

**Mid Term Review of the Project: “Transforming Management
of Protected Area/Landscape Complexes to Strengthen
Ecosystem Resilience”**

Deliverable 4

Final Inform

January 14, 2019

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Acronyms

ACR	Regional Conservation Areas (for its acronym in Spanish)
PNA	Protected Natural Areas
CC	Climate Change
EbA	Adaptation Program based on Ecosystems (for its acronym in Spanish)
ECAS	Executor of Administration Contract (for its acronym in Spanish)
GEF	Global Environmental Facility
GORES	Regional Governments (for its acronym in Spanish)
MINAM	Ministry of the Environment (for its acronym in Spanish)
MTR	Mid Term Review
NIM	Modality of National Implementation (for its acronym in Spanish)
LoA	Letter of Agreement
UNDP	United Nations Development Program
PUMA	Landscape Purús – Manu (for its acronym in Spanish)
SERNANP Spanish)	National Service of Protected Natural Areas (for its acronym in Spanish)
UNDAF	United Nations Development Assistance Framework
YESI	Landscape Yanachaga – El Sira (for its acronym in Spanish)

Project Information

Project Title:	Transforming Management of Protected Area/Landscape Complexes to Strengthen Ecosystem Resilience		
Country(ies):	Peru	GEF Project ID:	5080
GEF Agency(ies):	UNDP	GEF Agency Project ID:	5152
Other Executing Partner(s):	MINAM	Submission Date:	May 14, 2014
GEF Focal Area (s):	Multi-focal Biodiversity, Land Degradation, Sustainable Forest Management	Project Duration (Months):	60
Name of parent program (if applicable):	N/A	Agency Fee (\$):	8'991,434

1. Summary table of MTE valuations and achievements

Parameter	MTE rating	Description of the achievement
Progress in achieving results	Valuation Objective: MS	It is expected that most of the established results will be achieved by the end of the project, however, there are significant risks in terms of the impact and sustainability of the Outputs in Outcome 2. It requires strengthening its impact in terms of its main objective, which is to generate capacities and tools for resilience to climate change (CC).
	Valuation Outcome: 1 S	The Outcome shows high feasibility of meeting the objectives set, showing significant risks in its ability to achieve the expected funding goals.
	Valuation Outcome: 2 I	It shows a considerable delay in its execution and a high risk of diluting its impact and compromising the sustainability of the investments made.
Execution and adaptive management	MS	Unbalanced execution between Outcomes. They waited too long to make decisions and now they have little time to execute and comply, especially with regard to Outcome 2.
Sustainability	MS	The work on central issues such as the strengthening in management instruments of the NPAs and financing mechanisms to ensure resources for the NPAs are scarce, it puts at risk the continuing of the project's legacy once it has been completed.

Scale of Valuation

Scale of Valuation	Description of valuation
Highly Satisfactory (HS)	It is expected to achieve or exceed the objectives / outcomes set for the end of the project without major shortcomings. Progress towards achieving the objectives / results can be presented as a "good practice"
Satisfactory (S)	It is expected to achieve most of the objectives / results set for the end of the project with only minor deficiencies.
Moderately Satisfactory (MS)	It is expected to achieve most of the objectives / results established for the end of the Project, but with significant deficiencies.
Moderately Unsatisfactory (MU)	It is expected to achieve most of the objectives / results established for the end of the Project with important shortcomings.
Unsatisfactory (U)	It is not expected to achieve most of the objectives / results established by the end of the Project.
Highly Unsatisfactory (HU)	No objectives / results have been achieved by half of the period and it is not expected to achieve any of the established by the end of the Project.

1 Introduction

1.1 Objective

The general objective of the Mid-Term Review (MTR) is to provide recommendations based on evidence to contribute to the achievement of results proposed by the project.

The following are the specific objectives of the evaluation:

1. Explain the level of progress towards the achievement of intermediate goals, based on the analysis of results, the implementation strategy designed and the execution of its activities.
2. Evaluate the management of the project, from the analysis of its management procedures, monitoring and evaluation systems, information and internal and external communication, institutional arrangement.
3. Analyze the possibilities that the impact of the project is sustainable beyond its completion, from the identification and weighting of the external and internal factors limiting and stimulating.
4. Provide recommendations to improve the implementation of the project, based on the identification of best practices and learning opportunities.

1.2 Scope and Methodology

The evaluation was led by José Galindo and Fátima García as a specialist in climate change and territorial governance, it was developed during the period between September and November 2018. The methodology used for this document is aimed at achieving the objectives defined for the Mid Term Evaluation ToR's (Annex 1). During the process, there was an active relationship and interaction between the consultant, the UNDP Peru, the Project Team, MINAM and other interested parties, in order to streamline the evaluation process and enable timely feedback of the findings.

In general, the evaluation was guided by the guidelines defined in the UNDP Guide for Mid-Term Assessments and its stated objectives. The methods and methodological instruments that were developed and used in the evaluation process were:

- Evaluation matrix
- Documentary analysis
- In-depth interviews with key informants and meetings-workshop
- Direct observation / visits to the implementation sites

At all times, the consultancy used a participatory and inclusive approach, based on data derived from programmatic, financial and monitoring documents, and a reasonable level of direct

participation of interested parties through interviews, meetings - workshop and review of the documents generated in this evaluation.

Initially, on September 12, a first meeting was held, with the objective of presenting the consultant team and initiating an induction to the Project. In addition, delivery times and coordination mechanisms between the consultant and the designated counterparts, communication channels, direct supervision of the consultancy and coordination of information delivery, product delivery and organization of the mission were defined in this space. . In this meeting the consultant team requested the necessary information to start the consultancy.

Cross-cutting criteria applied in the Evaluation: gender, interculturality and human rights

The MTR considered gender and interculturality approaches with the human rights approach and reviewed to what extent the Project design contemplated different impacts on men and women, and among the 19 ethnic groups in the Project's scope of implementation. It was evaluated how these approaches were addressed in the implementation of the Project, as well as to what extent the evaluation and monitoring of the Project addresses the impact of this on gender equity and intercultural relations, if there are mechanisms to monitor differently by gender and ethnic origin the participation of the actors in the activities promoted by the Project and in the benefits that derive from it. The gender balance on the Governing Council and the project team and its ability to incorporate approaches in the project was revised.

During the field mission, we reviewed how the Project relates to men and women and how it addresses intercultural relations among the actors, what effects it has had on the actors differentiated by sex and ethnic origin. It recommended complementary indicators sensitive to gender and the intercultural approach that facilitate the incorporation of these approaches in the execution of the Project.

From a human rights perspective, the MTR also identified to what extent the Project design is aligned with the SDGs; evaluated if vulnerable groups are identified and how their integration is facilitated in the processes promoted by the project; and if these processes contribute to empowerment for the exercise of their rights; what mechanisms are used to monitor access to project benefits; to what extent in the implementation of the project are people considered as key actors for their own development and active agents of change.

Regarding the quality of the process of involvement, it should be noted that the selection of people who participated in interviews and focus groups was adequate and included a diversity of actors from different levels such as technicians, authorities, representatives of indigenous peoples and or others. Informants who maintain the memory of the processes and were able to share information and perceptions about the Project. The process of involvement of the actors in the evaluation counted on the participation of the national authorities and key actors of the Project, in the inception meeting at the beginning of the mission and the presentation of the results of the mission.

1.2.1 Revision of documents and inception report

The documentation submitted by the contractor was reviewed, which includes a series of documents provided by UNDP and the Project team, among which are listed:

- Project Document (PRODOC)
- Project Identification Document (PIF)
- Project Implementation Review (PIR)
- Annual Progress Reports
- Quarterly Report on Progress and Project Achievements
- Combined Delivery Reports (CDR)
- Summary of the METT Sheet
- Audit Report
- Minutes of the Meeting of the Directing Council
- Project intervention maps
- Outcome Products of Outcomes 1 and 2
- Document of adjustment to the Logical Framework of the Project
- Inception Workshop Report
- Matrix M&E
- Documents related to the monitoring of the Project
- UNDP Country Program Document (CPD)
- Strategic Plan of UNDP, other strategic and legal national documents, and related to the project; and other documents that are detailed in Annex 8.

On the basis of the review, a detailed description of the Project was made, covering the identified problem, the established objectives, Outcomes and their respective activities. Subsequently, an evaluation framework was established that combines the orientation questions for the five key evaluation criteria and the performance evaluation categories of the Project (Project formulation and design, Project execution, results, monitoring and evaluation).

1.2.2 Mission to Peru - Information gathering, interviews and field visits

The evaluation mission allowed the consultant team to have a better view of the context of the Project. In addition, through the field visit, the consultants were able to demonstrate the activities carried out so far, in addition he made direct contact with the most representative actors in the implementation of the Project and received first-hand testimonies about the advances and barriers encountered so far.

During the mission, four methods of gathering information were applied. On the one hand, semi-structured interviews were carried out based on the guide of questions presented in Annex 2 and 3; Secondly, visits to the project's execution sites were made, which involved long travel periods in which in-depth interviews were held with the Project Coordinator, the technicians who lead Outcomes 1 and 2; project staff at headquarters and other relevant actors who participated in this activity. In complementarity, telephone interviews were conducted with the Project Coordinator and the Coordinator of Outcome 1 (November 23 and December 20), as well as other non-formal conversation spaces, in which aspects of interest for the evaluation were addressed.

In addition, participant observation was carried out transversally during the field mission (Annex 4). At least 4 induction workshops were carried out to the Project, in which its Outcomes and the results obtained were analyzed; the inception meeting of this evaluation and the presentation of preliminary findings with the participation of the Project Steering Council were also held.

A total of 56 interviews were conducted with authorities, organizations linked to the management of protected areas, implementing partners, project team personnel, other related projects and relevant actors participating in the project intervention framework (Annex 5 and 6).). Each interview had an estimated duration of an hour and a half, and were carried out individually, thus ensuring the confidentiality of the answers provided by the interviewees. In the cases of representatives of organizations such as the Executors of Administration Contract, Management Committees or others related to the project, at least the Board and technical team were approached, and the information was collected through a meeting-workshop.

1.2.3 End of Mission - Presentation of Preliminary Findings

The information gathered and analyzed was presented to the Project Team, Project Steering Committee, representatives of UNDP Peru and SERNANP, Implementing Agency and National Project Counterpart respectively, through a Power Point presentation (Annex 7). At the end, their

feedback was obtained (Annex 14), which facilitated the formulation and justification of conclusions and lessons learned, which in turn will feed the definition of recommendations for future projects.

1.2.4 Draft Evaluation Report

The information gathered from the different sources of information was organized and codified by topic. To ensure the credibility and validity of the findings, judgments and conclusions that will be presented, the consultant used triangulation techniques, which consist of crossing the information obtained.

Each Outcome and phase of the Project was evaluated according to the categories established in the Terms of Reference: Highly Satisfactory, Satisfactory, Moderately Satisfactory, Moderately Unsatisfactory, Unsatisfactory and Highly Unsatisfactory (Annex 9).

Based on the results obtained, the consultant formulated several recommendations of a technical and practical nature, which reflect a realistic understanding of the Project's achievements. The Mid-Term Review of the Project was applied to the development and implementation until the moment of the Project for the four categories of progress:

- **Project Strategy:** Formulation of the Project including the logical framework, assumptions, risks, indicators, budget, country context, national ownership, participation of design actors, replicability, among others.
- **Progress in the achievement of results:** focus on implementation, participation of stakeholders, quality of execution by each institution involved and, in general, financial planning, monitoring and evaluation during implementation.
- **Execution of the Project and Adaptive Management:** identification of the challenges and proposal of the additional measures to promote a more efficient and effective execution. The aspects evaluated will be: management mechanisms, work planning, financing and co-financing, monitoring and evaluation systems at the Project level, stakeholder involvement, information and communication.
- **Sustainability:** In general, sustainability is understood as the probability that the benefits of the Project will last in time after its completion. Consequently, the Mid-Term

Sustainability Assessment examines the likely risks that the Project faces so that the results will continue when the project ends.

2 Project Description

The Project Transforming Management of Protected Area/Landscape Complexes to Strengthen Ecosystem Resilience, aims to improve resilience to the impacts of climate change on vulnerable ecosystems in protected natural areas and in surrounding landscapes, in order to ensure their biodiversity, functionality and the provision of ecosystem services.

It is implemented during the period 2015 - 2021 under the National Implementation Modality - NIM with LoA, the executing partner being the SERNANP and the Implementing Agency the United Nations Program for Development - UNDP. The Project has a budget of US \$ 8'991,434 financed by the Global Environment Facility (GEF-5).

The Project consists of two Outcomes, one related to expanding and strengthening the conservation regime of areas sensitive to climate change; and the second promotes sustainable land management to increase the resilience of ecosystems to the impacts of climate change. Geographically, it focuses on two natural landscapes: Yanachaga - El Sira (YESI) and Purús - Manu (PUMA), which together comprise 9 protected areas of different protection categories, their buffer zones and other conservation areas and productive uses, adding an area of 16'973,976 ha. The actors linked to the Project are public and private institutions linked to the management of conservation areas, and local people of indigenous origin and settlers¹.

The project is in its third year of implementation, both for the mandate of the GEF and for the Evaluation Plan 2017-2021, the UNDP Peru Office foresees in a Mid Term Review - MTR to verify the achievement of objectives, determine the progress towards the expected results included in the Project Document, and early identification of risks for sustainability. In that sense, the purpose of the Review is to provide recommendations based on evidence, to contribute to the achievement of results expected by the Project.

¹ Population originally from another place, who has migrated to the field of landscapes where the project is executed.

3 Evaluation findings

This chapter presents the main findings of the evaluation, based on the review of the information received, the interviews conducted and the results of the mission. The analysis refers in general terms to the Project, understood as the executing partner SERNANP, the UNDP as the implementing agency, and the different spaces constituted for its governance.

3.1 Project Design

The project responds to national priorities expressed in different plans and policies at national, regional and local levels. It is seen as a great opportunity to look at the conservation of biodiversity beyond the boundaries of protected areas and integrate them into other social, productive and economic dynamics that occur around them. It contributes to the connectivity and improves the functionality of the core areas of conservation in the south of the Amazon, through a variety of conservation figures that go beyond from those that have been traditionally addressed in previous interventions. Perhaps, this is its most important legacy and an opportunity to boost new figures and conservation stakeholders in the territory.

In general, the project has an innovative approach, because it complements the conceptual guidelines of vulnerability with local communities, this has allowed having a more holistic and profound view of what resilience represents from a landscape approach. In addition, the design of the project is built based on the UNDPs portfolio and has received a conceptual complement from other programs or projects such as the Ecosystem-based Adaptation Program (EbA) and the Joint Declaration of Intent (DCI). Furthermore, the project contributed to the design of the project proposal Sustainable Productive Landscapes (PPS) and is currently articulated with the Green Commodities Program.

At the beginning of the project, the team discovered some difficulties in the design of the indicators of the project in general and the Outcomes, for this reason, it was decided to modify several indicators, which in certain cases included revising the baseline and the proposed goal, in other cases, regrouping and reorganising, the new indicators sought to respond in a better way to the context in which the project is developed. This updating and modifying process of the PRODOC consumed a large part of the team's time during the start-up phase, however, it is considered as an adequate investment in order to improve the quality of intervention in the two selected landscapes. The new indicators that were proposed, were presented and subsequently approved by the Steering Committee.

