SERNANP) on designing public investments that consider climate change.<sup>3</sup>

In Napo, the SL consortium provided the methodology and planning approach to support the Hatun Sumaku local government in integrating climate change and disaster risk as key topics into its Participatory Land Use and Development Plan (PDOT). Since the methodology is going to be used by the GEF project in other PDOTs this will have an extended impact on the Napo Region.<sup>4</sup>

In Madre de Dios, the MDD consortium supported the Regional Emergency Operation Center (COER) with key equipment (i.e. high frequency radios) and training for strengthening an early warning system for floods and fires.<sup>5</sup> The consortium has also conducted awareness campaigns in climate change.<sup>6</sup>

A better coordination between PM and MDD consortia in prevention and responding of climate change activities is a challenge to be undertaken in the near future. PM has an agreement with the Tahuamanu municipal government but MDD has not. They have met to jointly plan activities but an agreement is yet to be signed.<sup>7</sup>

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<sup>1</sup> Pre-field Skype Interview with CARE (10/21/14) confirmed by interview with Tahuamanu Municipality (11/18/14)

<sup>2</sup> Interview with CARE (10/21/14)

<sup>3</sup> Interview with CARE-Purús Field Team (11/17/14)

<sup>4</sup> Interview with GEF, (11/26/14) confirmed by interview with the president of the Hatun Sumaku Parish Council, (11/27/14)

<sup>5</sup> Interview with COER (11/3/14)

<sup>6</sup> Madre de Dios Special Project field conversation (11/17/14)

<sup>7</sup> Interview with Tahuamanu Municipality (11/18/14)



### Contribution to Outcomes:

- ICAA activities have produced tools and improved technical capacity for local governments and communities to prepare for climate change consequences related to foods, high winds and wild fires and contributed to integrate climate change issues in regional development plans and public investment plans.

## Promoting Integrated Landscape Planning and Land Use

The ICAA2 results chain hypothesizes that the promotion of integrated landscape planning and land use will lead to a better landscape management planning. The research team identified four types of activities: supporting the definition of land use plans, incorporating mapping and zoning in promoting sustainable productive activities, assessing the impact of large infrastructure projects, and monitoring and raising awareness of the effects of inadequate mining.

In addition to the contributions of the ICAA2 consortia to Land Use Development Plan mentioned in the strategy for improving climate change adaptation, the IL consortium is supporting the Sucumbios Municipal government in updating the formal spatial zoning plan (PDOT). The updating exercise started in September 2014 and will finish in March 2015, and follows the guidelines of the National Planning Agency (SENPLADES). The consortium has provided maps, trained Municipal environmental department officials in using mapping software as well as in interpreting the geographic information.<sup>8</sup> Also the IL consortium has prepared a pre-feasibility report for establishing an ecological corridor between the municipalities of Cascales, Gonzalo Pizarro, and Sucumbios Alto.<sup>9</sup>

Land use change is addressed by promoting zoning at the community level. Most ICAA2's consortia interventions promoting sustainable livelihoods are based upon either existing forest inventories, zoning and mapping or information gathered by ICAA partners.<sup>10</sup> The SL consortium in Sonene and Palma Real carried out a forest inventory which was the base for the communities five years forestry plan, and in Cuzco the consortium geo-referenced farms as an input for planning and implementing sustainable land use.<sup>11</sup> SL and PM consortia tourism activities in Sucumbios and in and Madre de Dios are based some indicators of maximum visits and management plans.<sup>12</sup>

The Madre de Dios, LMT PM and IL consortia activities aimed to reduce the impact of large infrastructure projects impacts on land use and have incidence on the decision making process of these high impact projects. The MDD consortium focuses on the recently established *Interoceánica Sur* road to reduce its impact and provide communities with sustainable agroforestry alternatives to industrial crops (papaya) and cattle grazing.<sup>13</sup> The LMT consortium (WCS) informs and strengthens private sector and civil society organizations capacities on the mitigation hierarchy and biodiversity offsets –as a means of

<sup>8</sup> Sucumbios Municipality (La Bonita) Interview (12/2/14)

<sup>9</sup> TNC Quarterly Report Q2 2014.

<sup>10</sup> In Puerto Arturo, Boca Pariamanu and Sonene, communities have management plans for both brazil nut (ACCA) and timber (RA support) concessions. Puerto Arturo site visit (11/3/14), Boca Pariamanu site visit (11/6/14), and Sonene site visit (11/6/14).

<sup>11</sup> In Napo, the SL consortium intervention is aligned with the goals of the 2020 provincial territorial development plan where sustainable production seeks to revitalize the ancestral agroforestry production and foster a better land management to decrease change in land use and illegal logging activities. GIZ-Napo interview (11/26/14) and confirmed by Napo Regional Government (GADP) (11/26/14)

<sup>12</sup> RA Quarterly report Q2 2014

<sup>13</sup> RA-CN and RA report Q4 2014 Report. In the National Reserve of Tambopata-Madre de Dios, the SL consortium provides the information to define the acceptable limits of change for the definition of the number of tourist and visitor permits the SERNAP can grant, SERNAP-Lago Agrio interview (11/7/14). In Cuyabeno, RA uses visitor management plans to help tourism enterprises to improve their practices, Cuyabeno site visit (12/3/14 & 12/4/14)

<sup>14</sup> Madre de Dios-UF Report Q2 and Q1 2014 confirmed by site visits San Francisco (11/8/14), La Novia and La Merced (11/12/14)

reducing the threats of ill-planned infrastructure to the landscapes.<sup>14</sup> The PM and IL consortia carried out a communication and advocacy campaign to halt the Puerto Esperanza-Iñapari and Pucalpa-Cruzeiro do Sul roads.<sup>15</sup>

To promote integrated land planning and land use ICAA2 consortia works together with local governments to raise awareness of the impact of inadequate and illegal mining and also to provide examples of restoration of mining areas working with artisan miners. MDD consortium and HED along with regional public offices, NGOs and UNAMAD are members of the monitoring and control advisory committee in mercury contamination. This committee is overseeing a research agenda in the effects of mercury on humans to generate information for future policies and regulations.<sup>16</sup>

#### **Contribution to Outcomes:**

- The definition of land use plans and incorporating mapping and zoning in the process of developing productive activities is a fundamental input for improving landscape management planning in the areas where the consortia work. Implementing these plans and scaling up the experiences to cover a larger area are challenges to face in the next few years.
- Providing technical information on the impact of large infrastructure projects, monitoring and raising awareness of the effects of inadequate mining generate favorable conditions in the community and regional governments for future policies and regulations aimed at reducing impacts.

### **Strengthening and Training of Government and Civil Society in Planning and Integrated Land Management**

The ICAA2 results chain hypothesizes that strengthening and training of government and civil society in planning and integrated land management will lead to stronger and more capable agents in landscape management and planning. The evaluation team identified three types of activities being undertaken by ICAA2 IPs that are designed to strengthening and training government and civil society in planning and integrated land management.

#### **(i) Providing resource information, zoning and mapping**

At the National Level, DOI and the C&G consortium in Colombia have collected and mapped geographic information of the connecting corridors of the Amazon region and the Andes and identified the critical areas. This information has been paramount for selecting project sites and coordinating with other projects.<sup>17</sup> Also DOI is joining Colombia Amazon Vision 2020 project by providing the geographic information produced with ICAA2 resources.

At the subnational and local levels, ICAA2 consortia have been active joining efforts with local governments in defining land use and development plans and supporting landscape planning and management. The PM consortium in Madre de Dios joined efforts with the PeruBosques project (USAID) and the regional government to lead the drafting the Participatory Regional Development Plan.<sup>18</sup> Also, the PM consortium worked with the Tahuamanu Municipality collecting baseline data and providing a methodology to produce risk and vulnerability maps of several areas (Iñapari, Bélgica native

<sup>14</sup> WCS CN

<sup>15</sup> WWF Annual Report 2013 confirmed by interviews with IBC (11/17/14) and Tahuamanu Municipality (11/18/14).

<sup>16</sup> Interview with the Ministry of Health-Madre de Dios (11/3/14)

<sup>17</sup> Interview with DOI (12/5/14) and Colombia National Natural Parks (12/10/14). Among the criteria to select sites are forest cover, ecosystem connectivity, vulnerability (i.e. colonization caused by the construction of the Florencia-Pitalito road), biodiversity significance (new species are still found in some areas), and strategic value for the watershed system.

<sup>18</sup> WWF consultation notes confirmed by CARE Madre de Dios technical team (11/14/14)

community, Pacahuara native community, among others).<sup>19</sup> The IL consortium in Sucumbios has signed cooperation agreements with both the provincial and the municipal governments of Sucumbios to strengthen landscape planning and facilitate the definition of areas for conservation and the provision of ecosystem services by updating land and vegetation maps.<sup>20</sup> In Ucayali, IL has assisted on the validation of the ecologic and economic zoning<sup>21</sup> and through the Conservation Strategy Fund has funded studies that address economic evaluation of hunting of wildlife in northeastern Ecuador.<sup>22</sup> The SL consortium has assisted the Hatun Sumaco parish council in drafting the 2014-2024 Landscape Plan<sup>23</sup> and the Cuyabeno municipality to establish a solid waste recollection system.<sup>24</sup>

## **(ii) Strengthening community based capacity for monitoring and surveillance of natural resources**

The USFS has held workshops which include the topic of community based working groups training and the development of management plans to reduce illegal logging.<sup>25</sup>

The LMT consortium supported the elaboration of the Management Plan of the Community Forest Reserve, provided trap cameras and trained members of the civil society association -MABOSINFFRON in management, monitoring and research allowing the Government of Ucayali's Forest and Wildlife Directorate to officially recognize this association as forest stewards by issuing a resolution that legally give the association the power to stop illegal activities in the buffer zone of the community reserve of Purús.<sup>26</sup>

In the Regional Conservation Area Tamshiyacu-Tahuayo – ACR TT Loreto, the LMT consortium supports the fish and wildlife community based surveillance system. The management committee of the ACR TT which has representation of ten communities that live in the area, defines fishing and hunting quotas, monitor compliance and have the right to confiscate fish or wildlife above the quota. The consortium, as part of the Technical Advisory Group of the ACR TT, aligns its activities to the community goals and focuses on improving their technical capacity of the committee and the information gathering to support decision making. There are no formal by-laws for the governance structure of the management committee but the communities are required to have internal agreements on natural resource management. All four communities visited by the research team have participatory governance structure with specific responsibilities for registering the fishing and hunting quotas, which are assigned to each family member annually, and monitored in a by-monthly basis. In all four communities visited, inhabitants mentioned the increase in fish and fauna population as a result of quotas established, especially in regards to the conservation target species as a result from the quotas established. The main challenges for the sustainability of this effort are to achieve legal recognition currently pursued by a DAR's project financed by FONDAM and financial self-sufficiency.<sup>27</sup>

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<sup>19</sup> Interview with Tahuamanu Municipality (11/18/14)

<sup>20</sup> Sucumbios Municipality Interview (12/2/14) and TNC field technical team (12/2/14)

<sup>21</sup> TNC Consultation Notes.

<sup>22</sup> Montaña, Enrique, Moreno-Sanchez, Rocio, Maldonado Jorge (2014) La caza de fauna silvestre en la región económica del noreste de Ecuador: Análisis bioeconómico de su uso como fuente de proteína para nacionalidades indígenas. ICAA publication, Peru.

<sup>23</sup> RA Quarterly Report Q2 2014 confirmed by interview with the newly elected Hatun Sumaku council president and the TNC field team (11/27/14).

<sup>24</sup> RA Quarterly Report Q2 2014 confirmed by interview with a former mayor of Cuyabeno (12/3/14).

<sup>25</sup> USFS consultation notes.

<sup>26</sup> Interview with Asociación de Manejo de Bosques sin Fronteras de la Cuenca Rio Novia-Purús Ucayali (11/18/14). Regional Government of Ucayali, Forest and Wildlife Directorate Executive Resolution No. 339 August 26 2024.

<sup>27</sup> Group interviews San Juan (11/5/14), Buena Vista (11/5/14), San Pedro (11/6/14) and El Chino (11/6/14).

### **(iii) Supporting lawful rights claim and community surveillance**

Raising awareness in communities who hold legal concessions of their rights, teaching them and giving them legal advice for filing a complaint and to legally defend their rights empowers the communities and enables them to become part of the monitoring and surveillance efforts.

At the regional level, DOI facilitates a dialog and experience sharing of the Latin-American network of environmental prosecution offices.<sup>28</sup>

In Loreto and Madre de Dios, the LMT consortium provide information and legal assistance to landowners with legal titles and natural resource use rights holders to ensure that they know and use available legal tools in their defense against threats (e.g. illegal mining, land invasions, etc.).<sup>29</sup>

The PM and LMT consortia facilitate litigation against environmental crime by strengthening public prosecutors for environmental infractions, helping people in the legal proceedings,<sup>30</sup> alerting law enforcement agencies of illegal activities, and supporting formalization of informal mining. The MDD consortium works in communities to restore natural resources and strengthen communities of informal miners in buffer zones to protect from illegal mining.<sup>31</sup>

The threat of high turnover of government officials limits the improvement of technical and managerial capacity to better landscape management planning.<sup>32</sup>

#### **Contribution to Outcomes:**

- Resource information, zoning and mapping has led to local and national and governments and civil society strengthening and coordination.
- Raising awareness in communities holding legal concessions of their rights and teaching and giving them legal advice for filing a complaint and legally fight for their rights, empowers the community and enables them to become an active participant of the monitoring and surveillance system. Corruption and shortage of government prosecutors are the biggest challenges to the empowerment of communities.
- High turnover of government officials and institutional vulnerability of civil society organizations are important challenges to ensure that technical strengthening generates better landscape planning.

### **Building Partnerships between Multiple Stakeholders**

The ICAA2 results chain hypothesizes that facilitating building partnerships will lead to collaboration between different stakeholders to improve land use. The evaluation team identified the following activities that promote partnerships for improving land use.

ICAA2 consortia WWF, MDD and LMT have been participating in roundtables in Madre de Dios regarding climate change, illegal mining<sup>33</sup> and RD in the round table of illegal mining in Colombia.<sup>34</sup>

<sup>28</sup> DOI interview (12/5/14)

<sup>29</sup> WCS CN and WCS 2014 Q2 Report and confirmed during interview with Defensoria del Pueblo, Madre de Dios (11/3/14).

<sup>30</sup> LMT intervenes especially regarding illegal logging. WCS 2014 Q2 Report.

<sup>31</sup> Interview with Manuani Farmers and Miners Association (11/10/14)

<sup>32</sup> “When government official change we have to start all over again”, pre-field Skype interview Woods Hole Research Centre, (10/2/14). In the field visit to the Hatun Sumaku Parish, (11/27/14), the recently-elected parish council president was not sure the steps required to implement the Land Use and Development Plan. “Government officials turnover is an important problem and is the reason why we need protocols and guides” interview with Regional Government of Madre de Dios (11/4/14).

In Ecuador the IL consortium has worked with the Ministry of Environment, Ecuadorian Institute of Intellectual Property-IEPI and with the Socio Bosque program. However, the cessation of the USAID-Government of Ecuador relationship caused the cancellation of the Conservation Strategy Fund activities, although the Socio Bosque program related activities are still being performed through the indigenous organization NOAI'KE, a consortium partner.<sup>35</sup>

In Peru, the PM consortium has worked with the Ministry of Culture (promoting application of Free Previous and Informed Consent strategies and development of strategies on Indigenous Peoples in Voluntary Isolation and Initial Contact), the Ministry of Energy and Mining (legalization of informal miners), Public Ministry (provision of spatial information required for the prosecution of environmental crime) and the Ministry of Finance (climate smart public investment training, through CARE). In Ecuador, the SL consortium has established effective partnerships with the Ministry of Tourism (visitation management strategies in Protected Areas, with the Ministry of Agriculture (piloting Reforestation Incentive with Wamani community) and the Public Ministry (information for prosecution of environmental crime). These partnerships have been triggering positive processes and concrete agreements.<sup>36</sup>

In Sucumbios, IL has signed cooperation agreements with both the provincial and the municipal governments to support the landscape planning by producing land and vegetation maps.<sup>37</sup> With support from the Ministry of Environment through a KFW program, a financial sustainability strategy for La Bonita Municipal Reserve (in Sucumbios Municipality) will be carried out; this positive alliance was triggered by IL partners.<sup>38</sup> The IL consortium has managed to establish a logical implementation strategy between the Net Zero Deforestation (NZDZ, USAID) and ICAA2.<sup>39</sup>

DOI supports the Colombian Government effort to develop a national strategy for the Amazon providing small cash contribution but geographical information to a USD 30 million GEF project that is in the process of receiving additional contribution of several donors (i.e., Norway, EU, Germany).<sup>40</sup>

Deepening and making more systematic the consortia planning activities and encouraging experience sharing are challenges that ICAA2 faces to build stronger and lasting partnerships in management planning.

#### **Contributions to Outcomes:**

- ICAA2 IPs have participated in several roundtables and committees in climate change, ecosystem services and illegal mining. The challenge to better impact land use planning at a larger scale is to develop and implement a multilevel strategy to widen partnerships for land use.
- ICAA2 IPs have built partnerships to achieve specific tasks that have proven to be successful. Generalizing longer term cooperation agreements among stakeholders are challenges for lasting partnerships in management planning.

<sup>33</sup> Interview with Madre de Dios Government officials (11/4/14)

<sup>34</sup> Interview with National Natural Parks-Amazon Division (12/10/14)

<sup>35</sup> Interview with TNC (11/25/14)

<sup>36</sup> WWF-Quarterly Report Q2 2014.