Table 1 Modifications to the Logical Framework of the Project

Outcome	# Original indicator	# Current indicator	Name of the Indicator	Base Line	Goals at the end of the Project
Project Indicator	I2	I2	Modified	Modified	Modified
	I4	I3	Modified	Not modified	Modified
Outcome 1	1	4a	Not modified	Not modified	Not modified
	2	4b	Modified	Modified	Modified
	3	2	Not modified	Modified	Not modified
	4	3	Modified	Modified	Not modified
	5	1	Not modified	Modified	Not modified
	ND	5	A new indicator is included		
	6	6	Modified	Modified	Modified
Outcome 2	1	1a	Modified	Modified	Modified
	2	2a	Not modified	Not modified	Not modified
	3	3	Not modified	Modified	Modified
	4	2b	Not modified	Not modified	Not modified
	5	1b	Modified	Modified	Modified
	6		Not modified	Not modified	Modified

Source: Project "Transforming the Management of Complexes of Protected Areas / Landscapes to Strengthen the Resilience of Ecosystems", 2018

3.2 Project Execution and Adaptive Management

The start of the project was slow, which to a certain extent is justified, considering the complexity of the objectives set, the work with multiple institutions from different regions at the national level, and the learning curve required to operate within the framework of a project with the GEF. However, this delay affects the execution of the final activities of the project, since it leaves less time for the execution and later for the development of topics such as sustainability, appropriation, knowledge transfer and the exit strategy.

The beginning of the project's execution took longer than expected, initially, there was a delay in the designation of the National Directorate in SERNANP and there was a six-month delay for the recruitment of the National Coordinator because the first contest was declared unfulfilled

and other obstacles emerged in relation to other designations and contracts. The second delay arose because the project team invested a considerable amount of time in updating and adjusting the original plan expressed in the PRODOC. This suggests a series of weaknesses and inconsistencies within the concept (which had to be revised in depth), the delimitation of the intervention zones, the selection of priorities and the intervention strategies at each site.

Despite the importance of improving the quality by investing time and relevance of intervention in the territory, it is verified that the time lost has not yet been recovered. This is particularly reflected in the delay of Outcome 2's execution, this was also affected by the rejection of organisations based on the initial scheme proposed in the direct contracting of technical institutions of PRODOC that subcontract local operators in the YESI landscape, however, this scheme was successfully applied in the PUMA landscape. On the other hand, rethinking and restructuring the intervention, coincided with the resignation of the person responsible for Outcome 2, which hindered a swift adoption of the new scheme. Nevertheless, the team points out that important work has been done at the general planning stages of the project so that the goals set for this Outcome are achievable. Furthermore, during 2018, the implementation of this Outcome has been accelerated with concrete results reported to date and the attainment of certain key products. As will be described in greater detail in the following chapters.

The analysis of information also indicates that certain actions could have been executed in advance, such as the installation of the head offices and the hiring of key personnel. In the latter case, a significant delay in the incorporation of support professional to SERNANP is identified, which is a key profile in the uptake strategy of USD 5.4 million. The consultant in question was hired in June 2018, which leaves a very narrow margin to be able to coordinate with other activities considered as part of the planned strategy, to reach the goal set in the two years remaining to the project.

During the interviews, particularly at the beginning of the project, difficulties were mentioned in the management of expectations with the protected areas, communities and some partners. Several interviewees agree that during project start-up in the different presentations made, and in order to make the project budget more transparent, an appropriate explanation of the complexity and magnitude of the project and its budget was made. Despite this, occasionally it was not possible to avoid generating a big expectation facing up to the resources that the beneficiaries expected in the different areas.

One of the difficulties frequently mentioned by the vast majority of men and women interviewed, make reference to the fact that the project "does not listen". This is verified throughout the

interviews carried out to different stakeholders both in the project head offices, as well as in the Lima city. While it is true, in certain cases, the comment could be understood in a context in which the project cannot meet the specific requirements and needs demanded by the key stakeholders, because they are beyond their scope, budget or priority.

According to their testimonies, it is mentioned that sometimes different leaders have come to the project to request that their NPAs be included, or that they are granted resources to cover certain needs that are a priority, from the headquarters standpoint, however, since the requirements were not identified within the planning framework of the project they were not granted. Nevertheless, it must be clarified that sometimes this difficulty could have been linked to the fact that SERNANP central plant defined the top priorities that needed to be executed. This could be seen in 2016 when the project attended to certain strategic activities of the SERNANP central plant, which also correlated with the logic proposed by the PRODOC.

Despite the obstacles mentioned, the project has sought to link the different headquarters, in 2017, the planning of activities was carried out encouraging greater participation of the SERNANP central and the review of the headquarters. In 2018, the head offices participated in meetings of review, approach and adjustments of the planning in each head office to collect their contributions and also, meetings with specialists from SERNANP central head office. The information crossover indicates that at the headquarters level, the project is seen as a closed entity, due to the fact of not having executed certain requirements of the headquarters, however, at the planning level, its contributions have been considered.

In the same way, the testimonies make reference to the fact that the project "imposes, and is a lock", basically the justification for this comment is based on the fact that testimonies In this sense, it is necessary that the project has more political management, which does not imply that it must be agreed, but rather to promote a better relationship between the parties involved, opening spaces to work together.

The appropriation of the project turns out to be relatively low, the different parties have different readings, however, they agree that the project is much more identified with the UNDP than with the SERNANP, this fact is more evident at the head office level but is also shared by stakeholders from the central level in Lima. Among the different factors in relation from the stakeholder's perception, it is mentioned that at least at the beginning, the team in the head offices were identified as UNDP personnel, also the corporate identity and communication material do not reflect sufficient leadership by SERNANP within the project. Another factor that contributes to the project being looked at from this point of view, is related to the physical location of the team in

Lima within the UNDP offices. Other aspects that can be less attractive but mark relevance, make reference to the dominion and the presentation of the e-mails, despite appearing to be not very significant, they converge to generate a relatively low positioning of the project as belonging to SERNANP.

The work through the partner institutions has not positioned the project sufficiently and practically make SERNANP appear invisible. It is necessary to give a 180-degree turn, to make the work of the national institution evident, specifically in the creation of new areas of conservation, connectivity, extension, etc. In addition, it has been noted that the work between the partners and SERNANP is not integrated. For example, the headquarters of the NPA practically do not participate in the creative processes of new conservation areas and according to the testimonies collected, they are not sufficiently aware of the actions taken and the progress achieved, for this reason, it is necessary that the head office play a more proactive role in ensuring that the leadership of the NPAs get involved or participate in a more proactive way and that they are the ones that generate pressures towards SERNANP in relation to conservation priorities. Likewise, the coordination could do more to ensure that there are spaces to share experiences and views in relation to the strategies applied by the partner institutions in the execution of Outcomes 1 and 2.

A factor mentioned frequently is that the decision times take too long, the answers to technical issues, such as the location, the direction of funds and activities are very extensive, although it is recognised that they are very serious and highly analytical. Management decision making must weigh the balance between quality and opportunity, this also means being more willing to take risks, considering that they have a team with the capacity to respond with agility and adaptive management.

The Coordinator's presence in the territory is perceived as relatively distant. The testimonies collected in the territory refer to the fact that the Coordinator has only been known for the macro meetings, that is, the relationship is not individual, giving a result of a more distant view to the coordination of the project. In this sense, it is necessary that there be a closer relationship from the Coordinator, which allows him to perceive at first hand, the events that occur in the territory and whose contribution is more political to the technicians who are in the field.

In general, it is observed that the execution of the project has focused specifically on the technical level, therefore, it is necessary that the project open spaces for dialogue with the new municipal authorities, with the aim of influencing political decision-making, as is the case of the creation of

conservation areas, which require a better official positioning and of the territorial planning exercise such as that carried out in the province of Oxapampa.

In the PRODOC of the project, a series of activities aimed at trying to co-finance and articulate with other cooperation stakeholders are identified. Output 6 of Outcome 1 refers to "Financial mechanisms established to increase resilience in the landscapes", which raises a number of potential sources of funding, as well as, demonstrate the need to coordinate with initiatives and agencies to promote sustainability of the landscapes. This Outcome is fundamental for the sustainability of the intervention in a large territorial area such as that covered by the project. In effect, meeting the goal set for this Outcome requires a greater capacity of political relations and a greater presence of the coordinator in the territory to build, encourage and maintain this type of relationship.

According to the information provided by the project, there is a conceptual design of the training, which responds to the project's objectives, however, the information gathered from the interviews shows that the training provided does not respond to the specific needs identified from the NPA. It should be noted, that there are different logics of training, on the one hand, those that are directly incubated in the project and on the other hand, those that come directly from SERNANP and are supported by the project. Although training has been developed in a variety of subjects, whether they are directly executed by the project or supported by SERNANP, they have been carried out in a standardised manner, to all the same and in the same dose, without discriminating differently by workgroups or protected areas. It was possible to carry out a differentiated work at the level of technicians, heads of the area, executing agencies, indigenous organisations, etc. For example, it is mentioned that sensitive issues such as the gender approach, in some cases, were treated with indigenous communities without the presence of a translator, however, it is recognised that in a very few particular occasions, a translator was incorporated to deal with sensitive issues.

Initially, the PRODOC's design did not contemplate the communications area, nor a person responsible for it, however, in the PRODOC, communication activities related to each Outcome were planned, estimated at USD 90,000 and intended for the production of audio-visual material. Despite this, the design of the project did not allocate a budget destined to develop a plan or a strategic approach for the communication of the entire project, translating this into one of the weakest areas of the whole intervention and offered little function to support in the execution and specification of the project's objectives. Despite this, the project has tried to meet communication needs, so in 2018, a plan was developed that still awaits approval.

Based on the review of the communication products developed by the project and in agreement with the opinion of the majority of people interviewed, it is considered that the communication of the project responds more to the corporate area of UNDP than to the specific objectives of the project in terms of executing the Outcomes in the territory. Although communication in the field has been foreseen from Strategy 1.1 and provides the participation of the ONGs that accompany some of their products, in practice, there is a weak relationship between the communication activities developed with the products and results of the project. It is not yet perceived that the communication area companions and are adequately exploited from a strategic perspective to support the realisation of the project's objectives. For example, the positioning of climate change and resilience issues which is surprisingly low in the beneficiaries, executing partners and practically all the stakeholders interviewed.

The central theme of resilience, which gives its name to the project, while it has been conceptualised, principles and strategies have been defined, in some cases, it is not clear how it is operationalised from the Outcomes and its results. Likewise, resilience as a differential focus of the project remains unnoticed or in other cases, as a diffuse concept for the actors outside of UNDP, a situation that contributes that each stakeholder waits for the priorities they identified to be accepted by the project, however, there is a high positioning and remembrance of ecosystem services matter. This matter is evidenced in the project's strategy, which indicates that the care of the aforementioned services is fundamental for the PANs, the productive systems, and in general, they are transversal to the 7 principles of resilience, as established by the project's theory of change.

There is a clear division between Outcomes 1 and 2; there are indeed spaces for opportunities of mutual benefit, as well as, talents and skills in the team that can be complementary and that should not necessarily be so sharply divided among Outcomes, on the contrary, this condition would allow working on cross-cutting matters that allow adding value from the existing multiple competencies.

According to the testimonies of the interviewees that are shared by the evaluation team, an unbalanced relationship with the certain actors in the territory is verified. In the case of the Regional Governments, for example, an extraordinary relationship with Cuzco is confirmed, but no type of relationship with Madre de Dios is maintained. Likewise, the indigenous organisations manifest their expectation to keep better informed and have a closer relationship with the project to coordinate the execution of products that involve their bases. Faced with this, the project clarifies that the authorities have been invited to different activities and that their intervention

focuses on the ECA Amarakaeri and the Management Committee of the PN Alto Purús. It is important to take advantage of the positioning that UNDP has and that in some way facilitates access to these instances, likewise, it is important to invest in improving relationships and achieving more proximity with the stakeholders in the field, particularly those who are expected to execute products, especially those related to Outcome 2.

3.3 Gender, interculturality and human rights

The PRODOC identifies strategies for the incorporation of the gender approach within the project, as a specific allocation in the project budget and proposes addressing explicitly the economic empowerment of women, ensuring equitable participation in decision-making, particularly in the identification of productive options, emphasising women as potential agents of transformation, in the social and cultural context of each case. Interculturality is not explicitly addressed in the design of the project, rather it is indicated that the sociocultural conditions of the settlers and the indigenous communities for the development of resilient productive systems will be taken into account. In the design, specific indicators were not developed on the approaches that allow monitoring the incorporation of the strategies indicated in the project's document, rather they are collected in a limited way at the level of the goals for productive systems of Outcome 2.

During implementation, introductory workshops were held to train the approaches in accordance with the United Nations conceptual framework, as part of the polycentric governance strategy to increase sociocultural and ecological resilience. An important product has been the identification of potential alliances, expectations and proposals from the actors linked to the project, whose incorporation into the management of the project and therefore its monitoring has been pending. After these events, two of the four partner institutions have developed proposals for good practices in the intervention carried out within the framework of the project, in general, aimed at achieving greater participation and involvement of women in the activities promoted. From Outcome 1, to facilitate the continuous participation of women some workshops were complemented with specific measures, productive initiatives led by women have been selected as part of the strengthening of conservation areas. While no explicit strategy has been formulated for the economic and social empowerment of women as indicated by the PRODOC, the project has developed actions that contribute to this process, such as gender strategies for intervention,

training and facilitation of the participation of women, proposals for the revaluation of ancestral knowledge of "wise²".

The need to incorporate the intercultural approach has been markedly evident in the execution of the micro capital agreements, particularly for the advice and administrative follow-up by the project team. Also, in the construction and application of educational and monitoring tools such as the entrance and exit evaluations and in the planning of some workshops with indigenous participants specifically, those carried out in Pucallpa and Madre de Dios about gender and interculturality. In these specific cases, the absence of a translator limited the appropriation of the concepts presented by the project.

The UNDP Amazon Program has a specialist who has provided induction on the approaches to the technical team of the project and has guided the training workshops carried out, with results and positive impact. However, a close accompaniment is required to improve the capabilities of the team and to apply these approaches transversally to the project.

3.4 Progress in the achievement of results

3.4.1 Outcome 1: Greater resilience to climate change in NPA of fundamental importance

The first Outcome is made up of 6 Outputs, which in turn have various associated indicators depending on the case. The first Output corresponds to "Extension of an area under conservation regime favouring connectivity". The project identified 10 local initiatives for the creation of biodiversity and agrobiodiversity conservation areas in priority zones, that in total involve 284,065 ha, under different legal frameworks and mechanisms between ACR, ACP, CC, in some cases innovative in the national context as the recognition of agrobiodiversity zones in Cusco. The execution of the stages for the creation of these areas is carried out by 3 partner institutions, in Ucayali, Pasco-Huánuco and Cusco³, with recognised work experience in the area of intervention in each case and with experience in the subject at the institutional level or its professionals. The articulation in these processes has been successful at a regional and local government level and with the social stakeholders, especially in Cusco, and with less approach in Ucayali and Pasco. The involvement of SERNANP has been from Lima, in reviewing the dossiers and monitoring each process, remaining weak or invisible of its participation as a key stakeholder to

² 1 Diagnosis of Q'ero crafts in the Japu Peasant Community and planning proposals for organisational strengthening and commercialisation.

³ In Ucayali ProPurús with 2 proposals for CC, in Pasco - Huánuco IBC with proposals for ACR and ACP, and in Cusco ACCA with ACR proposals.

insert the ecosystem services, connectivity, climate change and resilience approaches into planning territory at the regional level.

The recognition of conservation area processes are at different levels of progress and possibilities to materialise during the project execution time, so it is convenient to support from a political role of UNDP and from the project, those with greater viability, accompanied by a communication strategy for the incidence in political decision making.

In the following, Table 2, the state of progress of each process is presented, using the semaphore scale to indicate the feasibility of materialising in the time of execution of the project.

Table 2 Progress of the Output Process 1.1

Proposals for conservation areas ⁴	Surface (ha)	Advance ⁵	Commentary
ACR Ausangate	80,900	3	Finished technical process, regional political will for its recognition, anticipated public incidence.
Area of agrobiodiversity Marcapata Collana	22,808	1	Risk that rural communities are not interested
Area of agrobiodiversity Collasuyo	14,780	1	Risk that rural communities are not interested
Affectation of use of the property Quincemil Araza	10,000	1	Risk of the process being stopped or delayed by changes in DRAC and UNSAAC authorities.
CC Yurúa	48,429	3	File entered the GOREU, priority area for conservation.
CE Sepahua	67,148	1	Risk that the GOREU prioritize forest use in this area.
ACR Codo del Pozuzo	11,000	2	100% overlap with hydrocarbon lot in operation.
ACR Chontabamba Huancabamba	17,000	1	Overlap with forestry concessions for reforestation, with no response from SERFOR on its viability.
ACP Huachón	12,000	1	The sanitation of the base documentation may require long times, due to the breadth of the community, and the need to articulate the population located in the Amazon and upper parts of the Community.
Total	284,065		

⁴ The proposal of ACR Marcapata Camanti was not included in the list because the project will define during the second semester 2018 the pertinence of investing financial resources, according to the perspectives for the process.

⁵ To measure progress in the establishment of conservation areas, three stages have been considered: 1: identification of the initiative, contact with institutional and related stakeholders; 2: preparation of technical documentation according to sectoral regulations, with commitments from institutional and grassroots actors; 3: the process or file is in decision-making bodies for the creation of the conservation area.

	Viabile
	Risk of political obstacles, or complex processes that exceed the project's execution time.

In the intervention maps of the project, other proposals of conservation areas that have not been considered in the previous Table⁶ are indicated, since no specific activities were identified with these initiatives, in the follow-up reports or during the collection of information at the head office.

The project is also supporting the strengthening of the management of existing conservation areas. In some cases, with a clear focus on financial sustainability in the intervention, as in the case of the ACM Sho'llet for rights of way, the ACP Fundo Cadena with a project profile to leverage public funds for pisciculture and the ACP Japu with the strengthening of the textile technique to improve the commercialisation. In other cases, the support has been an opportunity and in a timely manner, as in the case of CC Soq̄tapata, and Machusaniaca and II; and in the case of the YESI landscape, the strengthening of the ACPs are not defined⁷. In the case of productive initiatives, both textiles and pisciculture, the climate change and resilience approach has not been incorporated. Likewise, especially in the case of Japu, the intervention must be complemented with a strategy to ensure that the improvement in the textile activity favours the social and economic empowerment of women. In general, the Output its indicator registers a 60% advance (Table 3).

Table 3 Output advance matrix 1.1

Indicator	Baseline	Final goal	% Advance	Achievement rating	Justification of the valuation
Expansion of the coverage of conservation areas to protect essential ecosystems	09 protected natural areas (5'966,203 ha), 08 Private conservation areas (22,612ha), 02 Municipal conservation areas (15,238ha), 09 conservation concessions	100,000 has been destined to the conservation of essential ecosystems through alternative modalities (additional to SINANPE).	60	S	The project has not foreseen actions for the political incidence and strategic communication that impel the political decision making for the creation of the conservation areas, especially in the

⁶ Proposals from ACP Kika, Cheli, Nanayo, Santa Rita, Cortez, Francisco, Churumazú, Osopampa.

⁷ ACP Zaragosa and Fundo Las Neblinas.

(193,035ha), 10 ecotourism concessions (25,774ha) and 04 Territorial Reserve / Indigenous Reserve (2'620,423 ha) in the two landscapes.					cases whose viability is greater.
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Source: Project "Transforming the Management of Complexes of Protected Areas to Strengthen the Resilience of Ecosystems", 2018

* Greater detail of the matrix of the achievement of Results in Annex 10.

In relation to the Output 1.2: Conservation agreements with local communities and organised groups to increase resilience in landscapes have been made, the project has contributed to the conceptualisation of conservation agreements and the definition of a proposal for guidelines to implement them at the SINANPE level. It is required to conclude this process with the appropriate level of socialisation, in order to formalise the existing proposals and move towards its implementation.

In relation to the goal, the YESI landscape progressed with 2 agreement proposals (roadmaps) in BPSMSC & PNYCH and 10 agreements were established in the RCY⁸. The project has also made progress in the strengthening of governance spaces at the local level that could later lead to conservation agreements, such as the Sepahua Surveillance Committee and the ECAs themselves through micro capital agreements. Table 4 below reflects the progress of the indicator, which is clarified in detail.

Table 4 Output advance matrix 1.2

Indicator	Baseline	Final goal	% Advance	Achievement rating	Justification of the valuation
Level of local participation in the supervision and control of NPA, measured in terms of the existence of conservation agreements through which local communities	Two conservation agreements in force in the prioritized PNAs (PNYCh and RCY)	At least one (01) conservation agreement in force in each prioritized NPA, thanks to which the local communities have greater participation in	20	S	The progress towards the goal is limited, however, the impact of the Output is high since it will have repercussions at the SINANPE level. In the area of Madre de Dios, the approach of the Project to local

⁸ Within the framework of the micro capital agreement with AMARCY.

complement SERNANP actions.		the control and management of NPA.			stakeholders has been limited, this may be a risk for the effective implementation of the conservation agreements that are established in this area,
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Source: Project "Transforming the Management of Complexes of Protected Areas / Landscapes to Strengthen the Resilience of Ecosystems", 2018

* Greater detail of the achievement matrix of Results in Annex 10.

The third Output of Outcome 1 refers to the "Strengthening of the NPA's management instruments (conservation areas and RI / RT) to address the threats induced by CC and the other pressures that affect resilience". The analysis shows that the project has made progress in the incorporation approaches to climate change and resilience into two master plans (PNAP, RCP) and another in the process (PNM). There were also 3 prior consultation processes for approval of the zoning (RCA, RCY, RCE).

Climate change and resilience approaches are still diffuse concepts to be incorporated into the management decisions of conservation areas, from SERNANP GORE, and private managers. The advances are presented in the following Table.

Table 5 Output advance matrix 1.3

Indicator	Baseline	Final goal	% Advance	Achievement rating	Justification of the valuation
Level of incorporation of aspects related to resilience to CC in the management instruments of NPA, AC, and RT / RI.	None of the priority NPAs or conservation area, RT / RI has incorporated the resilience to the CC in their analyzes or master plans.	All prioritized PNAs have incorporated resilience to CC in their analyzes and master plans, which is reflected in their management decisions.	15	MS	While management decisions address the resilience strategies defined by the project, climate change and resilience approaches are still diffuse concepts for SERNANP, GORE, and private managers.

Source: Project "Transforming the Management of Complexes of Protected Areas / Landscapes to Strengthen the Resilience of Ecosystems", 2018

* Greater detail of the achievement matrix of Results in Annex 10.

In relation to the Output 1.4 "Strengthened capacities for the management of NPA (Conservation Areas and RT / RI) in the context of adaptation to CC and increase ecosystem resilience", the results of the evaluation show that from this product, the project accompanied and promoted different strategies aimed at strengthening capacities for the management of conservation areas such as: review of 09 strategies for control and surveillance, spaces for polycentric governance (CAR, SCR, RBY), macro-regional meetings of SERNANP analysis of institutional networks and opportunities for alliance with relevant stakeholders, SIRAC's work plan, biophysical and sociocultural analysis of ecosystem services, legal advice to reduce anthropogenic threats in the YESI landscape, training (ecosystem services, fire control, gender & interculturality, monitoring), 03 micro capital agreements with ECA (ECOSIRA, ECOPURÚS, AMARCY), equipment for control and surveillance with GPS and communication material.

During these processes, knowledge was strengthened and capacities were exercised for planning, participative & inclusive management, and the treatment of threats, both by state managers and the related population. It emphasises the level of remembrance of the training provided, which in some cases was replicated by trained stakeholders to other members of their organisations. The micro capital agreements also stand out as a tool to proceed in the closing of gaps in the capacities of the RCTs for the co-management and polycentric governance, and gaps for intercultural dialogue from the project team and state agencies.

During the mission in the field, the strengthening of the management capacities of the management committees was not visible. On the main approaches of adaptation to climate change and resilience, state stakeholders, grassroots stakeholders and partner institutions, do not identify the relationship between the Outputs and activities of the project, with the principles and strategies for the resilience defined. The project must identify the basic capacities required by the key stakeholders to internalise and operationalise these approaches in the management of the territory and the conservation areas, and complement the strategies deployed with other actions articulated to a strategy of capacity building, planned in conjunction with the stakeholders, including collective construction of processes: concepts such as resilience, strategy to strengthen the management committees in each case; and the validation and socialisation of technical studies approved.

About the METT tool, the project must improve the technical support for the application of the tool, aimed at reducing subjectivity and obtaining consistent information. The following table presents the progress of the indicators associated with the Output.

Table 6 Output progress matrix 1.4

Indicator	Baseline	Final goal	% Advance	Achievement rating	Justification of the valuation
Better NPA management capacity, as measured by the METT tool.	PNYCh: 55, RCY: 60, BPSMSC: 47, RCS: 57, PNM: 75, PNAP: 62, RCP: 55, RCA: 44, SNM: 60. Average: 57.2	Average NPA rating of 68.8 (according to METT tool).	46	S	Measuring the improvement of management capacity from the METT tool requires the careful application of good practices. The Project from the headquarters accompanied the SERNANP staff in application of the METT tool, however it did not receive any previous training nor was it evident the application of good practices in that exercise.
Effectiveness in the supervision and control of prioritized NAPs, measured in terms of compliance with monitoring and control strategies that include the CC context and action at the landscape level (at least PAN + ZA)	No PAN has a surveillance and control strategy that includes the CC context and the action at the landscape level (at least PAN + ZA).	09 PAN have a monitoring and control strategy that includes the CC context and the action at the landscape level (at least PAN + ZA). At least, 04 PAN implements it.	45	S	The approach of climate change in the actions carried out by the Project to strengthen strategies is not yet evident.

Source: Project "Transforming the Management of Complexes of Protected Areas / Landscapes to Strengthen the Resilience of Ecosystems", 2018

* Greater detail of the achievement matrix of Results in Annex 10.

The fifth Output of the Outcome refers to "Monitoring mechanisms established to measure the increase of the resilience in landscapes", in relation to its progress it is reported that connectivity

has been defined as a monitoring variable, leaving the others in the process to be identified. SERNANP has established an ad hoc group to construct the indicators, and the project is reviewing the existing studies and articulating with international initiatives to facilitate the access of information to the group. The advance of the associated indicator is shown in the following Table.

Table 7 Output progress matrix 1.5

Indicator	Baseline	Final goal	% Advance	Achievement rating	Justification of the valuation
Number of variables for measuring resilience incorporated in the SINPANE monitoring system	The SINPANE monitoring system does not incorporate variables to measure resilience.	At least 07 variables for the measurement of resilience incorporated in the SINPANE monitoring system.	0	MU	Progress in the Output is delayed, no significant progress is evident. The time for SERNANP to start up the monitoring group for the identification of indicators and their incorporation into the SINPANE monitoring system has been extended.

Source: Project "Transforming the Management of Complexes of Protected Areas / Landscapes to Strengthen the Resilience of Ecosystems", 2018

* Greater detail of the achievement matrix of Results in Annex 10

Finally, the activities related to the Output 6 "Financial mechanisms established to increase resilience in landscapes", show that the leadership of 9 PAN (RCP, PNAP, CER) and 3 RCTs were trained in the methodology to establish the financial gap, with the participation of the Heritage Peru Initiative, in such a way that the information be included in the cost of management goals of the Initiative.

SERNANP has been supported in the preparation of 3 conceptual notes of projects totalling around USD 50 million. It should also be mentioned the identification of other mechanisms for the financial sustainability of conservation areas, such as the MERESE in the case of the proposal by ACR Ausangate, and the formulation of productive projects for ACP. The progress and rating of the indicator are shown in the following Table 8.

Table 8 Output progress matrix 1.6

Indicator	Baseline	Final goal	% Advance	Achievement rating	Justification of the valuation
Availability of economic resources (US \$) for the management of prioritized PNA taking into account the implications of CC.	Income (2014): \$ 2'396,512 Resources needed (basic scenario): \$ 4'398,771 Balance (basic e.): - \$ 2'002,259 Resources needed (optimal e.): \$ 7,541,958 Balance (optimal e.): - \$ 5'145,445	Income from current sources 2'396,512 Income from other financial strategies 5'400,000 Total income 7'796,512 Resources needed (basic management scenario) with CC perspective - 5'718,403 Resources needed (optimal management scenario) with CC perspective - 9'804,545 Balance (basic management scenario) with perspective of CC + 2'078,109 Balance (optimal management scenario) with CC perspective - 2'008,033	10	MU	It is probable that the expected goal is not achieved, because the time required from the formulation of concept notes to the approval of projects, may exceed the execution time that remains for the Project. Delay in the hiring of the consultancy.

Source: Project "Transforming the Management of Complexes of Protected Areas / Landscapes to Strengthen the Resilience of Ecosystems", 2018

* Greater detail of the achievement matrix of Results in Annex 10

3.4.2 Outcome 2: Resilient Productive landscapes to CC buffering PAN

This Outcome is made up of four different Outputs. The first refers to the "Institutional framework for the planning and management of buffer zones". The advances found show that the analysis of risks to climate change is underway. With the technical support of CEPLAN, the development process of PDLC (04 districts and 01 provinces) and PEI (04 districts and 01 provincial) of the YESI landscape was developed, which articulates life plans and master plans in the planning of the district and province. In the context of the transfer of management, the project should promote

the socialisation of these documents with the elected authorities, and if it is feasible to obtain their approval by the municipal councils before the change of management. In the PUMA landscape, the project participates with technical contributions in the implementation of climate change strategies; At the Ucayali level, work is underway: 1. Update of the Regional Climate Change Strategy, with the participation of the 04 SERNANP leadership; 2. Contributions in the construction processes of the second phase of the DCI; 3. Mesa Redd Regional de Ucayali.

In relation to the participation of the ECA and indigenous organisations in environmental governance spaces, no evidence was identified. Rather, it has facilitated their participation in other key areas for the management of the PAN as prior consultation processes for the zoning of PAN, and to strengthen the co-management as national meetings of ECA, and working spaces with local governments. Table 9 shows the progress through its indicators.