<sup>37</sup> TNC Consultation Notes confirmed by Interview with Sucumbios Municipality (12/2/14)

<sup>38</sup> Sucumbios Municipality interview (12/2/14)

<sup>39</sup> Interview with TNC (11/25/14), confirmed by Sucumbios provincial government (12/1/14)

<sup>40</sup> Interview with DOI (12/5/14) and Colombia National Natural Parks (12/10/14)

## Implementing Awareness Campaigns on the Value of Landscapes

The ICAA2 results chain hypothesizes that implementing awareness campaigns on the value of landscapes will raise social support for the sustainable management of landscapes. The evaluation team identified the following activities that are directed to improve the perception of value of the landscapes.

The IL consortium has contributed to value landscapes and territorial planning by surveying and mapping both historical and cultural places<sup>41</sup> of the Cofán indigenous population as well as land use and vegetation<sup>42</sup> of the municipality of Sucumbios (La Bonita). In addition, the IL consortium has trained members of the Cofán IP and municipal government officials in geographical collection and representation of data. The consortium is working with the municipal government of Sucumbios to raise appreciation for the municipal protected area's biodiversity as a key contributor to both water supply as well as tourist attraction as part of the municipal development.<sup>43</sup>

The PM consortium has created greater awareness of the value and importance of the Purús reserve for the Tahuamanu region and the importance of specific species (Taricaya and Giant Otter) in the protected and buffer zones of PNAP and RCP.<sup>44</sup> This awareness has persuaded national authorities and local governments to engage in improving the management of the reserve and mobilize people and resources when threats appear.<sup>45</sup>

### Contributions to Outcomes:

- ICAA2 consortia have contributed to create awareness of the importance conservation of the integrity of specific landscapes and species, the challenge is to escalate these efforts.

## Modifying the Regulatory Framework and Institutional Management Plans

The ICAA2 results chain hypothesizes that adapting the regulatory framework and institutional management plans leads to a more effective control and implementation of land use plans. The evaluation team identified the following ICAA2 activities designed to modify the regulatory and institutional management plans.

The PM-WWF Roundtable for Dialogue and Coordination contributed to the Forestry law and regulations and to identify bottlenecks in forest management in the region.<sup>46</sup> In Peru, LMT-WCS-SPDA provided support for drafting the Law 30250 on Ecosystem Services Retribution through stakeholder meetings that provide institutional and financial tools for sustainable management landscapes.<sup>47</sup>

In Loreto, the LMT consortium has contributed to advance fisheries and hunting community-based management experiences that have produced regulation for fisheries management, collection and processing of fisheries information and to establish communities' participation in fishing management for the Peruvian Amazon.<sup>48</sup> Also, the LMT consortium has supported collective land titling in ACR TT

<sup>41</sup> For this survey the IL consortium has collaborated with FEINCE, TNC Annex Table 4, Quarterly Report, Q2 2014.

<sup>42</sup> For mapping of land TNC has worked with the provincial and municipal governments in Sucumbios, TNC consultation Notes and corroborated in the Interview with Sucumbios Municipality (La Bonita) (12/2/14)

<sup>43</sup> Interview with Sucumbios Municipality (La Bonita) (12/2/14)

<sup>44</sup> WWF field interview (11/11/14) confirmed by interview with Frankfurt Zoological Society (11/11/14), field visit to Niña María Educational Institute Iberia (11/11/14) and interview with Tahuamanu municipal government (11/18/14).

<sup>45</sup> Interview with Tahuamanu municipal government (11/18/14) and interview with Frankfurt Zoological Society (11/11/14).

<sup>46</sup> WWF Consultation Notes, PM-WWF Quarterly Report Q2 2014.

<sup>47</sup> WCS consultation notes confirmed by Interview with ISU (10/30/14).

<sup>48</sup> Interview with the Directorate of surveillance and control at the Loreto Regional Government-DIREPRO (11/3/14).

seeking the consolidation of biodiversity and sustainable management in the protected area's buffer zones.<sup>49</sup>

In Napo the SL consortium supports the drafting of the regulation of access, use and exploitation of natural resources, regulations for each Hatun Sumaku parish communities.<sup>50</sup>

**Contribution to Outcomes:**

- ICAA2 consortia have contributed to forestry law and its regulation in Peru and local regulations for the management of landscapes and resources in Peru as well as in Ecuador. Contributing in PDOT is an effective way to integrate institutional efforts beyond the occasional collaboration.

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<sup>49</sup> Interview with the Directorate of Titling at the Ministry of Agriculture- DISAFILPA, Iquitos (11/3/14).

<sup>50</sup> RA Quarterly report Q2 2014.

# ANNEX L: KNOWLEDGE MANAGEMENT RESULTS CHAIN PROGRESS ASSESSMENT

## Results Chain Logic

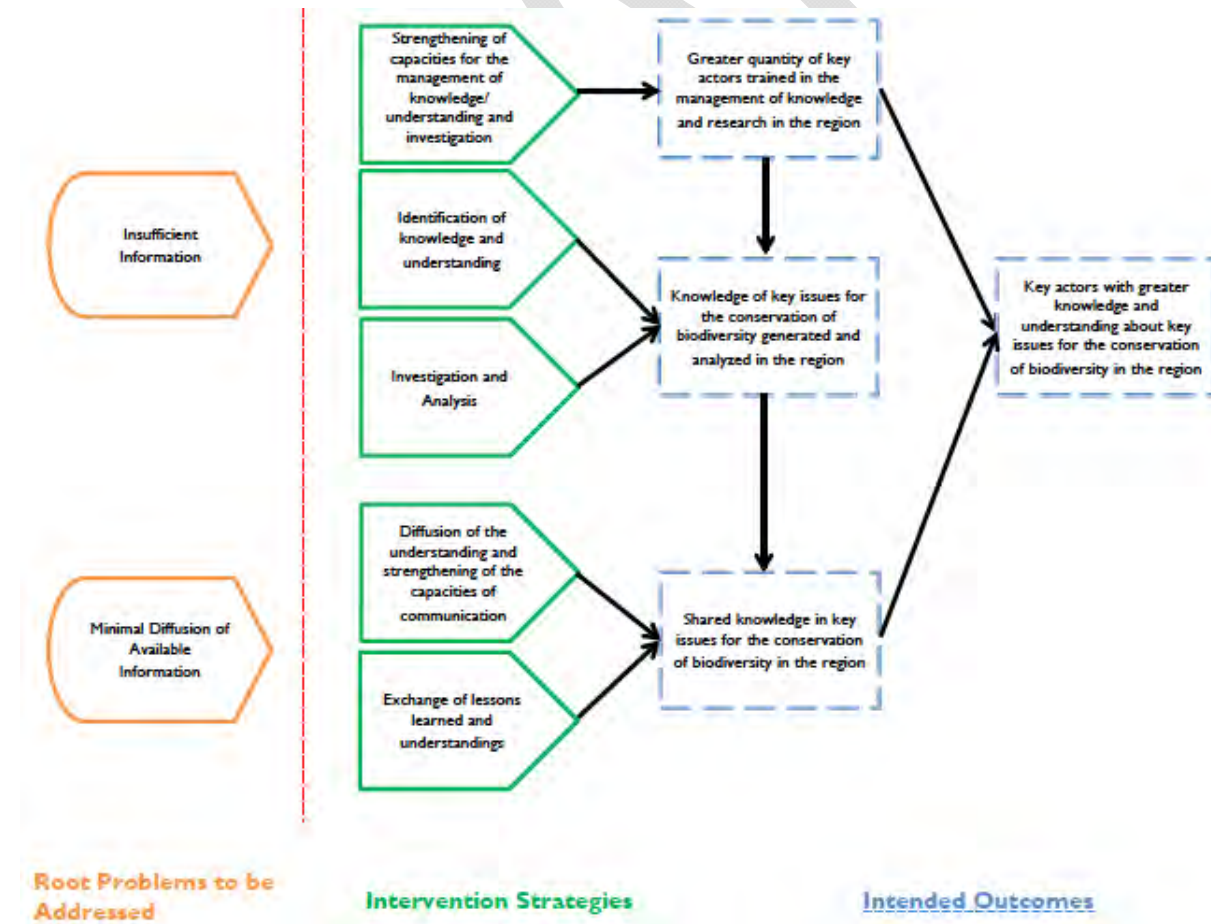
The high-level objective of the Generation and Dissemination of Knowledge/Understanding results chain is to obtain key actors with greater knowledge and understanding about key issues for the conservation of biodiversity in the region, achieved through (1) greater quantity of key actors trained in the management of knowledge and research in the region, (2) knowledge of key issues for the conservation of biodiversity generated and analyzed in the region and (3) shared knowledge in key issues for the conservation of biodiversity in the region.

To achieve the intermediate outcomes in this chain of results, ICAA2 pursues the following strategies:

- Strengthening of capacities for the management of knowledge/ understanding and investigation;
- Identification of knowledge and understanding;
- Investigation and Analysis;
- Diffusion of the understanding and strengthening of the capacities of communication; and
- Exchange of lessons learned and understandings

A graphic depiction of this results chain is included below:

**FIGURE I: GENERATION AND DISSEMINATION OF KNOWLEDGE/UNDERSTANDING RESULTS CHAIN**





## Intervention Strategies, Findings and Contribution to Outcomes

Knowledge generating and dissemination activities and products are part of the critical strategies each consortium carries out to accomplish their outcomes and most ICAA II consortia (landscape and technical partners<sup>1</sup> contribute to this chain of results.<sup>2</sup> For methodological purposes, the following discussion will center on concrete results where changes in policy, levels of cooperation, nature of dialogue, discussion among have occurred, and thus pertain to the high-level results chain objective. Results obtained or derived from training and dialogue activities implemented by consortia partners' in their landscape intervention is discussed in the corresponding chains of results.

The operating framework of this chain of results is the Understanding and Solutions for environmental problems Action Plan (2012-2016) developed by ISU in consultation with consortia partners as well as key stakeholders in the countries (NGOs, Universities, Research Centers, Government officials, etc.). The Action Plan defines three critical themes and specific research topics, where knowledge/understanding is a priority, depicted in the following table:

**TABLE I: CRITICAL THEMES AND RESEARCH TOPICS AS DEFINED IN UNDERSTANDING AND SOLUTIONS FOR ENVIRONMENTAL PROBLEMS ACTION PLAN (2012-2016)**

Critical Themes	Specific Research Topics
<b>Biodiversity</b>	Status of animal species that indicate ecosystem health; and
	Climate change effects on Amazon biodiversity and species adaptation strategies
	Cultural and traditional uses and management of biodiversity resources
	Identification of local, national and regional conservation priorities
	Impacts of development and infrastructure projects on biodiversity
<b>Socio-economic issues</b>	Identification of the drivers of deforestation and biodiversity loss
	Estimation of the value of standing forests for subsistence, local development and environmental services
	Economic incentives for biodiversity conservation and protection of indigenous territories
	Opportunity cost of land uses and conservation
	Analysis of the conservation effectiveness of programs that apply gender-based incentives
<b>Infrastructure investments</b>	Analysis of high-risk road and hydroelectric projects in the Andean Amazon region
	Criteria for comprehensive evaluation of impacts of large infrastructure projects (i.e. direct and indirect impacts, as well as short and long-term impacts)
	Best practices and standards for infrastructure development, and protocols for compensation policies

Source: ISU 2012 Understanding and Solutions for environmental problems Action Plan 2012-2016

The strategies correspond to the three themes prioritized the Action Plan and their implementation is organized in three lines of action: (I) Funding key research in biodiversity, socio-economic and

<sup>1</sup> CIFOR is the only technical partner that did not mention its contribution to this chain of results. However, being a research organization it is contributing to increase knowledge of challenges to conservation in the Amazon.

<sup>2</sup> Out of all the activities inventoried 66% correspond to training (22%), dialogue activities (17%) and products/dissemination (27%) (MSI, 2014. ICAA II Performance Evaluation: Design Proposal)

infrastructure issues, (2) Strengthening dialogue and dissemination of research findings, and (3) Strengthening institutional and individual research capacities.

ICAA II partners carry out the lines 1 and 2 and in key research gaps ISU manages a public research grant process, where external experts can compete. In line 3 the preferred mechanism is a scholarship and research grant program managed by ISU (Knowledge Management Unit).<sup>3</sup>

### **Strengthening of capacities for the management of knowledge/ understanding and investigation**

The ICAA2 results chain hypothesizes that strengthening of capacities for the management of knowledge/ understanding and investigation will lead to greater quantity of key actors trained in the management of knowledge and research in the region. The evaluation team identified a number of activities being undertaken through ICAA2 that are designed to strengthen the capacities for the management of knowledge/ understanding and investigation.

ISU has designed and managed a research and scholarship grant program on key challenges to biodiversity conservation awarding more than 30 grants in the two cycles (2012 and 2014).<sup>4</sup> In turn, over 10 research projects and thesis on different social and environmental issues lead by students and other experts have been completed or underway, by successful partnership with universities in the three countries promoted by HED.<sup>5</sup>

In addition, SL, FA and C&G consortia have promoted and developed individual and institutional capacity for research and analysis of knowledge and understandings through trainings, workshops and multi-stakeholder dialogues in key conservation issues that support implementation in their landscapes. SL partners, for example supported the Municipality of Tarapoa to conduct water studies to comply with the sustainable tourism strategy developed for Cuyabeno Reserve. In turn, to support sustainable management of Brazilian nut, SL consortia have established partnerships with Madre de Dios University (UNAMAD) to conduct research that will enhance production.<sup>6</sup>

Internally, capacity building efforts leads by ISU have supported analysis and understandings of key issues in conservation amongst ICAA2 partners. Establishing virtual training mechanisms (i.e. webinars) has improved participation.<sup>7</sup>

#### **Contribution to Outcomes:**

- Capacity building through university programs, trainings (both on-line (webinars) and classroom modalities), grants and scholarships has increased knowledge management and research skills in a great number of stakeholders across the region.
- HED has partnered with four universities (1 in Co, 2 in Ec and 1 in Pe) to establish ecology and conservation careers and promote student lead research in key conservation issues.
- ISU has funded more than 10 research projects and granted over 20 individual scholarships.
- Internal capacity building for ICAA II partners has also been implemented, the on-line training and technical assistance in gender issues coordinated by ISU is noted as a positive initiative.

<sup>3</sup> ISU 2012. Understanding and Solutions for environmental problems Action Plan (2012-2016)

<sup>4</sup> ISU reports, Interview ISU (10/30/14), Interview Conservation Strategy Fund (10/27/14).

<sup>5</sup> HED Consultation Note, Interview Universidad Nacional de Ucayali (11/19/14)

<sup>6</sup> FA and C&G Consultation Notes; FA and C&G Reports; Interview RA (11/24/14), Group Interview Tres Islas (11/5/14), interview with Alcalde Emilio Irene Tarapoa (12/3/14) and group interview in Puerto Arturoa (11/15/2014).

<sup>7</sup> Interviews ISU (10/30/14) and (11/24/14); ISU reports

## Identification of knowledge and understanding

The ICAA2 results chain hypothesizes that a structured process of identification of knowledge and understanding will lead to an increase in knowledge of key issues for the conservation of biodiversity generated and analyzed in the region. The evaluation team identified a number of activities being undertaken through ICAA2 that are designed to identify knowledge and understanding.

A core output, rendering significant results in prioritizing knowledge and understanding needed is the Understanding and Solutions for environmental problems Action Plan (2012-2016). This Action Plan, as mentioned previously, was drafted by ISU in consultation with consortia partners, as well as key external stakeholders.<sup>8</sup> The resulting Action Plan aligns research efforts amongst partners and contributes to view how these interlock in contribution to the high-level objective.

The Action Plan is comprehensive enough to include most priorities needed at landscape levels. However, research and understanding priorities change dynamically, especially at field level. Consortia partners have responded effectively to these changes in most cases, conducting priority research in tune with local needs. These as mentioned before are reported in the other results chains, as they are part of the outputs and outcomes of their intervention in the landscapes.

ISU's Knowledge Management Unit role in providing timely coordination and technical assistance in a significant portion of the products has contributed to the implementation of the Action Plan and facilitated resonance and widespread distribution with key audiences and stakeholders.<sup>9</sup>

Although knowledge and research on biodiversity conservation and sustainable management in the region has experienced a significant growth in the past years,<sup>10</sup> there are critical areas where gaps are found. In addition, the nature and scale of the socio-economic drivers behind deforestation, land use change and loss of livelihoods demands up to date applied knowledge and evidence that can influence policy decision-makers, local and indigenous communities, private business, among other key stakeholders. However translating evidence into better decision-making requires a number of complementing efforts in communication, education and dialogue. These elements were considered in the Action Plan as well as in the construction of this chain of results. Increasing and improving knowledge and understandings of the conservation challenges is expected to contribute with solutions and innovations to deforestation, unsustainable natural resource governance and sustainable livelihoods in the region.

### **Contribution to Outcomes:**

- Key challenges and issues for conservation and sustainable management in the region have been addressed in alignment with the programs' Understanding and Solutions for environmental problems Action Plan (2012-2016). Having a common framework guiding the strategies and expected results has been very positive. It has promoted collaborative and synergistic work, not only amongst ICAA II partners but also with external stakeholders.

## Investigation and Analysis

The ICAA2 results chain hypothesizes that increasing investigation and analysis will lead to greater knowledge of key issues for the conservation of biodiversity generated and analyzed in the region. The

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<sup>8</sup> ISU 2012. Understanding and Solutions for environmental problems Action Plan (2012-2016), Interview ISU (10/30/14).

<sup>9</sup> Interviews ISU (10/30/14) and (11/24/14).

<sup>10</sup> ISU, 2012 Understanding and Solutions for environmental problems Action Plan (2012-2016)

evaluation team identified a number of activities being undertaken through ICAA2 that are designed to increase investigation and analysis.

ICAA II partners have conducted investigation and analysis in support of their intervention strategies and in alignment with the Action Plan 2012-2016. DOI has generated base line maps with protected areas, indigenous territories, mining and forest concessions, oil exploitation and infrastructure layers for all three countries, which are available in online platforms.<sup>11</sup>

ISU has conducted base line information on land titling and tenure conflicts in Sucumbios and Madre de Dios, which have helped establishing strategies in these regions, as mentioned in the indigenous territories results chain (see Annex L).<sup>12</sup> In addition, LMT and PM partners have carried out technical reports addressing legal and institutional bottlenecks/proposals to improve sustainable management.<sup>13</sup>

A number of ecological inventories, multi-temporal vegetation analysis, carbon stock studies and researches on critical species conducted to improve management at landscape levels by LMT, IL, SL and MDD Consortium partners. Some relevant outputs include:<sup>14</sup>

- Rapid ecological inventory of Bahuaja Sonene National Park (LMT)
- Land use maps for La Bonita Municipal development and zoning plan (IL)
- Homologation of clean *naranjilla* production indicators with those established by Agrocalidad the Ecuadorian program responsible for agricultural quality control (SL).

Manuals and information guides produced by ICAA2 partners have proven to be very useful for stakeholders, especially communities in managing their resources and understanding legal and institutional frameworks for conservation.<sup>15</sup> Some examples include:

- Sustainable Tourism operations and Brazilian Nut management manuals elaborated by SL partners
- Legal information guides on indigenous rights, tourism, private conservation generated by SPDA as part of ISU's work
- Monitoring registries from the natural resource management committees in ACR TT (LMT)

#### **Contribution to Outcomes:**

- The quality and themes addressed in the knowledge products and analysis developed by ICAA II partners show a positive and cohesive progress. Several products, such as the legal guides (information guides) produced by ISU (SPDA), manuals and training material elaborated with stakeholder participation were considered very useful by various communities (SL: Sustainable tourism operations manual; IL: Maps) and has certainly raised awareness of the challenges faced.

<sup>11</sup> DOI Consultation Note, DOI Reports. Interview with DOI (12/5/2014).

<sup>12</sup> Interview ISU (10/30/14) and ISU Reports confirmed Interview TNC (11/25/14) and Interview GADP Sucumbios (12/1/14)

<sup>13</sup> Group Interview SPDA (10/30/14) and Interview SPDA (11/13/14) confirmed Interview DISAFILPA (11/8/14) and Interview PRMFFS (11/8/14).

<sup>14</sup> Interviews w/ WCS (10/29/14), Fundamazonia (11/3/14), FONDAM (10/30/14) and TNC (11/25/14) confirmed Interview Municipalidad La Bonita (12/2/14), UF Consultation Note, Interview w/ UNAMAD (10/22/14), RA (11/24/14), Ecolex (11/25/14) and GADPNapoMesaNaranjilla (11/28/14).

<sup>15</sup> Interview w/ RA (11/24/14), confirmed by interviews with MAE Sucumbios (12/1/14), MINTUR (12/1/14), Luis Borbor MAE (12/3/14), SPDA (10/30/14) and group interviews w/ Buena Vista (11/5/14) and San Juan de Yanayaku (11/5/14).

## Diffusion of the understanding and strengthening of the capacities of communication

The ICAA2 results chain hypothesizes that promoting the diffusion of the understanding and strengthening of the capacities of communication will increase the shared knowledge in key issues for the conservation of biodiversity in the region. The evaluation team identified a number of activities being undertaken to promote the diffusion of the understanding and strengthening of the capacities of communication.

To achieve this strategy, ICAA2 partners have carried out two main sets of activities. One is the publication either online or in print of several research findings, technical reports, policy papers, manuals, information and training material. ISU's role has been key in coordinating the widespread dissemination of the understandings and analysis obtained. In addition, research resulting from landscape consortia partners, including PM, IL, LMT and MDD Consortium have also been published and disseminated. Among the relevant products published and disseminated are:

- Second editions of “Entender la Pequeña Minería, “La Minería Artesanal” and “Los Decretos Legislativos Vinculados a la Minería Ilegal” (ISU)<sup>16</sup>
- Tool kits on EIC for indigenous people, information leaflets (one pagers) on various legal issues and sustainable management (SPDA<sup>17</sup>/ISU)<sup>18</sup>
- Training material on gender and conservation (ISU)<sup>19</sup>
- Policy papers on palm cultivation, REDD+, PIAVCI (ISU)<sup>20</sup>
- Fundamazonia 2014. Cambio climático y fauna Silvestre en la Amazonía peruana” (LMT)<sup>21</sup>
- Environmental education tools for children and schools and PNAP and RCP bilingual communication/education material elaborated with indigenous communities (PM)<sup>22</sup>
- Conservation Strategy Fund 2014 “Infraestructura y Conservación: El caso de Pucallpa-Cruzeiro do Sul”, communication material and maps on infrastructure impacts and indigenous people (IL)<sup>23</sup>
- Deforestation analysis along road Puerto Maldonado-Iñanpari; communication material on disaster risk and prevention (flooding) (MDD Consortium)<sup>24</sup>

Capacity building through trainings, webinars, workshops and multi-stakeholder dialogue events has been carried out to increase dissemination and strengthen communication of understandings and findings, most of these coordinated by ISU.<sup>25</sup> Webinar courses on gender, economic incentives for conservation and other issues have been implemented with ample attendance from ICAA2 partners as well as from a wide variety of stakeholders.<sup>26</sup>

Although several of the knowledge products have been widely disseminated, strengthening communication capacities of ICAA2 has not been a priority. Many partners have strong communication

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<sup>16</sup> Interviews ISU (10/30/14 and 11/24/14); ISU Reports, ISIS Data base

<sup>17</sup> SPDA is part of ISU and LMT consortia. Material produced tackles transversal legal – environmental issues.

<sup>18</sup> Interviews ISU (10/30/14 and 11/24/14); ISU Reports, ISIS Data base

<sup>19</sup> Interviews ISU (10/30/14 and 11/24/14); ISU Reports, ISIS Data base

<sup>20</sup> Interviews ISU (10/30/14 and 11/24/14); ISU Reports, ISIS Data base

<sup>21</sup> Interview WCS (10/29/14) and Fundamazonia (11/3/14) confirmed attending launching during COP 20 Dec, 5

<sup>22</sup> Interview FZS (10/22/14), WWF (10/31/14 and 11/19/14), SERNANP (10/31/14 and 11/19/14)

<sup>23</sup> Interview Conservation Strategy Fund (10/27/14) and TNC (11/15/14 and 11/25/14), <http://conservation-strategy.org>

<sup>24</sup> Interview WHCR Foster Brown (10/21/14) and COER (11/8/14).

<sup>25</sup> Interviews ISU (10/30/14 and 11/24/14); ISU Reports, ISIS Data base

<sup>26</sup> Interviews ISU (10/30/14 and 11/24/14); ISU Reports, ISIS Data base

offices, and ISU coordinates communication through its team. This approach has resulted in a number of media hits with information on the work and the issues in the Andean Amazon have been obtained <sup>27</sup>

To avoid dispersion, the common strategy established by ICAA2 Action Plan has resulted very positive, and ISU's role as a facilitator has been key. However, efforts to reach stakeholders beyond the conservation practice circles are clearly needed if impact in decision-making is expected. With the increasing complex challenges the region is confronting, governmental policies need to be complemented with conservation and sustainable management standards in the business sector. Approaching issues from the perspective of value chains can contribute to generate research that address issues that can be tackled by the private sector. Hence, impact in decision-making can be magnified linking stakeholders of the private sector involved in natural resource extraction (oil, mining, forest, fisheries), large-scale agricultural expansion and nature based tourism, in the discussions. So far, the main audiences have been the government, civil society and local/indigenous communities.

#### **Contribution to Outcomes:**

- The emphasis on knowledge generation and dissemination in ICAA2 has been very notorious. All partners have delivered products, capacity building processes, communication and education materials at their different levels of intervention (i.e. regional, national and subnational), contributing to the dissemination of knowledge.
- On line publishing and capacity building through webinars has proven to be an increasingly effective platform to disseminate knowledge in a cost-effective manner

#### **Exchange of lessons learned and understandings**

The ICAA2 results chain hypothesizes that the exchange of lessons learned and understandings will increase the shared knowledge in key issues for the conservation of biodiversity in the region. The evaluation team identified a number of activities being undertaken through ICAA2 that are designed to facilitate the exchange of lessons learned and understandings.

ICAA2 partners' publications (i.e. documents, policy papers, technical reports, info graphics, maps) have been presented and discussed at public events, promoting analysis and exchange amongst diverse stakeholders, a number of relevant products that have prompted knowledge sharing include:

- Second editions of studies on mining presented to regional authorities in Madre de Dios (GOREMAD) and MINAM.<sup>28</sup>
- Study on mercury contamination due to mining presented to MINEM, MINAM and GOREMAD<sup>29</sup> (MDD Consortium), and
- The feasibility study on the Pucallpa-Cruzeiro do Sul road presented to GOREU, MINAM, SERNANP and other Ministries responsible of funding the project<sup>30</sup> (IL)

At landscape levels IL, SL, LMT, PM, C&G, FA and MDD consortia partners have extensively shared knowledge on key biodiversity issues particularly with indigenous and local communities and local government officials. PM consortia, for example has designed and implemented a communication and education campaign on the corridor's protected areas (PNAP, RCP) tailored for children and

<sup>27</sup> Interviews ISU (10/30/14 and 11/24/14); ISU Reports, ISIS Data base

<sup>28</sup> Interviews w/ ISU (10/30/14 and 11/24/14); ISU Reports, ISIS Data base

<sup>29</sup> Interviews w/ MINEM (10/30/14), MINAM (11/4/14) and GOREMAD (11/4/14)

<sup>30</sup> Interview w/ ISU (10/30/14), Conservation Strategy Fund (10/27/14), TNC (11/15/14); confirmed through interviews w/ GOREU (11/18/14) and SERNANP (10/31/14)

schoolteachers. In addition, a strategy for the dissemination of the contents of the management plan of both protected areas has been drafted with ample participation of indigenous communities connected to them. This has resulted in bilingual material that allows for better understanding and discussion by the communities.

An underlying premise to share knowledge products (lessons learned and understandings) is that they will contribute to better policy decision-making. From the vast number of products generated by ICAA2 partners, only a limited number can be linked to policy changes directly. This situation, however, is a recurrent issue in most research circles, where only a limited number is used in the policy formulation and evaluation cycle. Nevertheless, although not in a great number, obtaining evidence based policy changes is a key achievement by ICAA2 partners. Key knowledge products that have generated such changes include:

- Results highlighted in the feasibility study on the Pucallpa-Cruzero do Sul road were clearly a turning point in the government's decision to cancel funding for its construction (IL).<sup>31</sup>
- The health and environmental contamination provoked by mercury use in mining activities in Madre de Dios generated ample discussion and lead to regulation change (MDD Consortium).<sup>32</sup>
- The Payments of Environmental Services (PES) study has been directly referred in drafting the Peruvian Law on Environmental Services (ISU).<sup>33</sup>
- Research on Bolaina (*Guazuma crinita*) developed by CIFOR contributed to changes in the Peruvian forest law towards its management.<sup>34</sup>

Behind the policy impact provoked by these products there are a number of factors, such as political opportunity and will, how open and responsive are the stakeholders, and the effectiveness of communication and dissemination mechanisms. ISU's coordination role has been a particularly significant factor, as it has convened key stakeholders, facilitating open and proactive dialogue.

#### **Contribution to Outcomes:**

- A significant number of publications (i.e. documents, policy papers, technical reports, info graphics, maps) have been presented and discussed at public events, promoting analysis and exchange amongst diverse stakeholders.
- The expertise from the Knowledge Management, Policy and Governance, and Communication teams at ISU has added resonance to the knowledge products obtained. These been presented to decision-makers through mechanisms and formats allowing dialogue and agreements.
- Research findings with opportunities to influence PLARs, are continuously identified and prioritized by ISU, making this process highly dynamic.
- Knowledge on key biodiversity issues has been extensively shared with relevant stakeholders, particularly indigenous and local communities in the consortia landscapes.

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<sup>31</sup> Interview w/ ISU (10/30/14), Conservation Strategy Fund (10/27/14) TNC (11/15/14), GOREU (11/18/14) and SERNANP (10/31/14)

<sup>32</sup> Interview MINEM (10/30/14); MINAM (11/4/14) and GOREMAD (11/4/14)

<sup>33</sup> Interviews ISU (10/30/14 and 11/24/14). ISU Reports, ISIS Data base

<sup>34</sup> Interview CIFOR (11/15/14)

# ANNEX M: INDIGENOUS TERRITORIES RESULTS CHAIN PROGRESS ASSESSMENT

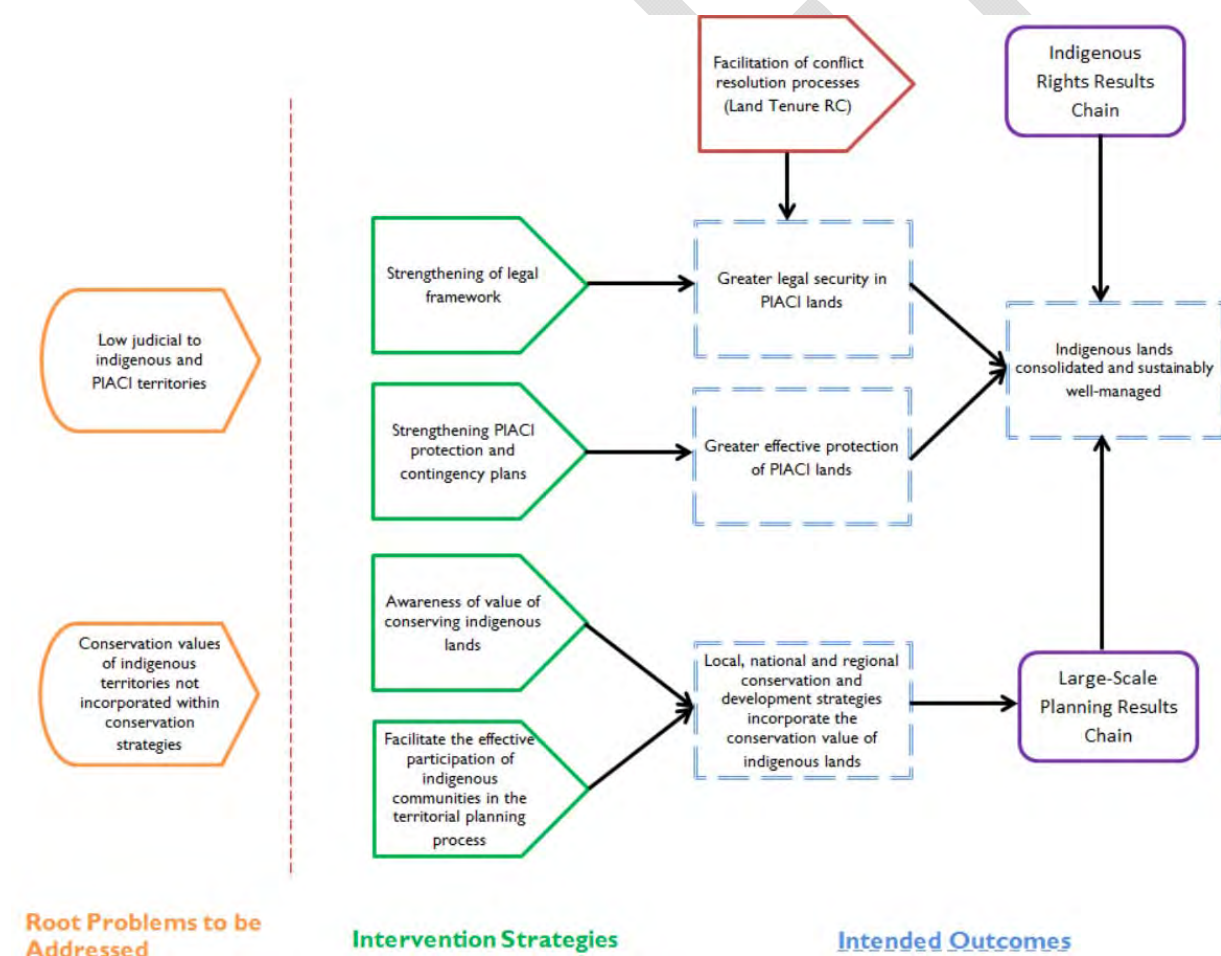
## Results Chain Logic

The high-level objective of the Indigenous Territories results chain is consolidated and sustainably well-managed indigenous territories, achieved through (1) greater legal security in PIACI lands, (2) greater effective protection of PIACI lands and (3) local, national and regional conservation and development strategies incorporating the conservation value of indigenous lands.<sup>1</sup> To achieve these intermediate outcomes, ICAA2 pursues the following strategies:

- Strengthening of legal frameworks;
- Strengthening PIAVCI<sup>2</sup> protection and contingency plans;
- Increasing awareness about the value of conserving indigenous lands; and
- Facilitating the effective participation of indigenous communities in territorial planning processes

A graphic depiction of this results chain is included below:

**FIGURE 1: INDIGENOUS TERRITORIES RESULTS CHAIN**



<sup>1</sup> Additionally, contributions from the Land Tenure, Indigenous Rights and Large-Scale Planning results chains will contribute to the achievement of this outcome.