Table 9 Output progress matrix 2.1

Indicator	Baseline	Final goal	% Advance	Achievement rating	Justification of the valuation
Level of integration of the perspective of resilience to the CC in the planning instruments articulated in the three levels of government, in the prioritized provinces	No prioritized province nor its districts in the landscapes incorporate in its planning instruments the perspective of resilience to the CC, nor is it articulated between the three levels of government.	At least 1 province of 02 prioritized regions, and 1 district in each of them, have local planning instruments that incorporate the perspective of resilience to the CC and are articulated between the three levels of government	40	S	The follow-up for the approval of the PDLCs and PEI formulated has been limited, this being a key activity in the face of the change of municipal management. There is a risk that the documents remain at the level of non-binding proposals.
Greater participation of local communities, which promote gender equity, in environmental governance in landscapes.	No RCT of the 4 RCs, nor an indigenous federation representing the CCNN in the PAs of the prioritized PANs, intervene in the spaces of environmental governance.	Each one of the RCs of the 4 CR and at least 01 indigenous federation representing the CCNN in the ZA of the 9 PAN, within the scope of the project, are involved in at least 1 space of environmental governance (municipal	0	MI	There is evidence of delay in the progress of the Output. It was not evident the approach of the Project to the indigenous organizations, to facilitate their participation in the spaces of governance that the Project invigorates.

		environmental commissions, conciliation tables of fight against poverty, etc.).			In relation to the ECAs, the time remaining for the execution of the project may be limited to accompany their intervention in spaces of environmental governance.
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Source: Project "Transforming the Management of Complexes of Protected Areas / Landscapes to Strengthen the Resilience of Ecosystems", 2018

* Greater detail of the achievement matrix of Results in Annex 10.

The second Output of "Sustainable productive systems and resilient to the CC generate benefits in the sustainable management of the land and in reducing the extractive and demographic pressure in vulnerable ecosystems", realises that the project has elaborated a strategy for the implementation of productive activities, which includes technical, administrative and financial-accounting support from the Project, ECA in the case of RC and indigenous organisations in the other PANs. This strategy should include the strengthening of these organisations with cultural relevance, and provide greater sustainability to the initiatives to be undertaken. It also must be included the gender approach in a transversal manner, and the development of the capacities of technical teams' to implement.

The grassroots organisations have been identified and in one case the technical partner, the ambits to be intervened and the economic activities that will be strengthened in each ambit are contracted. During the mission in the field, the incorporation of the climate change adaptation approach was not identified as a priority for the stakeholders involved in this intervention, except in the case of the Rainforest Alliance partner. This organisation is developing the baseline to later implement improvement plans for resilient farms. The related indicators show low progress rates, as shown in the following Table.

Table 10 Output advance matrix 2.2

Indicator	Baseline	Final goal	% Advance	Achievement rating	Justification of the valuation
Increased potential of tree-based production systems (coffee, cocoa) to cushion PANs against the direct and indirect effects of CC in the prioritized provinces surrounding these	49,914 ha of coffee and 14,500 ha of cocoa under shade in La Convención province; 7,804 ha of low coffee shadow in the province of Oxapampa.	The areas remain stable but in 10% of the area (7,222 ha: 5,771 ha of coffee and 1,450 ha of cocoa), management systems are applied that promote resilience to the CC and cushion the PAN, contributing to the sustainability of local livelihoods and gender equality, which directly benefits 18,050 poor people (of which 8,123 are women and 80% are indigenous)	10	MU	There is considerable delay and there are still no advances in the field. The experience of the technical partner is a strength to achieve the goal, however there is a risk of affecting sustainability due to the short time for implementation, and resource limitations.
Agroforestry systems in buffer zones contribute to global environmental benefits, stabilize landscapes and develop resilience to CC	20,685 ha of agroforestry systems in buffer zones, with a total of 3'092,200tC and an average soil erosion rate of 2.64t per ha per year	An additional 2,000 ha of agroforestry systems in the buffer zones generate a total net increase of carbon sinks of 176,920tC and a total net erosion reduction of 208,000t, which benefits 20,000 poor people (mostly indigenous people and 9,000 women) in 4-000 families, through greater productivity and sustainability of their productive systems	0	I	No significant advances are reported. Risk of affecting sustainability due to the short time needed to implement the strategy.

Source: Project "Transforming the Management of Complexes of Protected Areas / Landscapes to Strengthen the Resilience of Ecosystems", 2018

* Greater detail of the achievement matrix of Results in Annex 10.

In relation to Output 3 "Forest management systems resilient to CC that facilitate sustainable management and effective conservation of forest ecosystems", Table 11 reports the progress

recorded. In addition, the analysis shows that potential beneficiary organisations are being identified, and productive chains that could be strengthened (shiringa, handicrafts and copaiba oil). As in the previous Output, the project must ensure the inclusion of the climate change adaptation approach in these productive initiatives. Likewise, in the case of the Tayakome community in the PNM, the project must articulate this initiative with others implemented by local actors in Madre de Dios, such as FENAMAD.

Table 11 Output progress matrix 2.3

Indicator	Baseline	Final goal	% Advance	Achievement rating	Justification of the valuation
Community forest management promotes the protection of forests in the context of the CC, and reinforces the rights to occupy the land of local communities.	The community forestry management plans promoted by the forest protection, do not incorporate CC perspectives and resilience	Management plans for at least two products non-timber, based on community forest management that promotes forest protection, incorporates CC perspectives and resilience, and reinforces the sense of ownership / ownership of the communal forest.	5	U	It presents important delay. The technical partner (s) are not hired. The time remaining for Project execution may be limited to achieve ownership and manage resources in a community manner. Risk of affecting sustainability due to the short time needed to implement the strategy.

Source: Project "Transforming the Management of Complexes of Protected Areas / Landscapes to Strengthen the Resilience of Ecosystems", 2018

* Greater detail of the achievement matrix of Results in Annex 10.

Finally, the four Output of "Capacities to develop, transfer and apply productive systems resilience to the CC, also shows a low advance (Table 12). The reported progress shows that in partnership with local institutions in the YESI landscape, it has initiated training on coffee quality, aimed at coffee men and women. The project should address training in a pragmatic manner, articulating other actions for capacity building from other products of the project, and ensure the inclusion of climate change adaptation and resilience approaches.

Table 12 Output advance matrix 2.4

Indicator	Baseline	Final goal	% Advance	Achievement rating	Justification of the valuation
Level of incorporation of aspects related to resilience to CC and biodiversity in rural extension programs	The community forestry management plans promoted by the forest protection, do not incorporate CC perspectives and resilience	18 extension agencies throughout the intervention area incorporate aspects of CC resilience and biodiversity conservation.	5	MU	It has a delay. No significant advances are reported. The training actions carried out are punctual, and their link with the indicator is limited.

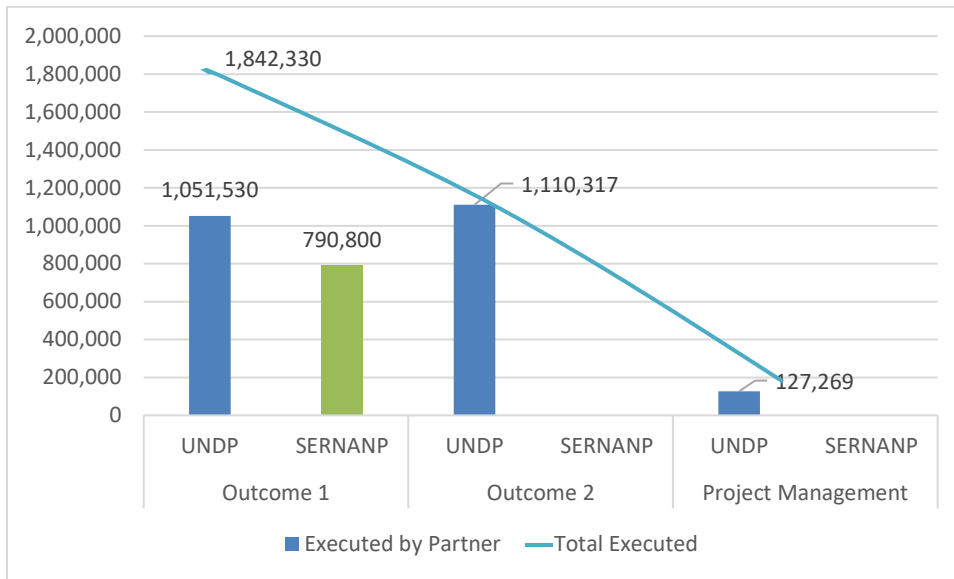
Source: Project "Transforming the Management of Complexes of Protected Areas / Landscapes to Strengthen the Resilience of Ecosystems", 2018

* Greater detail of the achievement matrix of Results in Annex 10.

3.5 Financial execution

The original budget of the Project proposed in the PRODOC ascends to USD 8.99 million for the 5 years of implementation, the resources come from the GEF. Up to June 2018 USD 3.079 million has been executed, equivalent to 34% of the total available resources. As shown in the following chart, most of the resources have been allocated to Outcome 1, to date they have executed close to USD 1.8 million, that is, 60% of the total. In the case of Outcome 2, USD 1.1 million or 36% have been executed (Graph 1).

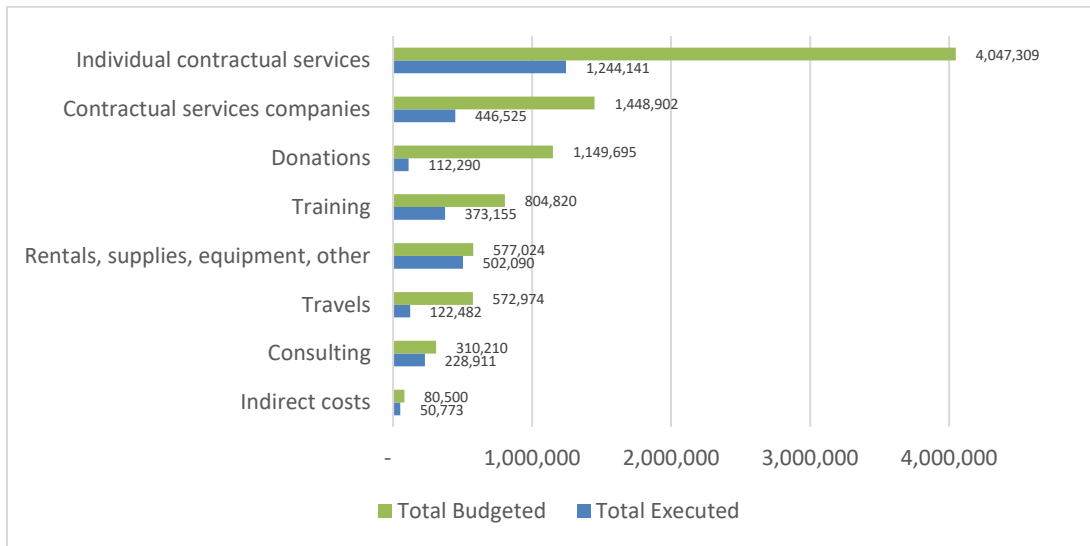
Figure 1 Budgetary Execution by Outcome



Source: UNDP Expenditure Report, 2018

In relation to budget execution by type of expenditure, Figure 2 evidenced that, at mid-term of the execution project, there are still significant gaps in execution in different expenditure categories. So far, the execution needs of the Outcomes give a result that most of the resources have been channelled to individual contractual services that refer to payments to project personnel (project coordinator, regional coordinators, field technicians, specialists, etc.). In the next level are the payments for contractual services to companies, in which it has invested about USD 446 thousand (Figure 2).

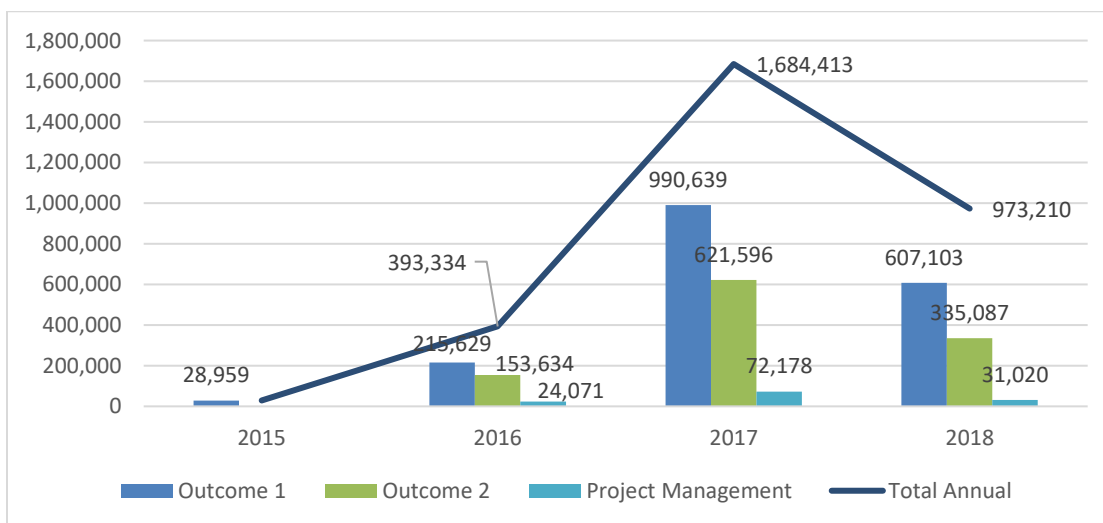
Figure 2 Budgetary Execution by Type of Expenditure



Source: UNDP Expenditure Report, 2018

The budgetary execution at the beginning of the Project (2015) was USD 28.9 thousand, that is, 0.3% of the total resources executed to date. In the following years, the execution increased. This particular in the first year is normal for the standard process that all GEF projects follow, due to the time taken for the designation of the National Directorate and the preparation phase between UNDP and SERNANP. Figure 3 shows that once the project began to consolidate, budget execution also increased, that is how in 2017 USD 1.68 million was executed.

Figure 3 Time Line of Budget Execution by Outcome

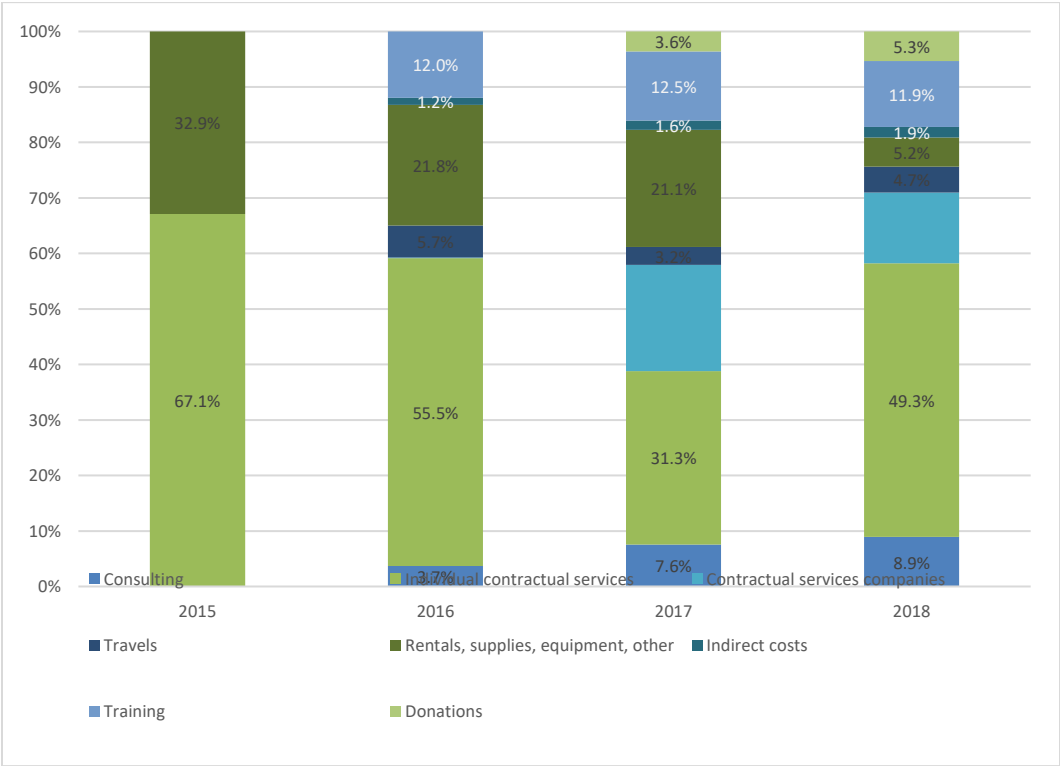


Source: UNDP Expenditure Report, 2018

The increase in the execution is related to the fact that in subsequent years more resources were allocated to contracting consultancies, contractual services with companies and training, together representing 39.2%, that is, 23% more than in 2016. This trend maintains to June 2018, 34% of the total budget executed in the year has been allocated, the aforementioned can be seen in the following Figure 4.