<sup>2</sup> Indigenous Peoples in Voluntary Isolation of Initial Contact



## Intervention Strategies, Findings and Contribution to Outcomes

These strategies correspond to the three lines of action prioritized in ICAA II's Action Plan for Indigenous Peoples compiled by ISU in 2012: strengthening of the capacities of organizations and authorities responsible for indigenous peoples' policies; promoting influence of indigenous peoples in the design and implementation of public policy; and recovery, information on indigenous peoples and recovery, protection and valuing traditional knowledge.<sup>3</sup> These lines of action address the baseline priorities identified for indigenous peoples, and thus pertain to both the results chains of indigenous people (not assessed during this MTE) and management of indigenous territories.

The PM, SL, IL and LMT landscape and Technical Support Partners USFS and DOI consortia are the landscape consortia that work directly in these strategies,<sup>4</sup> while other ICAA2 partners have contribute indirectly to the outcomes.<sup>5</sup>

### Strengthening of legal frameworks

The ICAA2 results chain hypothesizes that strengthening legal frameworks will lead to greater legal security of indigenous and particularly PIACI lands. The evaluation team identified a number of activities being undertaken through ICAA2 that are designed to strengthen legal frameworks relating especially to land titling and tenure conflicts of indigenous communities and PIACI.

Cornerstone activities and outputs obtained have revolved around land titling and land tenure conflicts involving indigenous (including PIACI) territories. Baseline studies regarding land tenure conflicts and conflict management strategies carried out in Madre de Dios and Ucayali in Peru, Sucumbios in Ecuador and Mocoa in Colombia have served as guiding elements for national and regional government entities (ISU, IL).<sup>6</sup> Land titling of more than ten indigenous and local communities in Peru and Ecuador is underway through direct support of consortia partners) (LMT, SL).<sup>7</sup>

Indigenous territories face increasing large-scale extractive and infrastructure construction threats in all landscapes. Thus, mainstreaming the implementation of the land tenure strategies requires agreements with national/subnational governments, private business and other key stakeholders on land use and planning options. Scaling up the efforts of titling individual communities is another key challenge encountered. Given the scale of the problem, attention needs to be paid to build capacity in government institutions responsible for land tenure issues, in order to ensure sustainability after the program ends.

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<sup>3</sup> Plan de Acción Pueblos Indígenas ICAA (August 2012)

<sup>4</sup> LMT Consortium has been involved in several activities that deal with territorial consolidation, however in the chain of results they identified these as part of the Large Scale Integrated Resource Planning results chain instead. Nevertheless, field evidence supports that several activities executed by this Consortia address territorial consolidation of local communities (non-indigenous) by securing land titling.

<sup>5</sup> MDD consortium has supported strengthened planning mechanisms for the Manuani indigenous association and conducted studies on the status of collective rights of indigenous communities to help them protect their communal lands from mining contamination. Both FPN and FA support indigenous communities' participation in planning exercises.

<sup>6</sup> Interview ISU (10/30/14); Interview SPDA (10/30/14); Interview SPDA Nov 13; TNC Nov, 15

<sup>7</sup> Site visits to ACR TT, Nauta and Infierno. Confirmed through interviews w/ WCS (10/29/14), SPDA (11/13/14); Site visit to Hatun Sumaco. Confirmed through interviews w/ Ecolex (11/25/14) and MAGAP (11/26/14)

### Contribution to Outcomes:

- SL and LMT consortia partners have laid the groundwork to obtain greater security in indigenous lands by working on land titling and solving land tenure disputes in their landscapes, this has improved communities' opportunity to access governmental programs contributing to sustain SLP and private conservation initiatives in their territories.
- Developing strategic legal analysis on land titling bottlenecks and base line information on land tenure conflicts has been a key way to support national and subnational government policies in Peru and Ecuador (ISU, IL).
- Designating specific project staff time to aid communities in land titling processes has proven to be a successful strategy. Having a direct liaison with governmental offices in charge ensures titling procedures to flow better (LMT, SL)

### Strengthening PIAVCI protection and contingency plans

The ICAA2 results chain hypothesizes that strengthening PIACI protection and contingency plans will lead to greater effective protection of PIACI lands. The evaluation team identified a number of activities being undertaken through ICAA2 that are designed to strengthen PIAVCI protection and contingency plans.

In coordination with government authorities (SERNANP, MINCUL-VMI) and indigenous organizations (ORAU/FECONAPU) both at the national and subnational levels, the PM consortium has provided technical assistance, drafting, discussing and presenting the corresponding files, for the recognition of four Territorial Reserves in Ucayali and Madre de Dios and strengthening of the legal framework for their management.<sup>8</sup> As a result of this technical assistance, four Territorial Reserves for PIAVCI have been recognized with policies for their management under implementation (i.e. surveillance protocol, contingency plans) and community surveillance posts established.<sup>9</sup> As noted by SERNANP's PNAP and RCP technical staff, the PIACI surveillance protocol has contributed to organize proper responses among the different stakeholders (i.e. park rangers, indigenous communities, MINCUL-VMI staff, NGOs).<sup>10</sup> Improving PIACI protection has been possible also through the policy level work through training and technical reports, pursued by ISU and IL with the Vice Ministry of Intercultural Affairs.<sup>11</sup> In Colombia, upon request from the Government, DOI has initiated policy discussion on PIACI resulting in recommendations and guidelines for their protection.<sup>12</sup>

Policy context for PIACI protection has improved in recent years in Peru and with the creation of the Vice Ministry of Intercultural Affairs the opportunity to influence institutional frameworks has enhanced. Consortia partners, particularly ISU, IL and PM, have strategically grasped this situation.

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<sup>8</sup> Interview WWF (10/31/14)

<sup>9</sup> Interview WWF (10/31/14) and SERNANP (10/31/14)

<sup>10</sup> Interviews w/ SERNANP (11/19/14) and Comité de Gestión PNAP (11/21/14)

<sup>11</sup> Interviews w/ ISU (10/30/14), IBC (10/31/14 and 11/17/14) and MINCUL (10/27/14)

<sup>12</sup> DOI Consultation Note and DOI Reports

### Contribution to Outcomes:

- Although effective protection of PIACI is a work in progress, the strategy sought out by consortia partners (PM, IL) has tackled the issue in an integral manner by generating multi-stakeholder coordination. The outputs obtained serve as cornerstones for future sustainability.
- In PM landscape the cross-pollination between the results in indigenous territorial consolidation and protected areas management has enhanced synergies to reduce the threats to PIACI in the landscape (e.g. illegal logging, unsustainable fauna and fish extraction), improving the likelihood of impact.
- DOI's policy engagement at the national level in Colombia has been key to sustain institutional support for PIACI policy formulation in this country. Nevertheless, in country partners have not followed up on this output so far.

### Increasing awareness about the value of conserving indigenous lands

The ICAA2 results chain hypothesizes that increasing awareness about the value of conserving indigenous lands will lead to local, national and regional conservation and development strategies incorporating the conservation value of indigenous lands. The evaluation team identified a number of activities being undertaken through ICAA2 that are designed to increasing awareness about the value of conserving indigenous lands.

- In PM and IL consortia, ORAU and NOAI'KE act as junior partners, and although their relation is yet to be symmetrical, they show an improved capacity to carry out the expected activities (i.e. NOAI'KE provides trainings to their community affiliates, ORAU is part of the steering committee to oversee PIACI policy in Ucayali and Madre de Dios).<sup>13</sup>
- At the local level organizations (e.g. FECONAPU, EcoPurús, NOAI'KE, FECONAPIA, FECONAU and FEPRIKESAM) have improved their decision-making and technical skills in regards to territorial management. This has been possible through closely coordinated technical assistance based on the organizations' needs and sound technical approaches existing in the organizations in IL and PM consortia.<sup>14</sup>
- Partners in the PM and IL consortia have reduced the threats of roads construction (e.g. Puerto Esperanza-Iñanpari and Pucallpa-Cruzero do Sul) through advocacy work (i.e. communication campaign and producing information briefs for decision-makers) at local, subnational (regional) and national level.<sup>15</sup>
- In Napo, the SL consortia engaged in an innovative environmental leadership training already in place through the leadership of the subnational government, enhancing training sustainability and amplification.
- Capacity building of targeted indigenous organizations at the subnational level (ORAU, FECONAPU, ECOPURÚS, FECONAU, FECONAPIA, FEPRIKESAM and NOAI'KE) and local

<sup>13</sup> Interview w/ ORAU (11/20/14), NOAI'KE (12/2/14), WWF (10/31/14), CARE (11/19/14) and TNC (11/15/14 and 11/25/14)

<sup>14</sup> Interview w/ WWF (10/31/14), CARE (11/19/14), FECONAPU (11/20/14), FEPRIKESAM (10/30/2014 and 10/31/2014), TNC (11/15/14 and 11/25/14), Comité de Gestión PNAP (11/21/14) and ISU (10/30/14)

<sup>15</sup> Interview w/ ISU (10/30/14), Conservation Strategy Fund (10/27/14) TNC (11/15/14), GOREU (11/18/14) and SERANP (10/31/14)

level (Wamani Community) has improved decision-making capacities and internal governance procedures in benefit of their territorial management (PM, IL, SL).<sup>16</sup>

#### **Contribution to Outcomes:**

- By strengthening government officials, local indigenous organizations and communities, through training (e.g. community Paralegals, Protection Agents and Environmental Leadership trainings), and disseminating material regarding indigenous rights consortia partners have contributed to incorporate conservation values of indigenous lands in local, subnational and national strategies (PM, IL).
- Strengthening internal governance and improving decision-making procedures (i.e. revision of statutes, parliamentary procedures) in indigenous communities and their organizations through training and the production of information kits and tools have been carried out to tackle a recurrent bottleneck that often hinders territorial management and SLPs sustainability (PM, IL, SL).

### **Facilitating the effective participation of indigenous communities in territorial planning processes**

The ICAA2 results chain hypothesizes that facilitating the effective participation of indigenous communities in territorial planning processes will lead to local, national and regional conservation and development strategies incorporating the conservation value of indigenous lands. The evaluation team identified a number of activities being undertaken through ICAA2 that are designed to facilitate the effective participation of indigenous communities in territorial planning processes.

To improve participation in territorial planning processes, consortia partners have provided direct technical assistance, key information (maps and surveys) and conducted trainings for indigenous communities and their organizations (IL, ISU, MDD Consortium).<sup>17</sup> Trainings on governance and land rights issues, informed prior consent and Planes de Vida methodologies carried have enhanced the indigenous communities' decision-making capacities in sustainable land use (PM, IL).<sup>18</sup> Assistance given to indigenous organizations and subnational governments in drafting development and/or life plans has contributed to strengthen their capacity to lead sustainable land use initiatives and address conservation and biodiversity in their territories, such as illegal logging, extraction and land use conversion (SL, IL).<sup>19</sup>

A supporting factor to the results obtained so far, is the long standing relationship and expertise that IL and PM partners have with the indigenous organizations in their landscapes.<sup>20</sup>

In Life plans developed by SL, MDD Consortium and PM in Ucayali and Madre de Dios gathered evidence shows that indigenous communities have conflicting visions on the concrete value of this exercise (i.e. in two Madre de Dios communities (Sonene and Palma Real) SL's planning exercise was not clearly understood by participants).<sup>21</sup> This perhaps has to do with the fact that Madre de Dios area is pressured by mining activities, and SLP options discussed in the Life Plan are not able to compete –from a financial standpoint- with mining.

<sup>16</sup> Interview w/ ORAU (11/20/14), NOAI'KE (12/2/14), WWF (10/31/14), CARE (11/19/14) and TNC (11/15/14 and 11/25/14). Site visit and group interview with community members from Wamani (11/27/14)

<sup>17</sup> Interview ISU (10/30/14), IBC (11/17/14), TNC (11/25/14). Site visits and group interviews at Chunchuwi (10/30/2014), Manuani (11/11/14), Puerto Arturo (11/14/2014) and Tres Islas (11/5/14)

<sup>18</sup> Interview FECONAPU (11/20/14), IBC (11/17/14) and AIDER (11/17/14)

<sup>19</sup> Site visit to Hatun Sumaco confirmed through interviews with RA (11/24/14), Ecolex (11/25/14), IBC (11/17/14) and GOREU (11/18/14). The Chunchuwi community (San Martin, Peru) clearly recognizes the life plan as a tool to articulate their needs when asking for support to both the local government and donors, (Chunchuwi Community leader interview, 10/30/14).

<sup>20</sup> Interview WWF (10/31/14), TNC (11/15/14 and 11/25/14) and IBC (10/31/14)

<sup>21</sup> Site visits and group interviews with Sonene (11/6/24 and 11/9/14) and Palma Real (11/8/14 and 11/9/14) community members.

### **Contribution to Outcomes:**

- IL partners have effectively combined approaches to strengthen individual indigenous communities and their organizations in an articulated manner. By focusing simultaneously at the community level and in the indigenous organizations enhances sustainability of the planning efforts.
- IL and SL partners have achieved scaling up of planning processes lead by indigenous communities and their organizations through policy level engagement with subnational governments.
- Life Plan methodologies have yet to be mainstreamed as proposed (ISU), however where applied they have contributed to improve natural resource management, reducing conservation and sustainable livelihood threats in the communities (IL, SL).
- A stronger linkage is needed between the Life Plans to larger scale landscape decisions particularly in Madre de Dios where mining, as a driver of land conversion is a growing threat. In Madre de Dios, bringing together the standardized guidelines developed by ISU and the ample expertise that IBC has in this subject can contribute to the improvement of Life Plans effective adoption. In addition, responsible mining activities in Madre de Dios have to be taken into account as part the zoning strategies for indigenous territories, as studied by MDD consortium in several communities.

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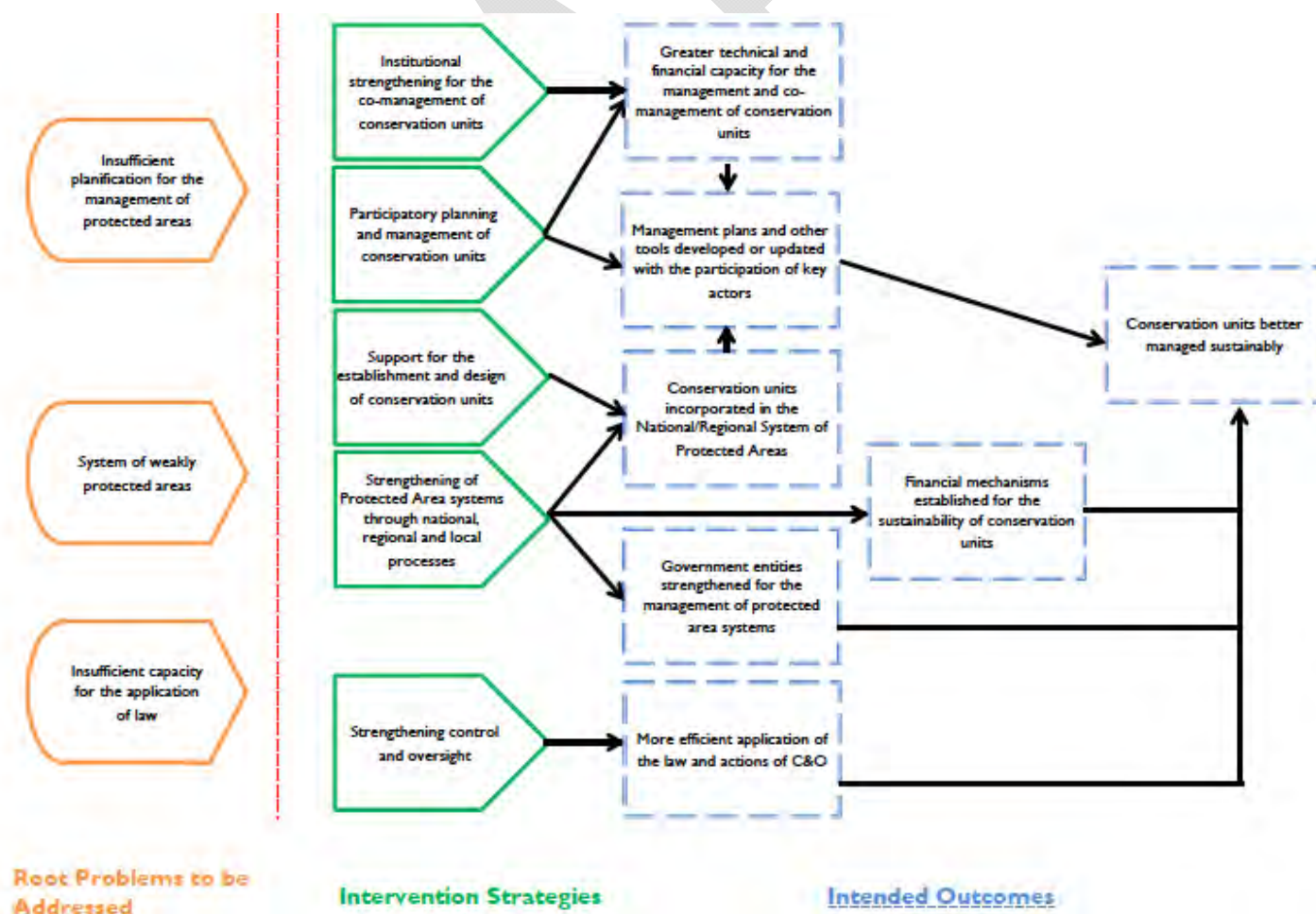
# ANNEX N: CONSERVATION UNITS RESULTS CHAIN PROGRESS ASSESSMENT

## Results Chain Logic

The high-level objective of the Conservation Units results chain is better and sustainably managed conservation units, achieved through (1) greater technical and financial capacity for the management and co-management of conservation units, (2) management plans and other tools developed or updated with the participation of key actors, (3) conservation units incorporated in the National/Regional System of Protected Areas, (4) government entities strengthened for the management of protected area systems, and (5) more efficient application of the law and actions of control and oversight. To achieve these intermediate outcomes, ICAA2 pursues the following strategies (Figure 1):

- Institutional strengthening for the co-management of conservation units
- Participatory planning and management of conservation units
- Support for the establishment and design of conservation units
- Strengthening of Protected Area Systems through national, regional and local processes
- Strengthening of control and oversight

**FIGURE 1: CONSERVATION UNITS RESULTS CHAIN**



## Intervention Strategies, Findings and Contribution to Outcomes

The LMT, PM, SL, IL and C&G<sup>1</sup> landscape consortia as well as TSPs US Forest Service (USFS), Department of Interior (DOI)<sup>2</sup> and Higher Education for Development (HED) report direct contributions to these strategies.<sup>3</sup> Many ICAA2 partners involved in this results chain have long-standing experience in protected areas management in the ICAA2 countries, which contributed to the results obtained so far. Therefore, results cannot be solely attributed to ICAA2 intervention.

In all interventions, the ICAA2 IPs have worked in an articulated manner with governmental institutions both at national and subnational levels, and indigenous and local communities to strengthen the institutional framework for conservation.<sup>4</sup> In addition, significant attention has been given to promoting the participation of indigenous and local communities in protected area management. Sustaining the outcomes achieved however requires successful linkages with the other results chains, especially sustainable livelihoods production, large-scale integrated resource planning and indigenous territories.

### Institutional strengthening for the co-management of conservation units

The Conservation Units results chain hypothesizes that institutional strengthening will lead to greater technical and financial capacity for the management and co-management of conservation units. The evaluation team analyzed a number of activities being undertaken through ICAA2 that are designed to strengthen co-management of conservation units.

### Institutional Strengthening of National and Subnational Government

LMT, PM, IL and SL consortia have provided technical assistance to national and subnational government institutions to improve their capacity to design and implement policies that improve participation in the co-management of protected areas (Arana, 2014).<sup>5</sup> LMT's work with the Regional Government Conservation Department (PROCREL) will enable communities to reinforce surveillance and control illegal extraction inside the ACR TT as well as in the buffer zone, recognizing their critical role in co-management.<sup>6</sup> This recognition is expected to set a positive example for other regional conservation units to be established with the same co-management schemes, and is also being discussed in other regions in the Peruvian Amazon as well as at the national level.<sup>7</sup>

### Strengthening Communities' to Co-manage Protected Areas

LMT and PM landscape consortia have applied lessons from participatory approaches to protected area management to improve the technical capacity for the management and co-management of conservation units,<sup>8</sup> utilizing trainings, workshops and exchange visits to improve the skills of technical personnel and

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<sup>1</sup> The Conservation and Governance Consortia is also known as Reduction of Deforestation Trends and Threats to Biodiversity Loss in the Central Region of the Andean Amazon Piedmont of Colombia.

<sup>2</sup> DOI did not identify its contribution to this results chain. However, DOI's support was mentioned in drafting the Sustainable Tourism Strategy for the Cuyabeno Wildlife Reserve in Ec (SL Consortia-RA)

<sup>3</sup> LMT and PM place greatest emphasis in strategies aimed at this results chain, as they aim to improve conservation connectivity in their landscapes. IL, SL and C&G consortia main focus is not conservation units, however, in pursuing their strategies they have also contributed to their strengthening.

<sup>4</sup> This results chain is closely connected to the "management of indigenous territories" results chain, all consortia have placed an important accent in working with indigenous and local communities, complementing their conservation interventions.

<sup>5</sup> Interviews with PROCREL (11/4/14), TNC (11/15/14 and 11/25/14), Ecolex (11/25/14) and GADNapó (11/26/14).

<sup>6</sup> Interviews with DAR (11/8/14) and SPDA (11/13/14). Site visits to ACR TT communities Bellavista, San Juan de Yanayaku, San Pedro and El Chino.

<sup>7</sup> Interview with SPDA (11/13/14).

<sup>8</sup> Interviews with WCS (10/29/14) and WWF (11/31/14).

community stakeholders.<sup>9</sup>

In the ACR TT and RN Pacaya Samiria, LMT partners provide technical assistance to communities' natural resource management committees to improve compliance with natural resource extraction quotas (i.e. hunting, fishing, timber) and capacity to monitor illegal activities in the PA and buffer zone.<sup>10</sup> These management committees have been functioning for a number of years, previous ICAA2 intervention. According to several community members and consortia partners, their establishment has contributed to increase in biodiversity that was otherwise under danger due to illegal and unsustainable extraction.<sup>11</sup>

The PM Consortium has also focused on improving the technical and governance capacity of management committees in PNAP, RCP and RN Tambopata and indigenous organizations to co-manage PA. For example, PNAP management committee in Madre de Dios has served as a critical space for the discussion of the Puerto Esperanza-Iñanpari road construction project.<sup>12</sup> For the case of timber extraction natural resource committees, as well as other measures such as greater control over its extraction by government officials (SERNANP) have reduced unsustainable and illegal logging.<sup>13</sup>

A key challenge for protected areas sustainable co-management lies in providing sustainable income for indigenous and local communities linked to the conservation units. Consortia initiatives have not achieved this result and without sustainable sources of income, communities' might return to unsustainable/illegal extraction, reducing the impact of the co-management agreements obtained so far.<sup>14</sup>

#### **Contribution to Outcomes:**

- LMT and PM partners have improved co-management of the protected areas in LMT and PM landscapes.
- In both LMT and PM landscapes, albeit with different degrees of impact, population of key flora and fauna species have increased both inside the PAs and their buffer zones, as a direct effect of better conservation practices and co-management agreements.

### **Participatory planning and management of conservation units**

The Conservation Units results chain hypothesizes that promoting participation in planning and management of conservation units will lead to improved technical and financial management and co-management. The evaluation team reviewed a number of activities being undertaken by ICAA2 IPs that are designed to promote participatory planning and management of conservation units.

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<sup>9</sup> Interviews with PROCREL (11/4/14), WWF (11/19/14), SERNANP (11/19/14) and FZS (10/22/14); USFS Consultation Note; Site visits to Tambopata buffer zone communities.

<sup>10</sup> Interviews with WCS (10/29/14), DAR (11.8/14) and Fundamazonia (11/10/14); Site visits to ACR TT and Pacaya Samiria communities.

<sup>11</sup> Interview with WCS (10/29/14), Interview with FUNDAMAZONIA (11/10/14), Group and Individual Interviews in Buenavista (11/05/14); Group Interview in San Juan de Yanayaku (11/05/14); Group Interview in San Pedro (11/06/14)

<sup>12</sup> Interviews with WWF (11/31/14) and SERNANP (11/8/14); Site visit to Iñanpari.

<sup>13</sup> Group Interview with FECONAPU (11/17/14); Group Interview with Pankiretsky (11/18/14), Group Interview with SERNANP (11/19/14)

<sup>14</sup> During the site visit to Pacaya Samiria, the natural resource management committees (i.e. Organizaciones para el manejo de los recursos naturales) had brought the Taricaya harvest to be verified by both the PA administration (SERNANP) and the buyer. However, conflicts emerged when the buyer announced a price reduction for individual species due to market competition. Although this situation was addressed within the management committee, the communities were in distress in view of less than anticipated payment for a years' worth of work. If no satisfactory deal is reached, communities such as this one will be incentivized to engage with illegal buyers for whom the quota agreements are unnecessary.



- LMT, PM, and IL consortia produce technical information (e.g. maps) and provide technical assistance to elaborate, update and disseminate protected areas management plans. This assistance has contributed not only to improve the protected area, but as in the case of La Bonita products generated by IL partners has served for the municipality's planning.<sup>15</sup>
- To accompany the PNAP and RCP management plans, the PM consortium has developed an environmental communication and educational strategy that targets teachers and children in schools and is currently in implementation.<sup>16</sup>
- The SL consortium, supported by USFS and DOI and in coordination with protected areas managers, communities and tourism stakeholders, has generated sustainable tourism strategies for Cuyabeno and Tambopata. The Ministry of Environment in Ecuador (MAE) is looking to replicate the experience in Amazon protected areas. In both of these areas, disorganized tourism and often non-compliance to the carrying capacity has rendered impacts. The strategies in this sense have contributed to develop visitor plans and management strategies to reduce the impacts.<sup>17</sup>

The technical capacity and the scenarios for financial sustainability in protected areas managed by national government offices are in better shape than in previous years (during the implementation of ICAAI). Nevertheless, these challenges are persistent at subnational levels and financial sustainability strategies for most targeted protected areas have not been developed.<sup>18</sup> Although, partners are addressing this issue with the subnational administrations, the focus on financial sustainability requires identifying strategic opportunities. The sustainable tourism experiences in Tambopata and Cuyabeno lead by SL consortia provide good lessons in this respect. However, in these cases sustaining public-private partnerships and engaging communities' in sustainable tourism initiatives is key to sustain the results obtained.<sup>19</sup>

#### **Contribution to Outcomes:**

- Management plans and other tools have been elaborated and updated for a number of protected areas in LMT, IL and PM landscapes through participatory processes engaging community and government stakeholders.
- Sustainable tourism strategies developed and under implementation in Cuyabeno and Tambopata have reduced the impacts of unregulated tourism in these PAs.
- The formal spatial zoning plan (PDOT) of the Municipality of La Bonita has effectively incorporated the protected area and forest coverage maps provided by IL partners.

### **Support for the establishment and design of conservation units**

The Conservation Units results chain hypothesizes that the establishment and design of conservation units will lead to an increase in units incorporated in the National/Regional System of Protected Areas. An underlying assumption is that management plans for these units will be developed with the

<sup>15</sup> Interviews with PROCREL (11/4/14), SPDA (11/13/14), SERNANP (11/19/14), TNC (11/25/14), Ecolex 11/25/14), GIZ Napo (11/26/14); Group interview with Municipio La Bonita (Mayor and technical staff) (12/2/14).

<sup>16</sup> Interviews w/ WWF (11/19/14), SERNANP (11/19/14) and FSZ (10/22/14).

<sup>17</sup> Interviews with MAE (12/1/14), Siona Lodge Manager 12/3/14), Ara Lodge Manager (12/3/14), RA (11/24/14) and GIZ (11/24/14); DOI Consultation Note, USFS Consultation Note ; Site Visit to Cuyabeno.

<sup>18</sup> The PM consortium has sought support from ISU in developing a financial sustainability plan for PNAP and RCP, but it has not been implemented. Interview w/ WWF (10/31/14).

<sup>19</sup> Situation confirmed by site visits to Cuyabeno and Tambopata and Interview Ara Lodge Manager (12/3/14).

participation of key actors. The evaluation team reviewed activities being undertaken through ICAA2 that are designed to establish and design conservation units.

The LMT, PM and SL consortia have provided technical assistance for the creation and establishment of private and community conservation areas.<sup>20</sup> Most of the areas have been established in Peru where the legal framework recognizes and fosters private and community conservation concessions. In Ecuador, SL IPs' technical support provided to communities in Hatun Sumaco to register in the SocioBosque is considered as a part of this conservation strategy as well.<sup>21</sup>

The creation of private and/or community-protected areas is a key component to increase connectivity between protected areas and their buffer zones. Consortia partners have targeted the establishment of these areas to strengthen their overall intervention in the landscapes. The PM consortium has supported MABOSINFRON; a mestizo association with territory within the RCP buffer zone to be recognized by SERNANP as a conservation concession, by generating the required studies and paperwork. In addition, the association has received technical assistance to improve their internal governance and develop a strategic plan.<sup>22</sup> The LMT consortium identified potential conservation areas by a baseline analysis on land titling and tenure conflicts developed by ISU (discussed further in the Indigenous Territories RC).

IL and PM Consortia have promoted the creation and sustainable management of protected areas at the subnational level. IL Consortium is providing support to La Bonita Municipality to prepare the paperwork needed to incorporate the protected area as part of the National Protected Areas System.<sup>23</sup> In Madre de Dios, PM Consortium has supported the creation of a new regional conservation area (Señor de la Cumbre).<sup>24</sup>

The strategy of identifying priority areas based on land titling and tenure issues has contributed to the entrance of interest parties in the conservation schemes. In Puerto Prado and MABOSINFRON, there have been increases in governmental support. The Puerto Prado community obtained funds from MINAM to improve the interpretation path they have established in their community<sup>25</sup> and MABOSINFRON has been recognized as forest stewards by regional government of Ucayali.<sup>26</sup> In Ecuador, conservation compensations provided by SocioBosque increase the likelihood for conservation of the areas to be registered by Hatun Sumaco communities.

#### **Contribution to Outcomes:**

- Important progress has been achieved in the creation and establishment of conservation units in LMT, PM, IL and SL consortia landscapes.

### **Strengthening of Protected Area Systems through national, regional and local processes**

The Conservation Units results chain hypothesizes that strengthening protected area systems through national, regional and local processes will lead to: (1) an increase in conservation units incorporated in

<sup>20</sup> Group interview with Community Members from Puerto Prado (11/12/14), Libertad (11/12/14), Infierno (11/14/14), MABOSINFRON (11/18/14), Wamani (11/27/14) and Challwayaku (11/27/14).

<sup>21</sup> Once registered with SocioBosque communities have to allocate forestlands in their territories to obtain the conservation compensation offered by this governmental program.

<sup>22</sup> Group Interview with MABOSINFRON (11/18/14) and Interview with SPDA (11/13/14).

<sup>23</sup> Site visit to La Bonita; Interview with Municipio La Bonita Community Leaders (12/2/14).

<sup>24</sup> PM Reports, Interview with WWF Oct, 31

<sup>25</sup> Site visit to Puerto Prado confirmed by Group Interview with Puerto Prado Community Members (11/12/14).

<sup>26</sup> Group Interview with MABOSINFRON Community Members (11/18/14)' Interview with WWF (11/19/14).

the National/Regional System of Protected Areas, (2) government entities strengthened for the management of protected area systems, and (3) financial mechanisms established for the sustainability of conservation units. The evaluation team reviewed activities being undertaken through ICAA2 that are designed to strengthen protected area systems through national, regional and local processes.

The IL, LMT and C&G consortia partners have supported national and subnational governments in protected area and conservation policy issues through technical assistance and the generation of products.<sup>27</sup> As a result, protected area and conservation strategies have been drafted in Loreto, Madre de Dios and Puno (LMT), a new regional protected area has been created in Ucayali (PM) and La Bonita Municipal reserve will be incorporated in the SNAP (IL).<sup>28</sup> Two results so far that highlight changes in policy that will improve protected areas management include: (a) With the support of LMT partners the regional conservation office in Loreto (PROCREL) is to approve a legal amendment to formally recognize communities responsibilities and competencies in the management of the ACR TT; (b) With the support of PM and IL partners, the recently established regional environmental authority (ARA) in Ucayali has taken a lead role in implementing PIACI and conservation policy.<sup>29</sup>

In addition, SPDA's technical assistance to SERNANP contributed to simplifying procedures for indigenous people to be part of private conservation arrangements, whereas in Colombia, the inclusion of the national parks service (*Parques Naturales*) as part of the C&G consortium is expected to generate greater synergies in protected area management in the amazon piedmont.<sup>30</sup> IL and PM partners' technical assistance in advocacy important in (at least temporarily) halting the infrastructure developments in Ucayali that threatens to impact conservation units (i.e. Pucallpa-Cruzeiro do Sul and Puerto Esperanza-Iñapari roads).<sup>31</sup>

ICAA2 IPs (FS, LMT, IL, DOI) have carried out trainings, workshops and exchanges to strengthen planning and management capacities of government personnel, NGO members and community leaders involved in target protected areas (e.g. technical staff, community's park rangers).<sup>32</sup> Although ICAA2 IPs' work with government officials in Ecuador is restricted, SL and IL partners have found innovative ways to handle this situation and reduce the effects on the results obtained so far.<sup>33</sup>

Increasingly, oil, mining, infrastructure projects and large scale agriculture are threatening the conservation units in all three countries as part of the national and regional development agendas. As protected areas are increasingly affected by these issues, the need for engagement with government and private companies involved in these activities is pressing. In Ecuador the restricted interaction with government officials dealing with extractive industry and infrastructure issues is clearly a limiting.<sup>34</sup> In Peru consortia partners have addressed these large-scale drivers with a certain degree of success in particular protected cases, as mentioned previously.