The values presented in the previous Figure agree with the data shown in the Financial Audit Report of the project for the years 2015, 2016 and 2017, in relation to the budget execution, this instrument allows the monitoring of the budgetary execution of UNDP. The conclusions of the report distinguish between the volume of values budgeted and executed, until December 31, 2017, the results show an audited value of USD 555,493, as an available balance, corresponding to different types of expenditure (national consultants, tickets and travel expenses, contracts for company services, among others). The Report also mentions that according to the general ledger of assets and equipment audited up to the same date, the investment in the acquisition of assets and non-expendable assets was USD 203,989, with an audited balance of USD 0.

Figure 4 Budgetary Execution by Type of Expenditure and Year

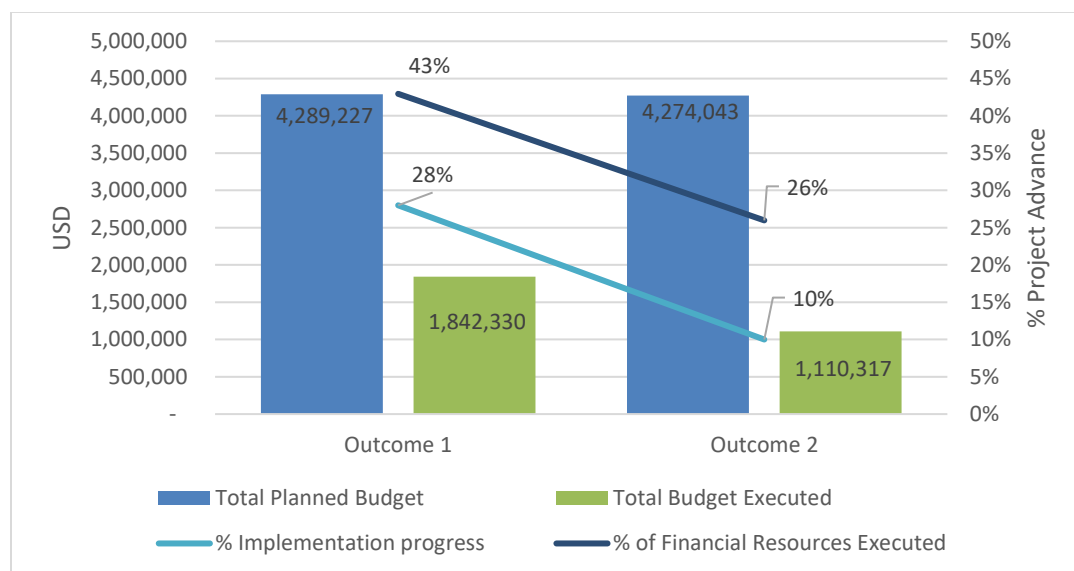


Source: UNDP Expenditure Report, 2018

3.6 Effectiveness and Efficiency

The effectiveness refers to the progress in the fulfilment of the activities planned, in relation to its percentage of progress towards the fulfilment of the different milestones and key processes. To determine the percentages of advancement by Outcome, it was made an average between the progress of the indicators that comprise them. From this perspective, a greater performance of Outcome 1 can be observed, which has a 28% fulfilment of its impact indicators. However, in terms of efficiency, which is understood as the ability to achieve the expected results with the minimum possible resources and in the shortest time possible, and assuming a linear correspondence between the budget execution and the achievement of the goals, the project presents in general terms a low performance in its two Outcomes. A clear example can be seen in the Figure, in relation to Outcome 2, it is observed that it has used 26% of the total of planned resources and only shows an advance of 10% in its implementation (Figure 5).

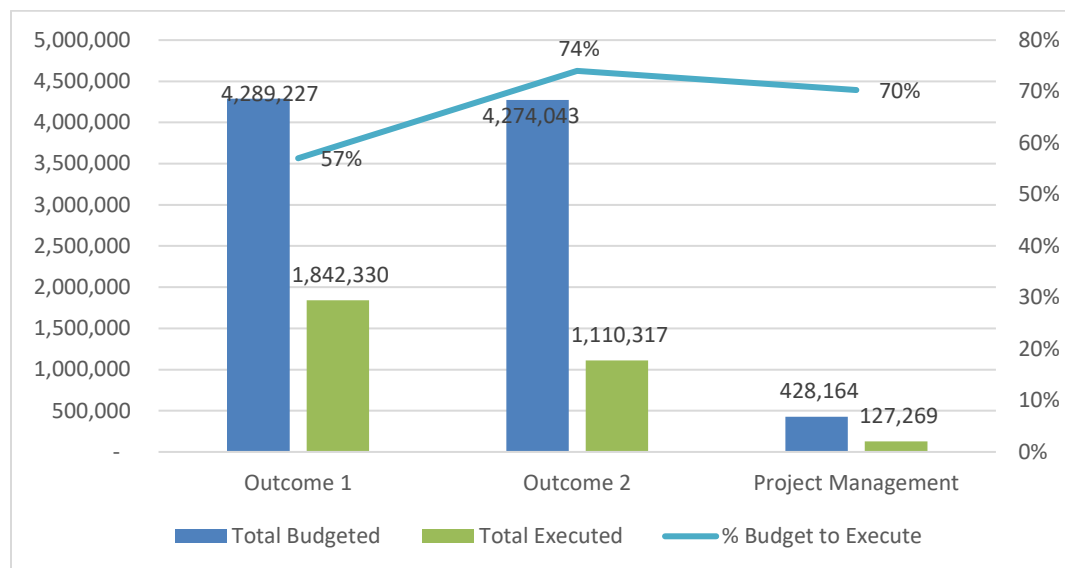
Figure 5 Budgetary Execution vs% Implementation by Outcome



Source: UNDP Expenditure Report, 2018

Since 2016, the execution of the project has been carried out in accordance with the annual plan of the POA, in 2017 the execution was 99%. Up to the end of the first semester of 2018, 34% of resources have been executed, this shows that despite the fact that during the first year the execution was low, the project found its way to improve budget execution. The project has 2 years and 10 months to make effective the remaining budget and according to the multi-year planning, it is expected to fulfil this objective. Outcome 2 shows that it has a pending execution of 74% of the total budget (Figure 6).

Figure 6 Performance Gap by Outcome



Source: UNDP Expenditure Report, 2018

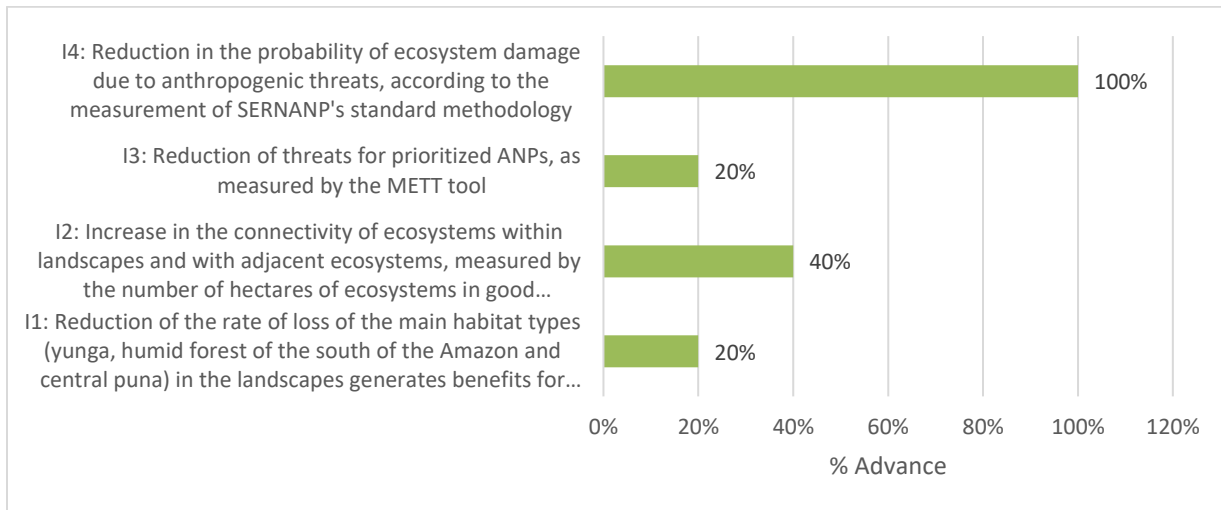
3.7 Results and Impact

In relation to the project's progress and impact indicators, it is seen that there are important advances in the achievement of each one of them. However, it is important to note that these advances do not necessarily respond to the projects' management, in some cases they could respond to interventions prior to the start of the project. There is still a need to homologate the application of these tools so that they can be methodologically comparable in the different measurement periods.

According to Figure 7, it can be seen that indicator 1 shows that 20% have been advanced in order to avoid the loss of 14,535 ha. An important and astonishing achievement through Indicator 4, shows the reduction in the probability of ecosystem involvement due to anthropogenic threats.

Considering that the project has a life expectancy of more than 2 years, it could be inferred that it is aimed at supporting SERNANP in the achievement of the goals if it is possible to advance with adequate planning. However, it is also true that the fulfilment of many of these indicators exceeds the management and the actual capacity of the project and that they are outside its sphere of influence.

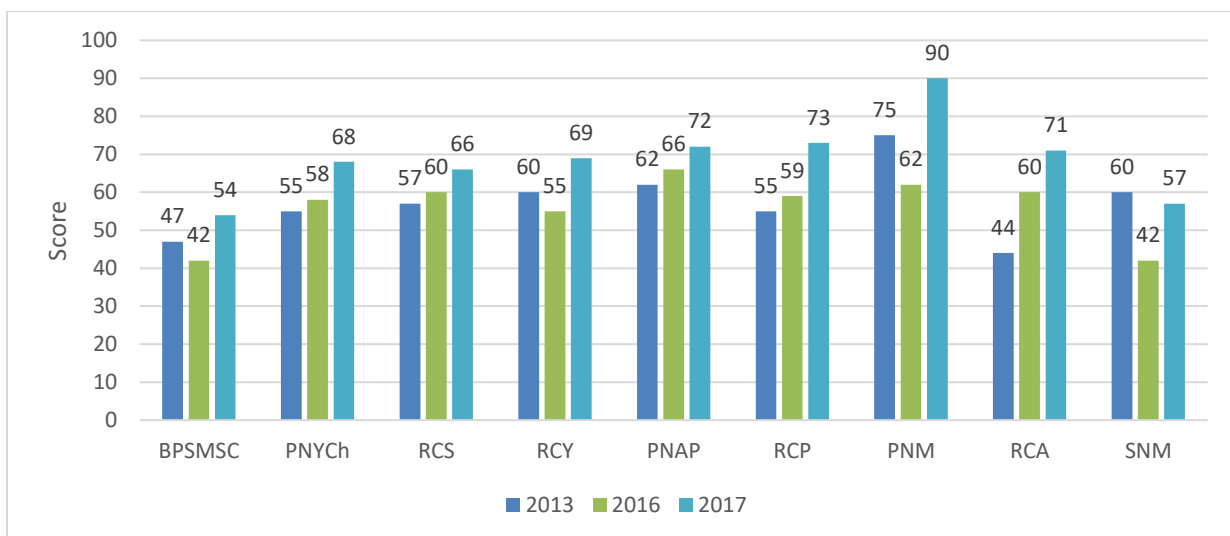
Figure 7 Level of progress in the impact indicators of the Project



Source: Project "Transforming the Management of Complexes of Protected Areas / Landscapes to Strengthen the Resilience of Ecosystems", 2018

A second analysis has been made through the project monitoring tool (METT Sheet) for the Management Effectiveness Assessments of the GEF. The record was supplemented in 2013, 2016 and has been updated in 2017. In the Figure 8 is shown that after two years of project intervention, the management capacity of the PANs has been improved, with the exception of the Megantoni National Sanctuary.

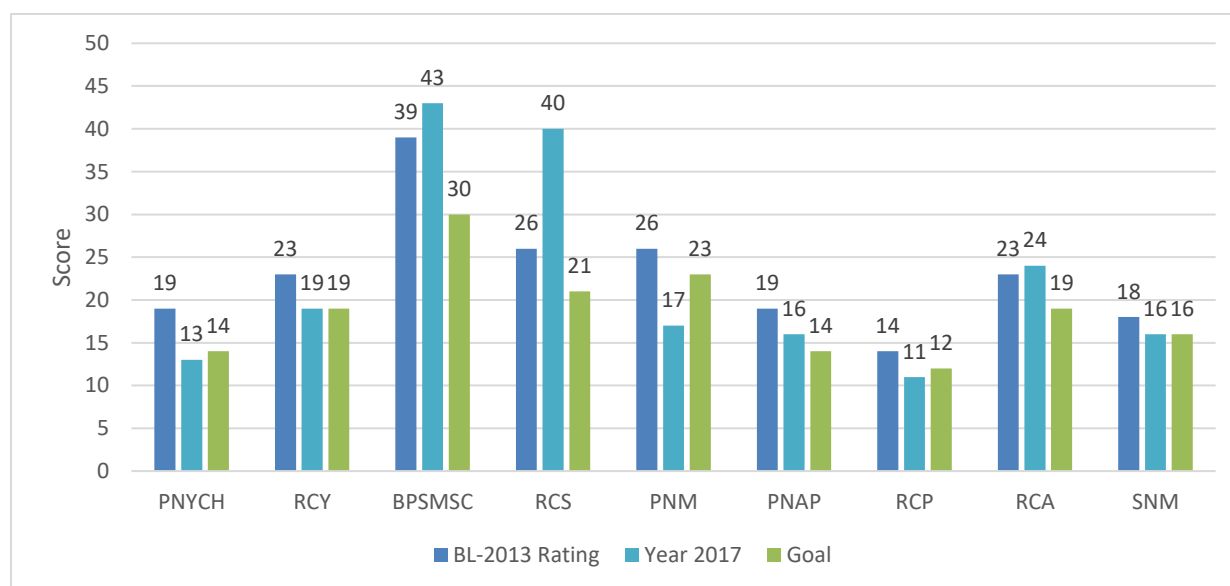
Figure 8 Variation of the scores of the METT sheet for the PAN of the Project



Source: Project "Transforming the Management of Complexes of Protected Areas / Landscapes to Strengthen the Resilience of Ecosystems", 2018

In relation to the analysis of the reduction of threats for prioritised PANs, according to the measurement of the METT tool, on average it can be evidenced that it has decreased. The baseline to 2013 gave a score of 23, while for 2017 the score was 22.1, which translates into 3.4 points more than the target set (18.7 points). According to Figure 9, it can be evidenced that, in the case of the PANs of Megantoni National Sanctuary, Purús Communal Reserve, Manu National Park, Yanasha Communal Reserve and Yanachaga Chemillé National Park have reached the goal set.