In landscapes where expansion of mining and oil activities are threatening protected areas (i.e. Loreto, Madre de Dios and Sucumbios) limited results have been obtained.<sup>35</sup> In the case of IL, SL and LMT

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<sup>27</sup> Interview Municipality La Bonita (12/2/14), TNC (11/25/14), GOREU (11/18/14) and SPDA (11/13/14)

<sup>28</sup> LMT Reports; Interview w/ WCS (10/29/14)

<sup>29</sup> Interview WCS (10/29/14), Interview FONDAM (10/30/14), Interview DAR (11/03/14), Interview PROCREL (11/04/14); Interview GOREU (11/18/14), Interview IBC (11/17/14), Interview WWF (10/31/14)

<sup>30</sup> Interview w/ SPDA (10/30/14) and SERNANP (10/31/14); C&G Consultation Notes

<sup>31</sup> Interview TNC (11/15/14 and 11/25/14) confirmed Interview IBC (11/17/14)

<sup>32</sup> USFS Consultation Note., Interviews w/ WCS (10/29/14), TNC (11/15/14 and 11/25/14); DOI Consultation Note

<sup>33</sup> Due to the cooperation restrictions with MAE, RA established an agreement with GIZ (German Technical Cooperation) to support the replication of the sustainable tourism work in Cuyabeno in the Yasuni National Park. Interviews w/ RA (11/24/14) and GIZ (11/24/14)

<sup>34</sup> Interview w/ ISU (10/30/14 and 11/24/14)

<sup>35</sup> MDD consortium Reports; Interviews w/ TNC (11/15/14 and 11/25/14), WCS (10/29/14) and RA (11/24/14)

consortia, the impact of oil exploration has not been addressed by their interventions.<sup>36</sup> However, ISU's effort to work with different government entities to strengthen conservation policies has recognized the importance of multi-sectoral engagement.<sup>37</sup>

PM consortium's work faces a critical bottleneck at the local level that pertains to conflict with both the Municipal government of Puerto Esperanza and the clergy, which restricts the impact of activities in Purús. Steps are needed to address this conflict, perhaps through a conflict resolution strategy facilitated by an outside partner.<sup>38</sup>

#### **Contribution to Outcomes:**

- LMT, IL, PM and SL consortia policy engagement and capacity building have strengthened national, regional and local processes of protected areas conservation.
- Given decentralization trends, consortia partners have focused on institutional strengthening at subnational levels to develop regional protected areas, conservation strategies and land use plans (LMT, IL, SL).
- Strengthening of regional conservation offices in Loreto and Ucayali has resulted in significant policy innovations (i.e. PROCREL to establish regulations to bestow communities in protected area co-management with legal recognition, Ucayali's ARA participation in the PIAVCI surveillance protocol construction).

#### **Strengthening of control and oversight**

The Conservation Units results chain hypothesizes that strengthening of control and oversight will lead to a more efficient application of the law and actions of C&O. The evaluation team reviewed activities being undertaken through ICAA2 designed to strengthen control and oversight of conservation units.

ICAA2 IPs have conducted trainings, workshops and exchange visits for protected areas' personnel and community stakeholders to increase their capacity for sustainable management. In addition, IPs have provided equipment to improve the application of the law inside the protected areas and buffer zones. For example:

- The PM consortium has contributed to better surveillance and control activities in protected areas such as PNAP and RCP and have supported the construction of surveillance posts and distribution of equipment for protected area personnel.<sup>39</sup>
- ACR TT communities have participated in exchange visits to other protected areas in Loreto as well as in the rest of the Peruvian Amazon to reinforce their knowledge on surveillance.<sup>40</sup>
- IL partners have focused on strengthening the capacity (i.e. through providing technical information, training and equipment) of the protected areas administrations for control and surveillance of illegal activities (i.e. La Bonita and Regional Government of Ucayali).<sup>41</sup>

<sup>36</sup> Interviews w/ TNC (11/15/14 and 11/25/14), WCS (10/29/14) and RA (11/24/14)

<sup>37</sup> Interview w/ ISU (10/30/14 and 11/24/14)

<sup>38</sup> Conflicts were evidenced in the interview with SERNANP officials during the visit to Puerto Esperanza (11/19/14). During the visit the PNAP and RCP were celebrating their creation anniversary with events organized by SERNANP and PM partners. In response the Municipality organized a parallel event to limit the participation of their personnel in the PAs' events.

<sup>39</sup> Site visit Puerto Esperanza, confirmed by interview SERNANP (11/19/14) and WWF (10/31/14)

<sup>40</sup> Site visit ACR TT, group and individual Interviews San Juan de Yanayaku (11/5/14) confirmed by WCS interview (10/29/14)

<sup>41</sup> Interviews w/ TNC (11/25/14) and Municipality La Bonita (12/2/14)

**Contribution to Outcomes:**

- ICAA2 IPs have strengthened control and oversight of protected areas by supporting the construction of surveillance posts, providing equipment for personnel (both government and community park rangers) and conducting training in surveillance to improve control and oversight of protected areas with the participation of community and other key stakeholders.

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## ANNEX O: ICAA II-WIDE INDICATORS AND PERFORMANCE DATA

ICAA II Program-Wide Performance Indicators
<b>Indicator 1:</b> Number of hectares of biological significance and/or natural resources under improved natural resource management as a result of USG assistance (standard indicator 4.8.1-26)
<b>Indicator 2:</b> Number of hectares in areas of biological significance and/or natural resource showing improved biophysical conditions as a result of USG assistance increased (Standard Indicator 4.8.1-1).
<b>Indicator 3:</b> Number of people with increased economic benefits derived from sustainable natural resource management and conservation as a result of USG assistance (standard indicator 4.8.1-6) (*)
<b>Indicator 4:</b> Number of initiatives that promote the implementation of economic incentives increased
<b>Indicator 5:</b> Increased number of hectares under initiatives of economic incentives
<b>Indicator 6:</b> Percentage of recipients of ICAA products with knowledge about the main environmental problems and their solutions
<b>Indicator 7:</b> Number of products regarding the Andean Amazon developed by ICAA partners increased (*)
<b>Indicator 8:</b> Number of distributed copies of products regarding the Andean Amazon developed by ICAA partners increased
<b>POL1.</b> Number of policies, laws, agreements or regulations promoting sustainable natural resource management and/or biodiversity conservation officially proposed, adopted or implemented as a result of USG assistance (*)
<b>POL2.</b> Number of stakeholder dialogue activities, focused on policies, laws, agreements or regulations to promote the more sustainable use of Amazon resources increased (*)
<b>POL3.</b> Number of people that attend dialogue activities with interest groups focused on policies, laws, agreements or regulations to promote the more sustainable use of Amazon resources increased (*)
<b>CAP1.</b> Percentage of people trained with increased knowledge of natural resource management and/or biodiversity conservation increased (*)
<b>CAP2.</b> Number of people – training hours in natural resource management and/or biodiversity conservation as a result of USG assistance (standard indicator 4.8.1-29)(*)
<b>CAP3.</b> Number of people trained in natural resource management and/or biodiversity conservation increased (standard indicator 4.8.1-27) (*)

Nº1 - Número de hectáreas en áreas de importancia biológica y recursos naturales bajo manejo mejorado como resultado de la asistencia del Gobierno de los Estados Unidos

ICAA Partners	Baseline	FY12		FY13		FY14		FY15		FY16		FY17		Total	
		Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual
CIF	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
CL	0	0	-	0	-	0	818.2	2000	-	4000	-	3700	-	9700	818.2
FPN	0	0	-	0	-	785	16	2000	-	1915	-	2000	-	6700	16
DOI	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
FS	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
HED	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
IL	0	1761413	503830	1868970	2196154.78	1976536	-	2048265	-	2120006	-	0	-	9775190	2699984.78
ISU	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
LMM	0	57757	102340.31	102479	1772754.26	3065625	4118198.8	1235182	-	21000	-	0	-	4482043	5993293.37
MDD	0	101	101	303000	97236.43	404500	81.3	205000	-	5500	-	0	-	918101	97418.73
PM	0	4515472.46	4515472.46	4522191.26	4058037.46	4522191.26	4058037.46	4522191.26	-	0	-	0	-	18082046.24	12631547.38
SL	0	26053	31423	279504	246834.59	302237	781616.01	262537	-	0	-	0	-	870331	1059873.6

Nº2 - Número de hectáreas en áreas de importancia biológica y recursos naturales con condiciones biofísicas mejoradas como resultado de la asistencia del Gobierno de los Estados Unidos

ICAA Partners	Baseline	FY12		FY13		FY14		FY15		FY16		FY17		Total	
		Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual
CIF	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
CL	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
FPN	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
DOI	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
FS	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
HED	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
IL	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
ISU	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
LMM	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
MDD	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
PM	0	4515472.46	-	4522191.26	4515472.46	4522191.26	-	4522191.26	-	0	-	0	-	18082046.24	4515472.46
SL	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0



**Nº3 - Número de personas con beneficios económicos incrementados derivados del manejo sostenible de recursos naturales y conservación de recursos naturales como resultado de la asistencia del Gobierno de los Estados Unidos**

ICAA Partners	Baseline	FY12		FY13		FY14		FY15		FY16		FY17		Total	
		Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual
CIF	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
CL	0	0	-	0	-	0	-	0	-	200	-	150	-	350	0
FPN	0	0	-	0	-	0	-	196	-	206	-	78	-	480	0
DOI	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
FS	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
HED	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
IL	0	800	-	925	-	1145	-	2075	-	1435	-	0	-	6380	0
ISU	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
LMM	0	0	-	218	-	100	-	100	-	0	-	0	-	418	0
MDD	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
PM	0	0	-	275	-	166	-	90	-	0	-	0	-	531	0
SL	0	0	-	0	-	0	-	3165	-	0	-	0	-	3165	0

**Nº4 - Número de iniciativas que promueven la implementación de incentivos económicos incrementado**

ICAA Partners	Baseline	FY12		FY13		FY14		FY15		FY16		FY17		Total	
		Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual
CIF	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
CL	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
FPN	0	0	-	0	-	0	-	1	-	1	-	0	-	2	0
DOI	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
FS	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
HED	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
IL	0	3	-	5	-	15	-	31	-	41	-	0	-	95	0
ISU	0	0	-	3	-	6	-	6	-	0	-	0	-	15	0
LMM	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
MDD	0	1	2	1	2	1	2	1	-	1	-	0	-	5	6
PM	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
SL	0	0	-	1	1	5	5	6	-	0	-	0	-	12	6

Nº5 - Número de hectáreas bajo iniciativas de incentivos económicos incrementado

ICAA Partners	Baseline	FY12		FY13		FY14		FY15		FY16		FY17		Total	
		Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual
CIF	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
CL	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
FPN	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
DOI	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
FS	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
HED	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
IL	0	77000	-	107001	-	115010	-	120025	-	120035	-	0	-	539071	0
ISU	0	0	-	30000	-	60000	-	60000	-	0	-	0	-	150000	0
LMM	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
MDD	0	100	110	300000	227	400000	129	200000	-	53000	-	0	-	953100	466
PM	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
SL	0	0	-	9491	8385	32623	45638.27	38580	-	0	-	0	-	80694	54023.27

**N°6 - Porcentaje de personas de grupos meta de ICAA con comprensión apropiada sobre principales problemas ambientales (biodiversidad, asuntos socioeconómicos e infraestructura) y sus soluciones, incrementado**

ICAA Partners	Baseline	FY12		FY13		FY14		FY15		FY16		FY17		Total	
		Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual
CIF	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
CL	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
FPN	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
DOI	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
FS	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
HED	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
IL	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
ISU	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
LMM	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
MDD	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
PM	0	50	-	50	-	50	-	50	-	0	-	0	-	200	0
SL	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0

Nº7 - Número de productos relacionados con la Amazonia Andina generados por los socios de ICAA, incrementado

ICAA Partners	Baseline	FY12		FY13		FY14		FY15		FY16		FY17		Total	
		Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual
CIF	0	2	2	4	4	0	-	0	-	0	-	0	-	6	6
CL	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
FPN	0	0	-	0	-	5	1	10	-	15	-	20	-	50	1
DOI	0	18	11	5	12	10	-	10	-	10	-	0	-	53	23
FS	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
HED	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
IL	0	26	26	75	72	35	27	31	-	22	-	0	-	189	125
ISU	0	42	75	68	118	72	181	60	-	0	-	0	-	242	374
LMM	0	12	14	30	16	42	45	40	-	9	-	0	-	133	75
MDD	0	28	22	34	36	32	14	30	-	28	-	0	-	152	72
PM	0	8	27	116	94	96	-	22	-	0	-	0	-	242	121
SL	0	7	-	31	33	20	24	164	-	0	-	0	-	222	57

Nº8 - Número de Copias difundidas de productos relacionados con la Amazonia Andina generados por los socios de ICAA, incrementado

ICAA Partners	Baseline	FY12		FY13		FY14		FY15		FY16		FY17		Total	
		Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual
CIF	0	500	600	500	-	0	-	0	-	0	-	0	-	1000	600
CL	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
FPN	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
DOI	0	434	684	777	888	600	-	600	-	600	-	0	-	3011	1572
FS	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
HED	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
IL	0	36667	36677	54935	54902	28920	150	22775	-	8390	-	0	-	151687	91729
ISU	0	3019650	81653	5029280	16026674	5032760	4475980	3037272	-	0	-	0	-	16118962	20584307
LMM	0	3221	8158	12296	4222	6001	491972	5611	-	295	-	0	-	27424	504352
MDD	0	11500	4416	13000	18401	13000	11490	11000	-	10000	-	0	-	58500	34307
PM	0	2400	1012	1074768	3615143	1068215	-	8000	-	0	-	0	-	2153383	3616155
SL	0	4600	-	13885	45504	6965	1190	365816	-	0	-	0	-	391266	46694

**CAP-1 - Porcentaje de personas capacitadas que incrementan sus conocimientos en manejo de recursos naturales y/o conservación de la biodiversidad, aumentado**

ICAA Partners	Baseline	FY12		FY13		FY14		FY15		FY16		FY17		Total	
		Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual
CIF	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
CL	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
FPN	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
DOI	0	0	56.25	0	76.47	75	61.54	80	-	85	-	0	-	240	194.26
FS	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
HED	0	0	-	0	-	0	-	0	86.67	0	-	0	-	0	86.67
IL	0	78	78.26	80	98.55	80	95.65	80	-	80	-	0	-	398	272.46
ISU	0	0	94.59	0	59.3	0	53.58	0	-	0	-	0	-	0	207.47
LMM	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
MDD	0	0	93.85	0	87.95	0	-	0	-	0	-	0	-	0	181.8
PM	0	30	92	75	73.58	75	-	75	-	0	-	0	-	255	165.58
SL	0	0	-	0	90.79	0	0.14	0	-	0	-	0	-	0	90.93

**CAP-2 - Número de personas-hora de capacitación en manejo de recursos naturales y/o conservación de la biodiversidad como resultado de la asistencia del Gobierno de los Estados Unidos, aumentado**

ICAA Partners	Baseline	FY12		FY13		FY14		FY15		FY16		FY17		Total	
		Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual
CIF	0	0		0		0		0		0		0		0	0
CL	0	0		0		0		0		1200		0		1200	0
FPN	0	0		0		0		0		0		0		0	0
DOI	0	1140		3160	665.00	1944	3002.00	1944	390.00	1944		0		10132	4057
FS	0	3200		7200	2576.00	1536	4264.00	0		0		0		11936	6840
HED	0	0		0		6120		9435		0	880.00	0		15555	880
IL	0	11909		9368	1444.50	5240	7358.00	7008	2572.00	3336		0		36861	11374.5
ISU	0	560		5556	5196.00	3996	7208.00	560	25591.00	0		0		10672	37995
LMM	0	2081		11706	12432.00	15880	18338.50	21202	36554.40	3348		0		54217	67324.9
MDD	0	2600		5280	8206.00	5080	25315.00	5200	2289.00	4880		0		23040	35810
PM	0	2490		17208	1645.00	13960	7401.00	8592		0		0		42250	9046
SL	0	13526		30131	3192.00	28264	28966.25	48275	20958.25	0		0		120196	53116.5



**CAP-3 - Número de personas capacitadas en manejo de recursos naturales y/o conservación de la biodiversidad como resultado de la asistencia del Gobierno de los Estados Unidos, aumentado**

ICAA Partners	Baseline	FY12		FY13		FY14		FY15		FY16		FY17		Total	
		Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual
CIF	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
CL	0	0	-	0	-	150	167	400	-	400	-	250	-	1200	167
FPN	0	0	-	0	-	200	-	250	-	150	-	200	-	800	0
DOI	0	75	72	95	68	72	39	72	-	72	-	0	-	386	179
FS	0	80	67	180	67	48	-	0	-	0	-	0	-	308	134
HED	0	0	-	0	-	90	-	159	45	0	-	0	-	249	45
IL	0	688	46	471	484	375	184	325	-	247	-	0	-	2106	714
ISU	0	80	788	424	779	231	2551	80	-	0	-	0	-	815	4118
LMM	0	282	1375	1192	1112	1673	5092	1380	-	220	-	0	-	4747	7579
MDD	0	325	789	660	4143	635	306	650	-	610	-	0	-	2880	5238
PM	0	103	116	468	809	384	-	214	-	0	-	0	-	1169	925
SL	0	1675	715	5598	5261	4445	3561	8065	-	0	-	0	-	19783	9537

**CAP-4 - Número de organizaciones, instituciones y/o redes con capacidades clave, incrementada**

ICAA Partners	Baseline	FY12		FY13		FY14		FY15		FY16		FY17		Total	
		Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual
CIF	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
CL	0	0	-	0	-	0	-	0	-	7	-	8	-	15	0
FPN	0	0	-	0	-	3	-	5	-	4	-	2	-	14	0
DOI	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
FS	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
HED	0	0	-	0	-	2	-	6	-	0	-	0	-	8	0
IL	0	20	20	20	18	22	-	13	-	13	-	0	-	88	38
ISU	0	20	-	30	-	30	-	20	-	0	-	0	-	100	0
LMM	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
MDD	0	2	6	4	7	4	1	3	-	0	-	0	-	13	14
PM	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
SL	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0

**POL-1 - Número de PLARs que promueven el manejo de recursos naturales y/o conservación de la biodiversidad oficialmente, adoptado o implementados incrementado**