Figure 9 Reduction of threats for prioritised PANs, as measured by the METT tool



Source: Project "Transforming the Management of Complexes of Protected Areas / Landscapes to Strengthen the Resilience of Ecosystems", 2018

3.8 Monitoring and Follow-up

The project has followed the different milestones and monitoring and evaluation tools established in the PRODOC. In support of the UNDP Environment Area, the project has executed several processes such as the inception meeting, midterm evaluation, the different types of reports provided (quarterly, annual), the PIR reports and holds regular meetings with the Council Executive.

In addition, the project manages the GEF monitoring tools, which correspond to three Tracking Tool: for Biodiversity projects, Focal Area of Land Degradation and for SFM / REDD-Plus projects. In all cases, the tools have been updated in the course of this year in coordination with SERNANP. However, it is essential that clear methodological guidelines be generated so that

these tools are filled in a consistent manner that allows for comparison and that also discriminates what is the real contribution of the project in the improvement or regression of the indicators analysed.

Various stakeholders, including the same project team, confirm that in previous years there was no solid monitoring tool that allows measuring the progress in graphics or percentages, the execution of the project, and it was not until the beginning of 2018 that they defined a tool that allows showing qualitative and quantitative information on the progress of the project. Despite this, it is still necessary to work on issues of access to the information generated by the project, cases are reported in which access is still limited.

In the case of the Steering Committee, it played a more informative role than deciding and discussing the problems found in the project. Which shows that it was not necessarily a space in which accounts can be rendered and commitments assumed, that is, there was no close and timely accompaniment to solve certain inconveniences that had been causing, especially in relation to the Competent 2.

In general, one of the project's inconvenient is related to the monitoring of the project in relation to co-financing, which is not brought properly and a system or procedure for this purpose is not verified. There is no evidence that the issue of co-financing has been systematised yet. It is understandable that the registration of the different contributions is a complex issue, but it is necessary to show the contributions of the different institutions.

3.9 Comparative Advantage UNDP

The UNDP has previous experience in the implementation field, as well as in the implementation of mechanisms related to climate change and resilience, through a portfolio of projects at national and international level, as a strength to ensure the availability of adequate capacities for the implementation of the project.

UNDP is a key partner of SERNANP that enjoys credibility and can mobilise support resources from other contributors to a national and international level.

The project is articulated with:

The project "Integrated Management of Climate Change in Communal Reserves in the Amazon" in Amazonas and Madre de Dios currently managed by an extension phase, seeks to reduce vulnerability to climate change for indigenous communities in the Peruvian Amazon, increasing

its resistance through the incorporation of Community Based Adaptation (CBA) and Ecosystem-based Adaptation (EBA) strategies in the sustainable management of the RCA (Madre de Dios) and RCT (Amazonas) and of the beneficiary native communities. Within the framework of this project, micro-capital agreements were implemented to strengthen the capacities of the ECAs for co-management.

The project "Preparing the way for the full implementation of the "Transformation " phase of the Joint Declaration of Intent Peru-Norway-Germany" in Amazonas, San Martín, Ucayali, Pasco and Madre de Dios (2016 - 2018). This project supports the planning of the full implementation of the Phase of the Joint Declaration of Intent, analysis of deforestation, titling of indigenous territories, incentives for conservation, strengthening of capacities to control the change of land use and for the development of low carbon agriculture.

The Green Commodities Project (2015 - 2018) is implemented nationwide and seeks to ensure that certain commodities contribute to better livelihoods for the population, with a focus on climate change and biodiversity conservation. In Peru, it prioritised 4 deforestation drivers: coffee, cocoa, oil palm and livestock. Among other strategies, the project articulated the Peruvian National Coffee Plan and established a national technical assistance system for farmers to implement better production practices.

The Sustainable Productive Landscapes Project (2017 - 2023), whose objective is to promote sustainable production systems based on the integrated management of the landscape. It is implemented in two scales: national at the level of policies and regulations and at the level of land management in Ucayali and Huánuco. It has three Outcomes: improving the policy, planning and governance framework for the harmonised use of land and avoiding deforestation; promote incentives and financial mechanisms for sustainable production providing access to the producers to certification standards and markets, and strengthen technical capacities to rehabilitate and preserve ecosystems.

There is a long tradition of joint execution between projects under different modalities of implementation between UNDP and SERNANP, in that opportunity each institution assumes the responsibility and leadership of a Outcome. In practice, this meant a high level of commitment and interest from the part of SERNANP for the project to work, involving the participation of different levels within the institution. For example, it is mentioned that for the project team, even on different occasions, this interaction has been more effective and functional with SERNANP than with UNDP, which could be attributed to the considerable burden of projects currently handled by the UNDP portfolio.

3.10 Sustainability

There are different factors that motivate us to think that, in general terms, the interventions of Outcome 1 show high viability in terms of their ability to remain over time and be nested and collected by other institutions once the project is completed.

On the one hand, the selection of executing partners for the project 1.1, in all cases shows a clear commitment of permanence over time. A large part of the selected portfolio already had some level of progress and development prior to the intervention of the project and it has been confirmed that the commitment is maintained independently at the close of the project. The conservation agreements, which, while showing a good perspective of being achieved within the project term, will still need to be strengthened through the project's exit strategy to ensure that they are effectively implemented.

The SERNANP Master Plan is a great opportunity, possibly the most important bet in which the project must influence to ensure the sustainability of its related products to integrate aspects of CC and resilience in the management tools at the system and site level, as well as, Outputs related to capacity building. In relation to capacity building, these are linked to the strengthening plan of SERNANP, and it is reported that new training topics have been included that have been defined with the support of human resources specialists in charge. These actions suggest a real possibility of staying after the project is finished.

The Output related to capacities and raising of financial resources does not present a high prospect of staying after the completion of the project. The Heritage of Peru (PdP) initiative could be mentioned as a great opportunity to give sustainability from a systemic perspective. In the development of the initiative are involved the leader of the PdP, General Secretary (SG) of SERNANP and the alternate direction of the projects. It is important that the project take advantage of this space to clearly show its additionality and perspectives of sustainability, for which is necessary the satisfactory completion of the sub products related to i.) interinstitutional strategic financial plan for adaptation to the CC; ii.) financial plans and financial coordination mechanisms for PAN; and, iii.) advocacy instruments and capacities scientific-based to promote budget allocation for adaptation in PAN.

Outcome 2 has the Strategy for the implementation of the productive activities of the project, however, a high risk is identified regarding the sustainability of the interventions carried out, due to the pressure that the project faces to quickly execute the products that have a considerable delay. The relatively modest budgets that are available, considering the ambitious scope in terms

of time, area and number of beneficiaries, pose a risk of diluting the impact and compromising sustainability.

4 Conclusions

- In general, the project has a high pertinence and relevance in the national context; it responds to institutional priorities and policy guidelines. This is why it is important that other key institutions of the State, such as MINAM and MINCU, become more actively involved, which are important actors in order to give the project a greater strategic positioning and consequently strengthen its sustainability perspective.
- The project presents a high complexity due to its multiple simultaneous fronts and the wide territorial surface that covers, which makes it very ambitious in relation to the time and resources available to execute. It is important to be very careful with the identification of priorities, accents and interventions foresaw especially in Outcome 2, to avoid the Project dilute its impact and show an unbalanced performance in the two Outcomes.
- The project presents an innovative approach because it is a conceptual evolution of the community vulnerability approach towards a landscape resilience approach. Its internalisation and implementation in management decisions, from state and grassroots stakeholders, are learning processes that were not sufficiently foreseen from the design phase of the project. The complementarity between the knowledge and skills is relevant for the intervention to be carried out under the foreseen approaches, and to ensure processes driven by the project.
- The design of the project has received contributions from other programs and projects of the UNDP portfolio, such as the Ecosystem-based Adaptation Program (EbA). In addition, the project contributed to the design of the project proposal Sustainable Productive Landscapes (PPS) and is currently articulated as with the Green Commodities Program.
- At the beginning of the project, the team showed that there were some difficulties in the design of the project and Outcome indicators. For this reason, with the UNDP Monitoring and Evaluation technical assistance, it was decided to modify several indicators, which in certain cases included revising its baseline and the proposed goal, and in other cases a regrouping and reordering. This suggests weaknesses and inconsistencies both in the concept, which had to be revised in depth and in the delimitation of the intervention zones and the selection of priorities and intervention strategies in each site.
- The central theme of resilience, which gives its name to the project, while it has been conceptualised principles and strategies have been defined, in some cases, it is not clear

how it is operationalised from the Outcomes and their results. Likewise, resilience as a differential approach of the project remains unnoticed or in other cases as a diffuse concept for stakeholders outside of UNDP, a situation that contributes to each stakeholder awaits the priorities they identify will be accepted by the project.

- The construction of key concepts, definition of principles and strategies, should involve the different levels of project management and key actors, which will facilitate the appropriation of the project and the different approaches that it promotes. In that sense, the political profile and strategic communication have a key role that should be strengthened by UNDP and SERNANP.
- The project represents a great opportunity to strengthen the management and vision of conservation. For example, in the case of SERNANP, the project contributes to expanding the outlook of the PANs; in the case of the GORES that have started the work with the systems of regional conservation areas (ACR); ECAS that can strengthen its management in order to be replicated in other sites, etc.
- The implementation arrangements reflect an appropriate division of roles based on the nature and ambit of each Outcome. The most successful Outcome up to this evaluation has been the one led by SERNANP, about whom it is mentioned that in general terms it has a faster response capacity to serve the project team than UNDP. Although at the beginning it rotated between different areas of SENRNAP, the National Project Direction has given rhythm and leadership to the project.
- Gender and intercultural approaches can enhance the success of the processes among the stakeholders, facilitating their sustainability, while at the same time facilitating an adequate relationship and keeping communication channels open. The learning towards the intercultural dialogue is of multiple routes, from the different towns, the institutions that represent them, the institutions of the State and the institutions of the project (SERNANP, UNDP).
- Up to June 2018, the project has executed USD 3,079 million, equivalent to 34% of the total resources available, most of the resources have been allocated to Outcome 1. Outcome 2 has executed 26% of its total budget and shows an advance of 10% in the implementation of their goals, while Outcome 1, with 43% of budget execution reaches 28% in the achievement of their goals.
- Considering that the project has a lifetime of more than 2 years, it could be inferred that it is aimed at supporting SERNANP in the achievement of the goals if it is possible to move forward with adequate planning. However, it is also true that the fulfilment of many of these

indicators depends on the good performance and management of SERNANP both in the central plant and in the territory, as well as, other external factors such as threats to the integrity of the NPA, which do not depend exclusively of the capacity of the project.

- The project manages all the monitoring and tracking tools of the GEF, its management has been adaptive and has shown an ascending performance, until reaching to the beginning of 2018 a tool that allows qualitative and quantitative information on the progress of the project. Despite this, it is still necessary to work on matters that are detailed in the recommendations, especially on the filling of the Tracking Tool and the registration of co-financing. However, the Technical Committee of the project has not been established, which is foreseen in the PRODOC.
- The appropriation of the project is relatively low, the project is much more identified with the UNDP than with the SERNANP, a fact that is more evident at the head office level but is also shared by stakeholders at the central level in Lima. The document includes, in section 3.2, at least five reasons that may explain this perception and some related recommendations.
- The start of the project execution took longer than estimated, given that the project team invested a considerable amount of time in updating and adjusting the original planning expressed in the PRODOC. Other delays that affected the project were caused by the designation of the National Direction in SERNANP, and in the hiring of the National Coordinator, as well as the designation and recruitment, this last process took 6 months because the first contest was declared unfulfilled.
- The Outcomes advance separately, with little correlation between the progress and achievements of the activities and sub-products of each Outcome. For this reason, it is evident that they do not take advantage of opportunities for mutual benefit. Although this could be seen as an inconvenience, it also opens the opportunity to correct and take better advantage of the installed capacities with a less restrictive division of tasks and functions per Outcome.
- There is a weakness in relation to the participation of the head offices in the development of the different products of the contracted consultancies. Likewise, the information that is generated through these spaces are not shared, or it is in a superficial manner with key stakeholders such as the GORE, ECA, heads of NPA. The latter has a particular interest in learning about these important inputs and are key partners in the implementation and sustainability of the products developed.

- The project has a lot to communicate and paradoxically shows a discrete performance in terms of its capacity to deploy better communication responses. For example, it has been shown that in the election process, the main matters managed by the project, such as regional conservation areas, connectivity or resilience, were not placed on the candidates' agenda.
- A risk is anticipated in relation to Outcome 1 as of the change of authorities, due to the possibility that the key personnel who have accompanied and lead the monitoring of the products and tools developed in the regions do not remain in their positions. This would force to strengthen the management of the project at the political level and to work again in the training of the technicians of the counterparts.
- Regarding the first Output, the project identified 10 local initiatives for the creation of biodiversity and agrobiodiversity conservation areas in priority zones that in total involve 284,065 ha, under different legal frameworks and mechanisms, between ACR, ACP, CC, in some innovative cases in the national context such as the recognition of agrobiodiversity zones in Cusco. The processes of recognition of conservation areas under the leadership of SERNANP, are at different levels of progress and possibilities to materialise during the time of execution of the project, so it is convenient to prop up from a political role of UNDP and the project to those with greater viability, accompanied by a communication strategy for the incidence in political decision makers.
- With regard to Output 1.2, the project has contributed to the conceptualisation of conservation agreements, and the definition of a proposal for guidelines to be implemented at the SINANPE level. It is necessary to conclude this process with the appropriate level of socialisation, in order to formalise the existing proposals and move towards their implementation.
- Regarding Output 1.3, the project has made progress in incorporating climate change and resilience approaches into two master plans (PNAP, RCP) and another in (PNM) process. Also, 3 prior consultation processes for approval of the zoning (RCA, RCY, RCE) were made. The result of this Output has yet to be seen in terms of its applicability and appropriation by NPA managers, which is why it is essential to work on articulation with other Outputs of this Outcome such as Output 1.4.
- In relation to Output 1.4, the project accompanied and promoted different strategies aimed at strengthening capacities for the management of conservation areas. During these processes, knowledge was strengthened and capacities for planning, participative and inclusive management were exercised, the treatment of threats, both by state managers

and the related population. There is still a way to go in relation to the strengthening of the capacities of the management committees and fundamentally in strengthening the main approaches of adaptation to climate change and landscape resilience.