ICAA Partners	Baseline	FY12		FY13		FY14		FY15		FY16		FY17		Total	
		Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual
CIF	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
CL	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
FPN	0	0	-	0	-	3	-	4	-	3	-	0	-	10	0
DOI	0	3	1	3	4	0	-	0	-	0	-	0	-	6	5
FS	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
HED	0	0	-	0	-	0	-	0	3	0	-	0	-	0	3
IL	0	22	20	41	28	44	-	50	-	59	-	0	-	216	48
ISU	0	5	6	8	10	8	8	5	-	0	-	0	-	26	24
LMM	0	3	4	30	18	27	42	24	-	0	-	0	-	84	64
MDD	0	3	4	1	6	2	5	1	-	1	-	0	-	8	15
PM	0	25	6	9	17	13	-	7	-	0	-	0	-	54	23
SL	0	2	-	6	12	22	27	20	-	0	-	0	-	50	39

**POL-2 - Número de actividades de diálogo con grupos de interés, centradas en políticas, leyes, acuerdos o regulaciones para promover el uso más sostenible de los recursos amazónicos, incrementado**

ICAA Partners	Baseline	FY12		FY13		FY14		FY15		FY16		FY17		Total	
		Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual
CIF	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
CL	0	0	-	0	-	0	-	1	-	1	-	1	-	3	0
FPN	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
DOI	0	17	17	21	17	0	2	0	-	0	-	0	-	38	36
FS	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
HED	0	0	-	0	-	0	-	0	3	0	-	0	-	0	3
IL	0	32	19	84	32	81	31	84	-	58	-	0	-	339	82
ISU	0	5	3	10	14	10	25	5	-	0	-	0	-	30	42
LMM	0	27	20	73	42	63	44	34	-	3	-	0	-	200	106
MDD	0	2	1	3	1	2	2	2	-	2	-	0	-	11	4
PM	0	70	10	24	22	39	-	6	-	0	-	0	-	139	32
SL	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0

**POL-3 - Número de personas que asisten a actividades de diálogo con grupos de interés, centradas en PLAR para promover el uso sostenible de los recursos amazónicos incrementado**

ICAA Partners	Baseline	FY12		FY13		FY14		FY15		FY16		FY17		Total	
		Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual	Target	Actual
CIF	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
CL	0	0	-	0	-	0	-	50	-	50	-	50	-	150	0
FPN	0	0	-	0	-	15	-	35	-	35	-	35	-	120	0
DOI	0	265	427	353	352	0	73	0	-	0	-	0	-	618	852
FS	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0
HED	0	0	-	0	-	0	-	0	30	0	-	0	-	0	30
IL	0	375	8	1201	384	868	312	748	-	557	-	0	-	3749	704
ISU	0	30	27	60	559	60	656	30	-	0	-	0	-	180	1242
LMM	0	535	884	744	1014	879	1067	564	-	200	-	0	-	2922	2965
MDD	0	90	162	135	29	90	60	90	-	90	-	0	-	495	251
PM	0	1300	113	368	560	1276	-	36	-	0	-	0	-	2980	673
SL	0	0	-	0	-	0	-	0	-	0	-	0	-	0	0

## ANNEX P: LIST OF PERSONS CONSULTED

### South American Regional Mission Staff

Margie Serrano	Environmental Officer	USAID Colombia
Ximena Garcia	Environment Specialist/Biodiversity Advisor	USAID Colombia
Michael Pointer	Economic Officer	US Embassy Ecuador
Mónica Suquilanda D.	Environment Officer	USAID/Ecuador
Annie Wallace	Environment Officer	USAID/Peru
Beatriz Torres	Regional Amazon Environment Specialist	USAID/Peru
Connie Campbell	South America Regional Environment Team Leader	USAID/Peru
Fernando Chavez	Monitoring and Evaluation Specialist	USAID/Peru
Holly Ferretti	Private Enterprise Officer	PERU/OFA
Mónica Romo Ph.D.	Regional Amazon Environment Specialist	USAID/Peru
Myriam Choy		USAID/Peru
Victor Merino	USAID Environment and Growth Officer	USAID/Peru

### ICAA2 Implementing Partners

#### Indigenous Landscapes Consortium

Rafael Mendonza	Indigenous Peoples' Specialist	The Nature Conservancy
Marco Robles	Amazon Specialist	The Nature Conservancy
Marcelo Guevera	Program Manager	The Nature Conservancy
Verónica Vallejo	Program Assistant	The Nature Conservancy
Carmen Carrión	Communications Officer	The Nature Conservancy
Luis Dávalos	Assistant Manager	The Nature Conservancy
Alfredo Salinas	Indigenous Peoples' Specialist	The Nature Conservancy
Margarita Benavides	Deputy Director	Instituto del Bien Comun
Pablo Sima		Instituto del Bien Comun
Christian Vallejos	Director para América Latina	Conservation Strategy Fund
Robert Aguinda	President	NOAI'KE
Nerio Reategui	AIDER field technician	AIDER

#### Loreto and Manu-Tambopata Consortium

Mariana Varese	Amazon Program Director	Wildlife Conservation Society
Mariana Montoya	Peru Office Director	Wildlife Conservation Society
Alicia Kurowia	Coordinator, Protected Areas Management	Wildlife Conservation Society
Isabel Calle	Directora del Programa	Sociedad Peruana de Derecho Ambiental
Silvana Baldovino	Directora conservacion	Sociedad Peruana de Derecho Ambiental
Isabel Felandro	Politica	Sociedad Peruana de Derecho Ambiental
Dino Delgado	Conservacion	Sociedad Peruana de Derecho Ambiental

Claudia Godfrey	Ing for Director a Unidad Gestion proyectos	Sociedad Peruana de Derecho Ambiental
Jean Pierre Araujo	Forestal Dedicada a ICAA	Sociedad Peruana de Derecho Ambiental
Janet Machuca	Promotora de conservación	Sociedad Peruana de Derecho Ambiental
Sara Castromonte	Legal Representative	Sociedad Peruana de Derecho Ambiental
Alvaro Romaña	Program Manager	FONDAM
Benjamín Richard Chambi Pacompia	Coordinador del Proyecto ICAA USAID (subcontrato WSC)	Asociación para la Conservación de la Cuenca Amazónica- ACCA (WSC Subcontractor)

### **Madre de Dios Consortium**

Bruno Sanguinetti	Program Manager	University of Florida
Foster Brown, Ph.D.	Senior Scientist	Woods Hole Research Center
Raul Pinedo	Coordinator	ICAA-Special Project Madre de Dios-PEMD
Gabriel Alarcón		UNAMAD

### **Purús Manu Consortium**

Heidi Rubio	ICAA Project Director	World Wildlife Fund
Jose Luis Mena	ICAA Project Subdirector	World Wildlife Fund
Camila Germana	ICAA Project Monitoring & Evaluation	World Wildlife Fund
Edith Condori	Field Coordinator	World Wildlife Fund
Max Hidalgo	Office coordinator	World Wildlife Fund
Danilo Jordan	FZS Activity Coordinator Puerto Maldonado Madre de Dios	Frankfurt Zoological Society
Elizabeth Chulla		CARE Peru
Carlos Lima	Indigenous people specialist	CARE
Noe Tuesta		AIDSEP-Ucayali (ORAU)
Elvira Raffo	Coordinadora del Proyecto	CARE

### **Sustainable Landscapes Consortium**

Andrea Ganzemuller	Manager – Monitoring and Evaluation	Rainforest Alliance
Verónica Muñoz	Manager- Sustainable Tourism	Rainforest Alliance
Christian Velasco	TREES Manager	Rainforest Alliance
Katy Puga	Communications Officer	Rainforest Alliance
Javier Martinez	Madre de Dios-Field Team	Rainforest Alliance
Mark Moroge	CoP SL consortium	Rainforest Alliance
Luz Ochoa	Peru Tourism Advisor	Rainforest Alliance
Jose Luis Freire	Coordinador Territorios y Manejo de Conflictos	ECOLEX
Norma Revoredo	Coordinadora de proyecto "Paisajes Sostenibles"	AIDER
Angel Egoavil Rios	Ucayali director	AIDER

### **ICAA Support Unit**

Jessica Hidalgo	Director	ICAA Support Unit
Brenda Bucheli	Services Unit Director	ICAA Support Unit
Isabel Castaneda	Economic Incentives Coordinator	ICAA Support Unit
Gonzalo Varillas	ISU Coordinator on Governance and Policy	Unidad de Apoyo ICAA Ecuador
Jose Antonio Monge	ISU Monitoring and Evaluation Specialist	Unidad de Apoyo ICAA Ecuador
Andrea Garzón	ISU Specialist - Economic Incentives	Unidad de Apoyo ICAA Ecuador
Karen Hilldal	ISU Specialist - Economic Incentives	Unidad de Apoyo ICAA Ecuador
Doug Pool	Program Coordinator	Engility

### **Conservation and Governance Program in the Amazonian Piedmont**

Vanessa Coronado	Program Director	Patrimonio Natural
Hernan Alonso Montero	Technical Advisor- Dirección Territorial Amazonía	Parques Nacionales Naturales de Colombia

### **Connected Landscapes in Caquetá Program**

Cristina Castro Wey	Directora Programa Paisajes Conectados en Caquetá	Fondo Accion
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### **Technical Support Partners**

Manny Sanchez	Senior Program Specialist	Higher Education for Development
Trigal Magala	Technical Specialist- Biology Department	Pontificia Universidad Javeriana (HED partner)
Carlos Enrique Fachin Matos	Decano de la Facultad de ciencias forestales y ambientales	Universidad Nacional Ucayali (HED partner)
Roly Baldoceda Astete	Rector	Universidad Nacional Ucayali (HED partner)
Peter Cronkleton	Senior Scientist	Center for International Forestry Research
Camille McCarthy	Program Manager	US Forest Service - International Programs
Rodrigo Botero García	Program Coordinator	US Department of Interior
Alejandra María Laina	Technical Advisor Protected Areas and Wildlife	US Department of Interior

### **National and Sub-national Stakeholders (Peru)**

Abel Benites	Director Programa de Manejo de Recursos Forestales y Fauna Silvestre	Gobierno Regional de Loreto
Adela Solis	Oficina de Asuntos Internacionales	Ministerio del Ambiente
Anahi Durand Guevara	Directora de Políticas Indigenas	Ministerio de Cultura
Antonio Gonzalez	Oficina de Asuntos Internacionales MINAM	Ministerio del Ambiente
Armando Bazan	Jefe de la Oficina de Planeamiento y Presupuesto	Servicio Nacional de Áreas Naturales Protegidas
Carlos Ancco	Voluntario	Centro de Operaciones de Emergencia Regional
Carlos Arana	Jefe de la ACR Tamshiyacu Tahauyo (ACRCTT), PROCREL	Gobierno Regional de Loreto



Carlos Mora	Gabinete de Asesores del Ministro	Ministerio de Energía y Minas
Cecilia Cabello	Director of Management, Servicio Nacional de Áreas Naturales Protegidas	Ministerio del Ambiente
Cesar Felipe Ascorra G		CARITAS- Madre de Dios
Daniel Maynas	Coordinador	Grupo Regional de Monitoreo de Megaproyectos
Efraín Ríos	Voluntario	Centro de Operaciones de Emergencia Regional
Emilio Alvarez Romero	Director (e) Dirección de Supervisión de Concesiones Forestales y de Fauna Silvestre	Organismo de Supervisión de los Recursos Forestales y de Fauna Silvestre- OSINFOR
Ernesto Fernandez Gamarra	Especialista Reserva Natural Tambopata	SERNANP
Elvis Rojas	Dirección Salud	Gobierno Regional de Madre de Dios
Fabiola Muñoz	Directora ejecutiva	Servicio Nacional Forestal y de Fauna Silvestre (SERFOR)
Fiorella Moreno	Secretaria General	Ministerio de Energía y Minas
Franz Tang	Gerente Recursos Naturales	Gobierno Regional de Ucayali
Guimo Loayza	Defensoria del Pueblo	Defensoria del Pueblo
Gustavo Suárez de Freitas	Coordinador ejecutivo	Programa Nacional de Conservación de Bosques, Ministerio del Ambiente
Hubert Vera	Subgerente de Recursos Naturales	Gobierno Regional de Madre de Dios
Humberto Cordero	Coordinador de la Oficina Técnica de Madre de Dios	Ministerio del Ambiente
Ibeth Diez		Servicio Nacional de Áreas Naturales Protegidas
Jaime Ríos	Evaluador en el centro de emergencia regional Defensa Civil	Centro de Operaciones de Emergencia Regional
Jiang Oliver Liao	Oficial, Cooperante en Gestion Ambiental	Gobierno Regional de Madre de Dios
Jimmy Vásquez	Voluntario	Centro de Operaciones de Emergencia Regional
Jorge Asencio	Dirección Salud	Gobierno Regional de Madre de Dios
Klaus Quicque Bolivar	Presidente	Federación Nativa de Madre de Dios
Mercedes Perales Yabar	Deputy Mayor	Provincial Tahuamanu Municipality
Pedro Miguel Farfan Parrales	Fiscal	Fiscalía Especializada en Materia Ambiental-FEMA Madre de Dios
Martha Aldana	Directora de Gestión Estratégica	Servicio Nacional de Certificación Ambiental- SENACE
Moisés Saavedra		Gobierno Madre de Dios, Gerencia de Desarrollo Social
Oscar Leoncio Vizcarra Ramos	Dirección de Saneamiento Físico Legal, de la Propiedad Rural	Dirección Regional de Agricultura
Pedro Gamboa	Jefe	Servicio Nacional de Áreas Naturales Protegidas
Roger Loyola	Director	Dirección General de Evaluación, Valoración y Financiamiento del Patrimonio Nacional/MINAM
Victor Galarreta Encinas	Technical Secretary	Consejo Interregional Amazónico
Victor Zambrano	President mgt committee	Reserva Nacional Tambopata

Vivian Paredes	Jefa de Unidad de Certificación Ambiental	Servicio Nacional de Certificación Ambiental- SENACE
Walter Ramírez Miranda	Concessions Manager	CATAHUA forest concession
Willy Collazos	President of Purús National Park Committee	
Ernesto Fernandez	Reserva Nacional Tambopata	Servicio Nacional de Áreas Naturales Protegidas
Eriberto Davila	Dirección de Saneamiento y Legal – DISAFILPA	Dirección Regional del Ministerio de Agricultura- Loreto
Karina Pinasco	Directora Ejecutiva	AMPA- Amazónicos por la Amazonía
Miguel Tang	Director de Economías Verdes	AMPA- Amazónicos por la Amazonía
Diandra Torres	Especialista en Proyectos	DAR- Derecho Ambiente y Recursos Naturales/Iquitos
Pedro Mayor	Especialista en Proyectos	FUNDAMAZONIA
Pablo Puertas	Coordinador Técnico	FUNDAMAZONIA
Richard Bordmer	Presidente	FUNDAMAZONIA
Dennis Del Castillo	Director Programa Probosques	Instituto de Investigaciones de la Amazonía Peruana (IIAP)- Loreto
Paul McAuley	Miembro	Red Ambiental Loretana
Zina Valverde	Especialista en Proyectos	Wildlife Conservation Society (WCS)- Loreto
Carlos Gaona Rodríguez	Especialista	Reserva Comunal Purús-SERNANP
Miguel Yujanyama	Especialista	Parque Nacional Alto Purús-SERNANP
Roy Lozano	Director Seguimiento, Control y Vigilancia Pesquerías	Dirección de Producción Regional- Loreto
Miguel Tangoa	Facilitador	Federación de Comunidades Nativas del Purús - FECONAPU
Lora Rodríguez	Directiva del Consejo	FECONAPU
Lucio Gómez	Comunidad de Balta	FECONAPU
Roy Ijida	Comunidad Miguel Grau	FECONAPU
Nelia del Águila	Directiva del Consejo	FECONAPU
Percy Llarango	Fiscal de Purús	FECONAPU
Lupe Bardales	Comunidad Miguel Grau	FECONAPU
R. Roque	Comunidad San Juan	FECONAPU

### **National and Subnational Stakeholders (Ecuador)**

Alonso Moreno Díaz	Responsable de ejecución	Programa Biósfera Yasuní, GIZ
Anibal Gómez	Asesor Programa Cambio Climático Biodiversidad y Desarrollo Sostenible- PROCAMBIO	GIZ-Napo
Darwin Vivanco	Jefe de Area Limoncocha	Reserva Biologica Limoncocha
Edwin Herrera	Jefe de participación ciudadana; Ex director de Ordenamiento territorial	Gobierno Provincial de Sucumbíos
Esteban Salazar	Director del departamento de gestión ambiental	Gobierno Provincial de Sucumbío
Felipe Ghia	Coordinador del Proyecto	GEF - El Gobierno Provincial de Napo
Fernando Klinger	Director provincial	Ministerio de Turismo

Guido Farfán	Coordinador de Unidad de Producción	Decentralized and Autonomous Provincial Government (GADP) of Napo
Inés Shiguango	Director of Environment and Indigenous Nationalities affairs	Decentralized and Autonomous Provincial Government (GADP) of Napo
Luis Armando Naranjo	Alcalde del Municipio de la Bonita	La Bonita/Sucumbíos Municipal Government
Max Lascano	Gerente	Programa Socio Bosque, Ministerio del Ambiente
Germán Mosquera	Asesor Legal	Programa Socio Bosque
Narcizo Suárez	Director de la Reserva	La Bonita Municipal Government
Soledad Prado	Directora provincial Biodiversidad	Ministerio de Ambiente
Ulises Gutierrez	Director Unidad de Producción	Gobierno Provincial de Napo
Holger Salas	Viverista	Cetro de Investigaciones y Servicios Agropecuarios de Sucumbíos
Pablo Rivera	Vice Director	Cetro de Investigaciones y Servicios Agropecuarios de Sucumbíos
Rocío Paz y Miño	Environmental Leadership School (ELA – Escuela de Liderazgo Ambiental)	Decentralized and Autonomous Provincial Government (GADP) of Napo
Rusbel Chalbalbay	Asesor Local	GIZ-Napo
Xavier Fuel	Director del Area de Ambiente	La Bonita Municipal Government
Victor Torres	Reforestation Incentive Coordinator	Ministry of Agriculture office for the provinces of Napo, Orellana and Pichincha