- Outputs 1.4 and 1.5 are the ones that present the least advance within this Outcome 1. On the one hand, regarding the "Monitoring mechanisms established to measure the increase of resilience in landscapes", SERNANP has established an ad hoc group to build the indicators to which the project feeds technically. As for the "Financial mechanisms established to increase resilience in landscapes", the updating of financial gaps has been supported with the leadership of 9 NPA (RCP, PNAP, RCE) and 3 ECAs, SERNANP has been supported in the elaboration of project concept notes and opportunities such as the MERESE have been identified in the case of the Ausangate ACR proposal, and the formulation of productive projects for ACP.
- Output 2.1 refers to the "Institutional framework for the planning and management of buffer zones". The advances recorded include the analysis of risks to climate change, the preparation of PDLC and PEI of the YESI landscape, which articulates life plans and master plans in the planning of the district and province. In the PUMA landscape, the Project participates with technical contributions in the implementation of climate change strategies.
- Outputs 2.2 and 2.3 are angular within the design of the project and show a considerable delay in their implementation. At the moment, both sustainable production systems and forest management systems have an implementation strategy, grassroots organisations have been identified and in one case the technical partner who will be responsible for the execution in the territory, is hired. Finally, Output 2.4 closely related to the implementation of Outputs 2.2 and 2.3 also shows discrete progress in its implementation.
- The working matrix for monitoring the financing and co-financing matter has been updated on the proposal in the PRODOC, it is evident that various stakeholders, in both cases, intervene and invest in the project in the same ambit and with common or complementary topics. In general, the commitment of co-financing is to support the achievement of results and complementarity of the project and also contributes to its sustainability, in this sense, it is evident that commitments have also been updated, however, a more structured effort can still be made in relation to the definition of strategic partners for the development and sustainability of the Outputs and Outcomes of the project.
- It is evident that part of the professionals who provide technical assistance for the ECAs, in terms of micro-financing, has previously worked in the Peruvian Amazon; however, this does not mean that they are specialised in capacity building in an intercultural

context. There is a need to strengthen their capacities and provide them with management tools to improve their relationship with the beneficiaries and the effectiveness of their intervention.

- In general, the impact indicators of the project show important advances, although it would be ideal to establish the extent to which the advances respond directly to the intervention of the project. Such is the case of the reducing indicator of the ecosystem damage probability due to anthropogenic threats, which has reached a score of 100%. The goal linked to the increase in connectivity is at 40% compliance, while the reduction of threats and the habitat loss rate maintain a 20% performance.
- The contribution of the project has been verified through the METT tool, applied to the nine NPAs, since 2013 (baseline) 8 of the 9 protected areas have shown better performance in relation to their management. In relation to the reduction of threats from the nine NPAs, the project has contributed to the fact that in 5 protected areas the indicator not only meets its goal but also falls even further than anticipated. Although there are some issues in which management has been maintained, it is evident that most of the aspects evaluated by the METT record show improvement in management, although clearly these results cannot be attributed exclusively to the management of the project.
- The project has promoted processes that have allowed to improve knowledge and exercise the capacities of regional, local governments, ECA, NPA leadership, local population in the management of the territory, control and surveillance, prior consultation, among other aspects, still diffuse the concepts of adaptation to climate change and resilience, and therefore its application in management decisions.
- The articulation with ongoing initiatives is a good strategy implemented by the project, which will contribute to the achievement of indicators and may influence the sustainability of the results. On the other hand, the selection of executing partners for Output 1.1, in all cases shows a clear commitment to permanence over time.

5 Recommendations

General recommendations	Responsible
It is recommended to raise the political profile of the project, especially with the regions that have new authorities, as well as with MINAM and MINCU, important actors to give a greater strategic positioning to the project and strengthen its perspective of sustainability. It is essential to complement the technical assistance with the political intervention in the territory through a	UNDP Project Team SERNANP MINAM MINCU

greater presence and direct involvement of the Coordinator, with the support and accompaniment of the authorities of SERNANP and UNDP.	
It is recommended to contact the new authorities elected in regions who will approve or inherit the plans or processes that have been developed. It is important to confirm and ratify the commitments regarding the execution of the different activities related to the project, this process must be led by the project team and SERNANP and supported by UNDP.	UNDP Project Team SERNANP
Within project management, a greater collaboration of the whole team could be sought to strengthen Outcome 2. There are spaces for opportunities of mutual benefit, as well as talents and skills in the team that can be complementary, and that should not necessarily be categorically divided between Outcomes, on the contrary, this condition would allow work on cross-cutting issues that allow adding value from existing multiple competencies.	Project Team
It is important to seek better articulation and closeness with CONPAN and AIDSESEP to improve coordination and keep these organisations informed about the interventions and activities planned with their bases. It is recommended to promote a more active linkage of these actors in the different fronts of the project and maintain open channels of information, and coordination in all interventions in the territory.	Project Team
The project has a lot of information to communicate, it is important to use communication as a strategic tool to achieve results. This condition must be reflected in an internal work document that serves as a Communication Plan until the end of the remaining period of execution.	Project Team
It is recommended that the project actively promotes spaces for the internal socialisation of strategies implemented by partner institutions in the execution of Outcomes 1 and 2. For example, these spaces can occur in relation to strategic communication for political advocacy (ACCA), incorporation of climate approaches in productive initiatives (RA), management of micro capitals by grassroots organisations (UNDP), interculturality (IBC, AIDSESEP, CONAP), strengthening of conservation areas oriented towards financial sustainability (ACCA), adaptation to climate change (UNDP).	Project Team UNDP
It is recommended to strengthen the exchange of experiences between implementing partners and beneficiary organisations, for example, these may be related to the creation of new conservation areas, the execution of micro capital agreements (ECA), economic empowerment with gender equality (ECOPURUS, Mabu Hiwe), among others. These spaces would stimulate learning and would facilitate the systematisation of processes and their sustainability.	Project Team

<p>It is fundamental to strengthen the common understanding of the conceptual approach of the project in relation to the resilience of the landscape so that it is shared and understood by all participating institutions equally. It is recommended to build it jointly between SERNANP, MINAM, ECAS and Management Committees, through an inclusive methodology of the actors in Lima and regions that favours the appropriation and sustainability of the project.</p>	<p>Project Team SERNANP</p>
<p>It is necessary to standardise and validate the application of the METT sheet and other Tracking Tools of the project so that they keep methodological forcefulness. The project should improve the technical support for the application of the tool, aimed at reducing subjectivity and obtaining consistent information.</p>	<p>Project Team SERNANP</p>
<p>It is important to evaluate the external factors that are beyond the scope of the project team and the impact on compliance with the impact indicators. It is recommended that the monitoring tools record what the specific contribution of the project to the performance registered in each indicator has been, considering that there are other projects and initiatives whose synergistic and cumulative effects also support the achievement of the goals.</p>	<p>Project Team SERNANP</p>
<p>It is recommended to look for a more balanced relationship with the different stakeholders, particularly those with whom the project has almost no relationship, such as the Regional Government of Madre de Dios. In all cases, the project must consider a proactive approach in presenting the project to the new authorities and positioning the major issues of the project in those who are about to assume their new positions.</p>	<p>Project Team SERNANP UNDP</p>
<p>It is necessary to work more in leveraging resources and have more detailed and strategic management regarding the tracking and monitoring of co-financing, this at a methodological level. At the same time, a mapping of opportunities can be developed to seek financing with other stakeholders for resilience issues at the landscape level.</p>	<p>Project Team SERNANP UNDP</p>
<p>The Steering Committee must strengthen its role, and become a space for decision and strategic accompaniment to the execution of the project. Likewise, the role of SERNANP in promoting a greater level of involvement and participation of the different institutions that make it up is important, in order to include the project in their work agendas.</p>	<p>Project Team SERNANP UNDP</p>
<p>At this stage of the implementation, it is not considered necessary to put together the Technical Committee of the project. On the one hand, there is a risk of redundancy considering that AIDSESEP and CONAP already participate in the Steering Committee. On the other hand, the project could lose some operability. However, it is recommended that the team maintain spaces for dialogue and constant communication with the GORE in order to receive their comments and technical contributions.</p>	<p>Project Team</p>

It is recommended to implement strategies to increase the ownership of the project such as lowering the profile to the corporate image of the project and upload the profile of SERNANP, change the physical location of the team and the domains of the email to SERNANP, include SERNANP in the relationship and execution of activities with implementation partners	Project Team SERNANP UNDP
For future projects, the definition of the implementation arrangements should consider the current project load of the implementation agency and its ability to simultaneously address a wide and complex portfolio.	UNDP
It is recommended that the project accompanies the participation of indigenous federations and ECA in the spaces of polycentric governance promoted by the project, and contribute to clarifying the role of each one.	Project Team
It is recommended to develop or strengthen the capacities of the project team at Lima and head offices level, to incorporate a gender and intercultural approach. Likewise, identify one or two people in the project, who support in the follow-up of the application of these approaches, in a coordinated manner with the gender and interculturality specialist of the UNDP Amazon Program.	Project Team UNDP

Recommendations Outcome 1	
The portfolio of new conservation areas exceeds the goal; at this point, priority must be given only to those opportunities that offer a high or very high probability of being finalised within the project deadlines. It is recommended to open up the portfolio and optimise the use of existing resources.	Project Team SERNANP
It is necessary to actively promote the institutional participation of SERNANP in the articulation with the implementation partners of the project to demonstrate the work on the creation of new conservation areas, NPA, connectivity, extension, etc.	Project Team SERNANP
Strengthen the Conservation Systems of Regional Conservation with key actions, especially in the areas where conservation areas will be created, as part of the regional institutional framework for territorial management.	Project Team
It is recommended that SERNANP invigorate the process for approval of the guidelines with the appropriate level of socialisation and capacity building, in order to formalise the existing proposals and move towards their implementation.	SERNANP
Balance the approach of the project in the two areas of intervention, with the leadership ECA and CG, in order to identify opportunities for the	Project Team

Conservation Agreements and strengthen the participation of the communities.	
The SERNANP Master Plan is a great opportunity, possibly the most important bet in which the project must influence to ensure the sustainability of its related products to integrate aspects of CC and resilience in the management tools at the system and site level, as well as products related to capacity building.	Project Team SERNANP
The project must identify the basic capacities required by the key actors to internalise and operationalise these resilience and adaptation approaches to climate change in the management of the territory and conservation areas, and complement the strategies deployed with other actions articulated to a strategy of capacity building, planned in conjunction with the stakeholders. This includes processes of collective construction of concepts such as resilience and adaptation of landscapes, strategy to strengthen the management committees in each case; and the validation and socialisation of technical studies completed.	Project Team SERNANP UNDP
Develop a strategy and a plan for capacity building from a broad and comprehensive perspective, which reflects all the key concepts and issues proposed by the project in a tool suitable for different audiences, profiles and roles of each actor. The support of a specialised profile in institutional capacity building is recommended, which can support the team in identifying audiences, capacity gaps and developing the most appropriate strategies for each audience.	Project Team SERNANP UNDP
Continue supporting processes within SERNANP such as the approval of guidelines for conservation agreements, and position key approaches such as resilience, climate change, connectivity, in the monitoring system and in future processes such as updating the Master Plan.	Project Team SERNANP
It is recommended that SERNANP streamline the operation of the monitoring group, for the identification of variables to measure resilience and its subsequent incorporation into the SINANPE monitoring system.	SERNANP
It is evident that on the progress of the project, the corresponding adjustments were made to various indicators, the one corresponding to 1.6 did not suffer any variation, however, according to this evaluation it is suggested to adjust the scope of the indicator 1.6 so that, instead of proposing financial mechanisms established, adjusting to financial mechanisms in the implemented process. Likewise, instead of a collection goal of USD 5.4 million, it should mention a goal of committed or directed resources.	Project Team UNDP SERNANP
Among the strategies to achieve the goal of USD 5.4 million should include the concretion of co-financing commitments and complementary	Project Team UNDP SERNANP

contributions from national and international sources for the sustainability of the project.

Recommendations Outcome 2

<p>The project has promoted relevant participatory processes for territorial management through the formulation of the PDLC and PEI in the province of Oxapampa. The socialisation of these documents with the elected authorities should be encouraged, and if it is feasible to obtain their approval by the municipal councils before the change of management.</p>	<p>Project Team</p>
<p>Incorporate climate change and resilience approaches into actions that are planned to strengthen existing conservation areas, formulate or update management instruments, and ensure that the intervention of technical partners incorporates these approaches.</p>	<p>Project Team SERNANP</p>
<p>It is recommended to take advantage of the fact that there is a Conceptual Model of Climate-Smart Practices for Coffee and Cocoa. The fact of having a strategic principle that makes it possible to differentiate the activities carried out within the framework of the project, become key points when evidencing the topics of climate change and resilience.</p>	<p>Project Team SERNANP</p>
<p>It is recommended to make more flexible, the selection of productive activities so that not only coffee and cacao are prioritised in the identified zones. There is a large number of products that have been identified by the NPA heads and that would be more compatible with the concept of resilience.</p>	<p>Project Team</p>
<p>To have strategic principles and guidelines that make it possible to differentiate the activities carried out within the framework of the project, from those that are traditional support to the producer, evidencing issues of climate change and resilience. Specifically, it is recommended that the technical partners for the implementation of strategies 2.2 and 2.3 support the internalisation of these approaches, with indigenous and grassroots organisations that are articulated.</p>	<p>Project Team SERNANP</p>
<p>It is recommended that future partners for strategies 2.2. and 2.3 consider in their work methodology the criteria on climate change considered by the Rainforest Alliance within the framework of the contract with the project, also incorporating the methodology for surveying the baseline.</p>	<p>Project Team</p>
<p>The project strategy for the productive activities of Outcome 2 should include organisational strengthening with cultural relevance and gender focus.</p>	<p>Project Team</p>

<p>It is recommended to better prepare teams to provide technical assistance in relation to financial and administrative management, in order to have a more careful approach with intercultural aspects at the time of access to indigenous organisations. Two aspects are particularly relevant, the first relates to the skills, tools and knowledge to transfer skills in grassroots organisations. The second is related to transferring skills and action protocols to work with indigenous organisations.</p>	<p>Project Team SERNANP</p>
<p>In indicator 2.2, it is important to review the inclusion of other biodiversity products as part of local production systems, with the potential to buffer NPAs against the direct and indirect effects of CC.</p> <p>In relation to the goal, it is important to review a decrease in the number of hectares and the number of beneficiaries for resilient production systems, in order to improve the impact and sustainability of the intervention.</p>	<p>Project Team SERNANP</p>
<p>Search alliances for co-financing and sustainability of productive activities, for which it is necessary to carry out a more political work from the territory, showing a greater presence in the head offices and looking for alternatives for the exit strategy of the project. Therefore, it is important to take advantage of one of the financial sustainability activities proposed in the project (Strategy 1.6), specifically designed to raise funds.</p>	<p>Project Team SERNANP UNDP</p>
<p>It is fundamental that the consulting products that are generated in the project, in relation to the NPA, be shared and socialised to the users and institutions, who will be the main users of the information.</p>	<p>Project Team SERNANP</p>
<p>Improve the linkage of the project intervention with other opportunities that are being implemented, such as Phase 2 of EbA, the PPS and other interventions of the UNDP portfolio. This proposal is made under the consideration that the aforementioned projects are in an implementation phase and fit appropriately with the activities of Outcome 2.</p>	<p>Project Team SERNANP UNDP</p>
<p>Promote the participation of the ECAs and indigenous organisations in spaces of environmental governance, in an articulated manner to the strategy of capacity building.</p>	<p>Project Team SERNANP</p>

6 Annex

Annex 1: Terms of Reference

PAÍS: Perú

DESCRIPCIÓN DEL SERVICIO: UNDP/IC-230/2018 - Consultor/a Líder para la Revisión de Medio Término

NOMBRE DEL PROYECTO: Transformando la Gestión de Complejos de Áreas Protegidas/Paisajes para Fortalecer la Resiliencia de Ecosistemas

PERÍODO DE LOS SERVICIOS: 82 días calendario

El Programa de Naciones Unidas para el Desarrollo (UNDP) requiere los servicios de una persona para realizar el trabajo descrito arriba.