## Ecuador Community-based Research

### Duvuno, Ecuador

Alberto Kieta	Community Member	
Bertha Quenama	Community Member	
Cristina Kieta	Community Member	
Eugenio Aguinda	Community Member	
Helva Queta	Community Member	
Ivan Shiguango	Profesor Kichwa	
Libia Cerola	Community Member	
Mercedes Quenama	Community Member	
Octavio Lucitante	Secretario de la Comunidad	Community Government Council

### Dureno Cofan, Ecuador

Anionda Quieta	Community Member	Agua Blanca Center
Arturo Ortíz	Fish Farmer	Agua Blanca Center
Celena Criollo	Community Member	Agua Blanca Center
Danila Criollo	Community Member	Agua Blanca Center
Edgar Ruiz	Community Member	Agua Blanca Center
Edmundo Ruiz	Community Member	Agua Blanca Center
Egidio Quenama	Community Member	Agua Blanca Center

Feliza Ortíz	Community Member	Women Committee
Francisca Quenama	Community Member	Agua Blanca Center
Freddy Quieta	Community Member	Agua Blanca Center
Gladys Fabiola Vargas	Community Member	Women Committee
Jhonny Ruiz	Community Member	Agua Blanca Center
Lilia Quenma	Community Member	Agua Blanca Center
Lizandro Quenama	Fish Farmer	Agua Blanca Center
Lucinda Quenama	Community Member	Agua Blanca Center
Nelli Quemana	Community Member	Agua Blanca Center
Otilia Criollo	Community Member	Agua Blanca Center
Otilia Criollo	Fish Farmer	Agua Blanca Center
Rosalina Mendua	Community Member	Agua Blanca Center
Veronica	Health Worker	Agua Blanca Center
Virgineo Quenama	Community Member	Agua Blanca Center
Wilson Ruiz	Community Member	Agua Blanca Center

### **Hatun Sumacu & Wamani, Ecuador**

Nidia Mamallacta	Presidenta	Junta Parroquial de Hatun Sumaco
Benjamin Siguango	Presidente	Comunidad de Wamani
Claudio Shiguango	Presidente Wamani	asociación agroforestal sachá kaway Wamani
Lady	Miembro	asociación Sacha Kawsay
Leny Shiguango	Community Member	
Lino Licuy	Miembro	Asociación Sacha Lara
Manuel Shiguango	Miembro de la Comunidad/ Capacitador de ONU REDD	
María Licuy	Diregente de temas de mujer y miembro fundadora	Asociación de <i>Naranjilla</i> Sacha Lara
Nelson Tanguila	Parte de la directiva, dirección de Educación	
Tito Huatatoca	Presidente de la Comunidad	
Wilson Shiguango	Guardaparque dirigente de proyectos productivos de la comunidad	MAE

### **Cuyabeno reserve and San Victoriano community, Ecuador**

Diego Builes	Consultant	Putumayo 3 fronteras project
Edwin Sánchez	Owner	Siona Lodge
Emilio Gaybor	Former mayor	Cuyabeno municipality
Guillermo Gómez	Owner	Jamu Lodge
Irene Pinea	Former vice mayor	Cuyabeno municipality
Juan Mazuera	Consultant	Putumayo 3 fronteras project
Julio Criollo	President	San Victoriano community
Luis Borbor	Director	Cuyabeno Reserve
Ronald Silva	Guide	Jamu Lodge
William Toro	Co-owner, Guide	Guacamayo Lodge

## Peru Community-based Research

### CN Belgica and Balta

Antonio López Cuchitineri	Pdte de la comunidad
Arturo Aspajo López	Community Member
Eliet López López	Community Member
Francisco López Pereyra	Community Member
Leda Batista da Silva	Community Member
Leoncio Aspajo López	Secretario de acta de la comunidad
Lucía López Cuchitineri	Community Member
Luciclea Aspajo Batista	Community Member
María López Cuchitineri	Community Member
Marielisa López Cuchitineri	Community Member
Marineti López López	Secretaria de disciplina de la comunidad
Nilo López Cuchitineri	Community Member
Reynaldo do Pereyra López	Community Member
Ricardo López Cuchitineri	Community Member
Antonio López	Community Leader
José Pineda	Technical Advisor
Leoncio Aspajo	Community Leader

### Buena Vista

Clara	Miembro	Comité de vigilancia
Ezequiel Pacaya	Community President	
Isidoro	Next President of the Committee	Community Natural Resource Management Committee
Isidoro Pacaya	Presidente	comité de manejo de recursos naturales
Janer Caro	Agente Municipal	
Maria	Community Member	
Wilson	Interim President	Community Natural Resource Management Committee
Wilson Marichi	Presidente	comité de manejo/vigilancia/teniente gobernador

### Calleria

Alfredo Rojas	Vice president
Donaldo Campos	Community Member
Geiner Rodriguez	Community Member
Jacob Rodriguez	Community Member
Jose Reategui	Community Member
Pablo Clemente	Community Member
Pedro Mori	Community Member

### CN Boca Pariamanu

Artidoro	Community Member	Comité de Castañeros
Gilberto	Presidente	Comité de Castañeros
José	Community Member	Comité de Castañeros
Juan	Tesoro del Comité	Comité de Castañeros
Julia	Community Member	Comité de Castañeros
Rosa	Community Member	Comité de Castañeros
Teresa	Community Member	Comité de Castañeros
Willington	Community Member	Comité de Castañeros

### **Cocamas**

Alvis Silvano Pacaya	Presidente
Arnulfo Aquituari	Teniente Gobernador
Katy Maneo Moena	Presidenta del Vaso de leche
Manuel Bardales	Agente Municipal
Mirna Ahuanri Aquituari	Presidenta del Comité de Artesanas

### **Comunidad de Libertad**

Aida	Miembro grupo de mujeres	Comunidad de Libertad
Aide	Miembro grupo de mujeres	Comunidad de Libertad
Keila	Miembro grupo de mujeres	Comunidad de Libertad
Lucy	Miembro grupo de mujeres	Comunidad de Libertad
Maria	Miembro grupo de mujeres	Comunidad de Libertad
Odalís	Miembro grupo de mujeres	Comunidad de Libertad
Palmira	Miembro grupo de mujeres	Comunidad de Libertad
Pamela	Miembro grupo de mujeres	Comunidad de Libertad
Selmira	Miembro grupo de mujeres	Comunidad de Libertad
Alvis Silvano Pacaya	Presidente de la Comunidad	Comunidad Libertad
Arnulfo Aquituari	Teniente Gobernador	Comunidad Libertad
Manuel Bardales	Agente Municipal	Comunidad Libertad
Mirna Ahuanri Aquituari	Presidenta de la Asociación de Mujeres	Comunidad Libertad
Katy Maneo Moena	Presidenta de la Asociación del Vaso de Leche	Comunidad Libertad

### **El Chino**

Gilberto Mendoza	Agente Municipal, part of the Community Government Council of El Chino and also part of the Community Management Committee	
Jorge Soplin Ortiz	Owner	Tahuayo home lodge
Rider Satalaya	Teniente Gobernador, part of the Community Government Council of El Chino and also part of the Community Management Committee	
Rider's wife	Community Member	

### **Infierno**

Guillermo Siwi	Directive (secretario)
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Marco Antonio Cayulla Q	Vocal de la CN Infierno	
Pedro Gilbert	President	Comité de madera de Infierno
David	Vice-President	Comité de madera de Infierno
Ramón	Community Member	Comité de madera de Infierno
Víctor Oré	AIDER Engineer	Comité de madera de Infierno
María L.	AIDER Sociologist	Comité de madera de Infierno
Federico Durand	Gerente coordinador de proyectos de la comunidad	Directivo de la comunidad Infierno

### **La Merced**

Alex Huaman	Community Member
Luis Chaves	Presidente
Pablo Quispe Cruz	Community Member

### **La Novia**

Alberto Alvarez Ordoña	Presidente	Asociación de Productores Agropecuarios y Forestación La Novia (APRAFON)
Alenis García Perio	Community Member	APRAFON
Diomedes Chumacero	Community Member	APRAFON
Efraín Condori Quispe	Community Member	APRAFON
Gabino Primachi Quispe	Expresidente	APRAFON
Humberto Olivera Cabanillas	Vicepresidente	APRAFON
Juana de Dios Huilca Tacuri	Community Member	APRAFON
Luci Huellca Corrales	Community Member	APRAFON
Luis Cabrera Llagui	Community Member	APRAFON
Milciades Lopez Gonzalez	Secretario	APRAFON
Moises Mamani	Community Member	APRAFON
Richard Sanchez Olivera	Community Member	APRAFON
Segundo Olivera Sanchez	Community Member	APRAFON

### **Manuani**

Betty Charca Cusi	Community Member
Eleazar Durand Quispe	Community Member
Erika Candia Arteaga	Community Member
Eulogia Valdez Rondon	Community Member
Gregorio Valdez Rondon	Community Member
Jhon Valdez Rondon	Community Member
Jorge Apaza	Community Member
Macario Condori Peña	Community Member
Maribel Valdez Rondon	Community Member
Nestor Condori Peña	Community Member
Reudecinda Rondon	Community Member
Ubaldo Caceres	Community Member

## **Marañon**

Nancy Iferna	Miembro	Organización de Manejo de Recursos Naturales del Samiria
Medardo Amasifuen	Miembro	Organización de Manejo de Recursos Naturales del Samiria
Juan Tamani	Miembro	Organización de Manejo de Recursos Naturales del Samiria
Wayner Rider	Miembro	Organización de Manejo de Recursos Naturales del Samiria
Julio Sánchez	Miembro	Organización de Manejo de Recursos Naturales del Samiria
César Canaquiri	Miembro	Organización de Manejo de Recursos Naturales del Samiria
Ernesto Arizama	Miembro	Organización de Manejo de Recursos Naturales del Samiria
José Pirico	Miembro	Organización de Manejo de Recursos Naturales del Samiria
Mauro Arimaya	Miembro	Organización de Manejo de Recursos Naturales del Samiria
Manuel Arirama	Miembro	Organización de Manejo de Recursos Naturales del Samiria
Vidal Maragori	Miembro	Organización de Manejo de Recursos Naturales del Samiria
Marlo Ruiz	Miembro	Organización de Manejo de Recursos Naturales del Samiria
Hugo Torres	Miembro	Organización de Manejo de Recursos Naturales del Samiria
Angel Uuma	Miembro	Organización de Manejo de Recursos Naturales del Samiria
Pablo Izquierdo	Miembro	Organización de Manejo de Recursos Naturales del Samiria
Medardo Curico	Miembro	Organización de Manejo de Recursos Naturales del Samiria
Juan Ríos	Miembro	Organización de Manejo de Recursos Naturales del Samiria

## **Palma Real**

Arturo Chaeta	Member of Board, IP Representative to Tambopata Mgt Committee	
Arturo Chaeta Shanocua	Community Member	Comité de Artesanos
Avelina Meshi Viaeja	Community Member	Comité de Artesanos
Belinda Huahojehua	Community Member	Comité de Artesanos
Delicia Viaeja Kinei	Community Member	Comité de Artesanos
Elsa Viaeja Eteje	Community Member	Comité de Artesanos
Esperanza Heahijia	Community Member	Comité de Artesanos
Exilda Shanocua	Community Member	Comité de Artesanos
Graciela Huahojehua	Community Member	Comité de Artesanos
Graciela Meshi Huahojehua	Community Member	Comité de Artesanos



Ines Meshi Equiney	Community Member	Comité de Artesanos
Jhonathan Tuesta	Community Member	
Jorge Shanocua Huesa	Community Member	Comité de Artesanos
Juana Equiney	Community Member	Comité de Artesanos
Lina Sehua Viaeja	Community Member	Comité de Artesanos
Lucio Yajojé	President of the Community Board	
Lusmila Shanocua Huahojehua	Community Member	Comité de Artesanos
Nina Saavedra	Community Member	Comité de Artesanos
Teófila Saavedra Viaeja	Community Member	Comité de Artesanos
Victor Andres Meshi Huahogehua	Treasurer	
Vilma Huahojehua	Community Member	Comité de Artesanos
Winder Vera	Community Member	
Zenon Yojaje Equiney	Community Member	Comité de Artesanos
Zina Valverde	Community Member	

### **Pankyretzi**

Alcides Rodríguez Araujo	President	
Edwin Rodríguez Araujo	Municipal Agent	
Gerardo de la Cruz Crispin	Teniente	
Percy Llarango	Public official in Purús, and also community member Pankyretzi	

### **Puerto Arturo**

Amalia Valencia Camelos	Vice president de la comunidad beneficiaria	
Aurora Grifo	Community Member	
Emilia Canelos Macochoa	Community Member	
Juan Casiana Corelos Quiroz	Presidente de la comunidad Beneficiaria	
Luis Canelo Grifa	Beneficiario	
María Luisa Cama Reátegui	Community Member	
Nicolas Vargas	Community Member	
Segundo Peralta Mendoza	Community Member	
Wilmer Anaya Canelos	Community Member	
Elena Luisa Mamani Colque	Directora	Institución Educativa Mariscal Ramón Castilla

### **Puerto Nuevo**

Rosita Silvano	Community Member	
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### **Puerto Prado**

German	Agente Municipal	
Cesar Tapullima	Teniente Gobernador	
Dextre Amasufin	Presidente de APAFA	
Janet Tapuima	Community Member	
Jenny Tapunima	Community Member	

Kely Panare	Community Member
Leonor Cebillano	Profesora
Lucy Salas	Community Member
Maria Aguanare	Community Member
Maria Tamañaúe	Community Member
Maribel Tamani	Community Member
Paul Parina Salgado	Community Member
Rex Curitima	Community Member
Rosa Panare	Community Member
Sadit Tarapukina	Community Member

### **San Juan de Yanayaku**

R. Roque	APU JuniKuín, San Juan Community
Armando Chanachari	Community President
Melito Nacimiento Rojas	President Communal Resource Management

### **San Martin**

Kelly Marín	Miembro	Grupo de mujeres E-cosas
Norma Luz Sayan	Secretaria	Grupo de mujeres E-cosas
Olinda Yñapi	Miembro	Grupo de mujeres E-cosas
Toribia Mendoza	Presidenta	Grupo de mujeres E-cosas
Cesar Canaquiri	Member of the fisheries management committee	

### **San Pedro**

Carlos Flores	Resident
Dennis Flores	Vice President Communal Resource Management
Fredy Flores	Municipal Agent and President of the Management Committee
Gilberto Flores	Teniente Gobernador Community President
Manuel Agonare	Resident

### **Sonene**

Alberto Viaeja Sehua	Community Member
Antonio Kiosh Pino	Community Member
Brida Dejavisio ochoa	Community Member
Carlos Huajohuajo	Community Member
Clotilde Huajohuajo Shanocua	Community Member
David Viaeja Ekeje	Community Member
Diana Sehue Viaeja	Community Member
Edy Huajohuajo Jona	Community Member
Edy Manrique Huajohuajo	Community Member
Efrain Sehue	Community Member

Efrain Sehue Huajohuajo	Community Member
Elena Viaeja Sehue	Community Member
Fernando Dejavisio Pesha	Community Member
Genaro Huajuhaju Viaeja	Community Member
Gregorio Huajohuajo Jona	Community Member
Gricelda Shanocua Pikichecuc	Community Member
Ignacio Viaeja	Community Member
Ignacio Viaeja Sehua	Community Member
Judith Mori Vasquez	Community Member
Liborio Chumbilla Yapo	Community Member
Mery Ochoa Marichi	Community Member
Nelson Huajohuajo	Community Member
Rosalía Sehua Kiosh	Community Member
Tania Meshi Huahojehua	Community Member
Teresa Pikichecuc Gapishi	Community Member

### **Taricaya comunidades del Marañon y Samiria**

Angel Uuma	Community Member
César Canaquiri	Community Member
Ernesto Arizama	Community Member
Hugo Torres	Community Member
José Pirico	Community Member
Juan Rios	Community Member
Juan Tamani	Community Member
Julio Sanchez	Community Member
Manuel Arirama	Community Member
Marlo Ruiz	Community Member
Mauro Arimaya	Community Member
Medardo Amasifuen	Community Member
Medardo Curico	Community Member
Nancy Iferna	Community Member
Pablo Izquierdo	Community Member
Vidal Maragori	Community Member
Wayner Rider	Community Member

### **Tres Islas**

Brenda Chapiama	Junta Directiva
Cesar Racua	Comité Madera
Clara Kagna	Junta Directiva
Delia Figueroa	Comité Castaña
Esperanza Gonzalez	Comité Madera
Hermogenes Aguilar	Comité Madera
Jeanet Cachique	Junta Directiva
Juana Griselda Payaba Cachique	Comité Castaña
Nefttali Villar Valles	Comité Madera

Sergio Perea

President of Community

**Community Enterprise ECOMUSA**

Jesus Isuisa	President
Jose Escompani	Treasurer
Raimundo Murallari	Partner
Carmen	Partner's wife

**Asociacion de Shiringuros del Tahuamanu**

Martin Huaipuna	Partner and President of AFIMAD
Segundo Vela	Technician, IIAP
Carlos Trujillo	CONTECAL

DRAFT