La propuesta deberá remitirse en idioma español, haciendo referencia al proceso **No. UNDP/IC230/2018** y debe hacerse llegar al **correo electrónico abajo descrito** a más tardar el **15 de julio de 2018 hasta las 23:59 horas**. No se recibirán propuestas que se presenten posteriormente a la fecha y hora indicada.

UNDP/IC-230/2018 ATENCION: Unidad de Adquisiciones Dirección de correo electrónico:

adquisiciones.pe@undp.org

Cualquier solicitud de aclaración deberá enviarse a más tardar el día **09 de julio de 2018**. La solicitud de aclaración deberá enviarse por escrito al Programa de las Naciones Unidas para el Desarrollo (UNDP), Av. Pérez Aranibar 750, Magdalena o a la dirección de correo electrónico arriba indicado. Se responderá por vía electrónica y se enviará copia escrita de la respuesta, incluyendo una explicación de la consulta sin identificar la fuente, a todos los consultores, a más tardar el **11 de julio de 2018**.

Los procedimientos para adquisición de los servicios objeto de este llamado serán los del Programa de las Naciones Unidas para el Desarrollo.

Este proceso está dirigido a personas naturales. Cualquier oferta recibida de una persona jurídica, será rechazada. En el marco de la igualdad de género, el UNDP alienta a hombres y mujeres a presentar aplicación para este proceso.

En el caso de que decida no presentar una oferta, le agradeceríamos que nos informe y preferiblemente indique las razones de su declinación.

1. ANTECEDENTES, OBJETIVOS, ALCANCE, RESPONSABILIDADES Y DESCRIPCION DEL TRABAJO INTELLECTUAL REQUERIDO, EXPERIENCIA Y REQUERIMIENTOS:

Favor referirse al Anexo I – Términos de Referencia

2. DOCUMENTOS A SER INCLUIDOS EN SU PROPUESTA

2.1 Carta confirmando su interés, debidamente firmada: según el formato adjunto en el Anexo 2.

2.2 Hoja de Vida, incluyendo al menos 3 referencias comprobables: El CV deberá contener toda la **información** necesaria para asegurar su cumplimiento con la educación/experiencia requeridas. **Si las referencias resultaran ser no favorables, la oferta del consultor será rechazada.**

2.3 Propuesta Técnica: El/la Consultor/a presentará una propuesta de Metodología y Plan de Trabajo como parte de su oferta técnica según formato adjunto como Anexo 3.

3. PROPUESTA FINANCIERA

La propuesta financiera debe indicar el precio fijo requerido por la totalidad de la consultoría. La suma

alzada debe ser “todo incluido” (i.e. honorarios profesionales, costos de viaje, costos de movilización, impuestos, seguros, transporte, comunicaciones, varios, etc.) y deberá ser respaldada con el desglose de

costos correspondientes. El precio será fijo indistintamente de los cambios que puedan existir en los componentes de los costos y deberá ajustarse al formato adjunto en el Anexo 2.

Lo moneda de la propuesta será: **Nuevos Soles**

4. EVALUACION

Las propuestas de los candidatos serán evaluadas de la siguiente forma (Ver ANEXO 4 para mayor detalle):

Análisis acumulativo. Se adjudicará el contrato a aquella persona que obtenga la mejor combinación técnico-económica. Donde la oferta técnica equivale al 70% y la económica el 30% de la calificación total.

Se consideran susceptible de análisis económico solamente aquellas propuestas que obtengan 70 de los 100 puntos disponibles en la fase técnica.

Luego de la adjudicación del contrato, la persona adjudicada deberá presentar:

- Formulario P-11 (Si aplica)
- Formulario para la creación de Vendor (Proveedor) en el sistema Corporativo, copia de la identificación personal y del beneficiario(a), copia del documento bancario de primera mano a donde serán realizados los pagos (Si aplica)
- Los Consultores/Contratistas Individuales de más de 62 años de edad cuyas asignaciones involucren viajar, se someterán a un examen médico completo por su cuenta y cargo que incluya exámenes de rayos-x y obtendrán autorización médica de algún especialista antes de asumir las funciones estipuladas en su contrato.

ANEXOS

ANEXO 1- TERMINOS DE REFERENCIA

ANEXO 2- CARTA DEL OFERENTE

ANEXO 3- FORMULARIO DE LA OFERTA TÉCNICA

ANEXO 4 – FORMULARIOS DE EVALUACION

ANEXO 5 - MODELO DE CONTRATO Y TERMINOS Y CONDICIONES GENERALES DE LA CONTRATACION

ANEXO I - TÉRMINOS DE REFERENCIA

1. Introducción

Estos son los Términos de Referencia (ToR) de la Revisión de Medio Término (MTR por sus siglas en inglés) del UNDP-GEF para el proyecto denominado Transformando la gestión de complejos de áreas protegidas/paisajes para fortalecer la resiliencia de ecosistemas (Nº00090480), implementado a través de UNDP en el periodo 2015-2021. El proyecto se inició el 20 de abril de 2015 y actualmente se encuentra en su tercer año de ejecución. En consonancia con la Guía para MTR de UNDP-GEF, este proceso de revisión de mitad de periodo dio comienzo antes de la presentación del Tercer Informe de Ejecución del Proyecto (PIR). En los presentes ToR se fijan las expectativas para el actual MTR. El proceso del MTR debe seguir las directrices marcadas en el documento Guía para la Realización del Examen de Mitad de Periodo en Proyectos Apoyados por el UNDP y Financiados por el GEF (<http://web.undp.org/evaluation/guidance.shtml#gef>).

2. Antecedentes e información del proyecto

El proyecto busca fortalecer la resiliencia de los ecosistemas vulnerables ante los impactos del cambio climático y otros, en dos paisajes con áreas naturales protegidas por el Estado (NPA), Reservas de Biósfera, otras áreas de conservación y zonas con diferentes usos productivos; a fin de asegurar los servicios ecosistémicos y los procesos ecológicos que los sustentan para bienestar de la sociedad.

Bajo un enfoque paisajístico, que aborda las implicancias del cambio climático; el proyecto consta de dos componentes complementarios, uno relacionado a la expansión y fortalecimiento de áreas de conservación en paisajes particularmente sensibles al cambio climático, y el otro promueve la gestión sostenible de la tierra en los paisajes; a fin de reducir las presiones antrópicas sobre los ecosistemas y hacerlos más resilientes a los impactos directos e indirectos del cambio climático.

El proyecto se centra en dos paisajes naturales, que comprenden 09 áreas naturales protegidas de diferentes categorías, sus zonas de amortiguamiento y otras áreas de conservación y de usos productivos, sumando una superficie de 16'973,976ha.

Los beneficiarios directos e indirectos son instituciones públicas y privadas vinculadas a la gestión de las áreas de conservación a nivel nacional, regional y local; y población local, rural e indígena, conformada

por un total de 305,545 personas en las 17 provincias y 54 distritos de las seis regiones priorizadas⁹. En dichos paisajes se ubican un total de 19 pueblos indígenas, de los cuales cinco se encuentran asentados en el paisaje Yanachaga – El Sira (YESI), y 17 en Purús – Manu (PUMA).

Los componentes del proyecto son:

Componente 1.- Mayor resiliencia al cambio climático en PAN de fundamental importancia. Las actividades de este componente se orientan a conservar la biodiversidad, hábitats en PAN y otras áreas de conservación existentes, generando información sobre servicios ecosistémicos, mejorando la gestión de las PAN y otras áreas de conservación y contribuir a la creación de nuevas áreas que aseguren la conectividad ecosistémica.

Asimismo, productos esperados de este resultado son:

1.1 Ampliación del área protegida

1.2 Acuerdos de conservación con las comunidades locales para apoyar la conservación y gestión de áreas clave del hábitat

1.3 Fortalecimiento de los instrumentos de gestión de PAN para abordar las amenazas inducidas por el CC y las presiones que afectarán la resiliencia

1.4 Capacidades fortalecidas para la gestión de PAN en el contexto de adaptación al CC

1.5 Mecanismos de monitoreo

1.6 Marco de financiamiento

Componente 2.- Paisajes productivos resilientes al cambio climático amortiguan a las PAN. Este resultado se enfocará en incluir estrategias para aumentar la resiliencia en la planificación a diferentes niveles de gobiernos, áreas de conservación y reservas territoriales e indígenas, promoción de prácticas resilientes en sistemas productivos, principalmente café y cacao, así como desarrollar capacidades para transferir y aplicar sistemas productivos resilientes al cambio climático.

⁹ Ucayali, Madre de Dios, Huánuco, Pasco, Junín, Cusco

En ese sentido, los productos esperados son:

2.1 Marco institucional para la planificación y gestión de zonas de amortiguamiento

2.2 Sistemas productivos sostenibles y resilientes al CC generan beneficios en la gestión sostenible de la tierra y/o en reducir la presión extractiva y demográfica en ecosistemas vulnerables

2.3 Sistemas de gestión forestal resilientes al CC que facilitan la gestión sostenible y la conservación efectiva de los ecosistemas forestales

2.4 Capacidades para desarrollar, transferir y aplicar sistemas productivos resilientes al CC

El proyecto contribuirá al efecto directo 1 del UNDAF¹⁰: Al 2021, las personas que viven en situación de vulnerabilidad, pobreza y discriminación, mejoran su acceso a medios de vida y empleo productivo y trabajo decente, a través de vías de desarrollo sostenible que fortalecen el capital social y natural, integrando una adecuada gestión de los riesgos; así como al Resultado 1 del Programa País UNDP¹¹: crecimiento y desarrollo inclusivos y sostenibles.

El proyecto cuenta con un presupuesto de \$8'991,434, financiado con recursos del Fondo para el Medio Ambiente Mundial (GEF-5). En ese sentido, los resultados esperados GEF aplicables son:

BD-1 Resultado 1.1: Mayor efectividad en la gestión de PAN actuales y nuevas

DT-3 Resultado 3.1: Mejor entorno facilitador entre los sectores para la gestión integral del paisaje GFS-

REDD-1 Resultados 1.3: Buenas prácticas de gestión adoptadas por los por los actores económicos relevantes

En cuanto a los arreglos institucionales, el proyecto se implementa en la modalidad de Ejecución Nacional, siendo el socio ejecutor el Servicio Nacional de las Áreas Naturales Protegidas por el Estado (SERNANP) y la agencia implementadora el Programa de las Naciones Unidas para el Desarrollo (UNDP) a cargo de la administración financiera y de obtener los resultados esperados del proyecto.

El Documento de Proyecto se encuentra en el siguiente link:

¹⁰ Marco de Cooperación de las Naciones Unidas para el Desarrollo en el Perú. UNDAF. 2017-2021 <http://onu.org.pe/wp-content/uploads/2017/05/UNDAF-Peru-2017-2021.pdf>

¹¹ Documento Programa País. 2017-2021 http://www.pe.undp.org/content/peru/es/home/library/democratic_governance/documento-programa-pais-2017-20210.html

<https://info.undp.org/docs/pdc/Documents/PER/ProDoc%20RESILIENCIA.pdf>
<https://open.undp.org/#project/00081013>

3. Objetivos de la consultoría

El objetivo general de la evaluación de medio término (MTR) es brindar recomendaciones basadas en evidencia para contribuir al logro de resultados planteados por el proyecto.

Los siguientes son los objetivos específicos de la evaluación:

1. Explicar el nivel de avance hacia la consecución de las metas intermedias, a partir del análisis de resultados, de la estrategia de implementación diseñada y de la ejecución de sus actividades.
2. Evaluar la gestión del proyecto, a partir del análisis de sus procedimientos de gestión, sistemas de monitoreo y evaluación, información y comunicación interna y externa, arreglo institucional.
3. Analizar las posibilidades de que el impacto del proyecto sea sostenible más allá de su culminación, a partir de la identificación y ponderación de los factores externos e internos limitantes y dinamizadores.
4. Proveer recomendaciones para mejorar la implementación del proyecto, a partir de la identificación de mejores prácticas y oportunidades de aprendizaje.

4. Enfoque y metodología del MTR

La presente evaluación se enmarca en el Plan de Evaluación 2017-2021, de la Oficina de Perú del Programa de las Naciones Unidas para el Desarrollo.

La MTR debe centrarse en la elaboración de recomendaciones para la mejora en la consecución de los logros e impactos sostenibles del proyecto, a partir de un análisis constructivo de la planificación, gestión y ejecución.

Para este trabajo se consideran dos tipos de fuentes de información, la primera está conformada por los documentos de gestión del proyecto y documentos de referencia relevantes del UNDP, que permitirán mostrar con claridad los antecedentes, planificación, la gestión y el contexto: i) PRODOC, ii) Lógica del proyecto, iii) modelo conceptual y cadenas de resultados, iv) ajustes al Marco Estratégico de Resultados, v) informes periódicos, vi) Documento Programa País del UNDP (CPD) y vii) Plan Estratégico de UNDP y otros.

La segunda fuente de información se constituye de las entrevistas a actores directos del proyecto, de modo que aporten en la evaluación del progreso del proyecto y con sugerencias para aumentar la probabilidad de lograr las metas propuestas. Los actores se muestran en el **Anexo 01-A**.

Está previsto que el Equipo Evaluador del MTR realice entrevistas en Lima y en campo y al menos tres reuniones de presentación a llevarse a cabo en la ciudad de Lima: i) al inicio de la misión, para presentar la metodología y presentación de avances del proyecto por parte del equipo del proyecto, ii) al retorno de la fase de campo, para presentar los hallazgos basados en evidencia, iii) a la culminación del informe final, para ser presentado (presencial o virtual).

El principal producto derivado de este proceso es el informe final de la MTR, el cual debe tener la estructura del **Anexo 01-B**.

Además de la evaluación propia del proyecto, se espera analizar la contribución al nivel del logro del resultado esperado en el marco del Programa País de UNDP, la contribución al Plan Estratégico de UNDP y a los ODS.

La organización, difusión de invitaciones y materiales (logística y costos de materiales), los costos relacionados a coffee break, salas para las reuniones en Lima y sedes serán asumidos por el proyecto en coordinación con el Equipo Evaluador.

Los pasajes internacionales y nacionales, los costos de traslados locales, así como el alojamiento, alimentación en ciudad serán asumidos dentro del costo de la propuesta de la consultoría, los costos de traslados dentro de las regiones hacia distritos o comunidades consideradas en la misión serán cubiertos por el proyecto (si estos significan movilizarse a otras comunidades fuera de la ciudad).

5. Ámbito detallado del MTR

El Equipo Evaluador del MTR evaluará las siguientes cuatro categorías de progreso del proyecto. Para unas descripciones más amplias véase la Guía para la Realización del Examen de Mitad de Periodo en Proyectos Apoyados por el UNDP y Financiados por el GEF (Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects) (<http://web.undp.org/evaluation/guidance.shtml#gef>).

i. Estrategia del proyecto

Diseño del proyecto:

- Analizar el problema abordado por el proyecto y las hipótesis aplicadas. Examinar el efecto de cualquier hipótesis incorrecta o de cambios en el contexto sobre el logro de los resultados del proyecto recogidos en el Documento del Proyecto y los ajustes que se hayan hecho al iniciar el proyecto.
- Analizar la relevancia de la estrategia del proyecto y determinar si ésta ofrece el camino más eficaz para alcanzar los resultados deseados/buscados.
- Analizar cómo quedan recogidas en el proyecto las prioridades del país y específicamente del sector competente. Comprobar la apropiación nacional del proyecto.
- Analizar hasta qué punto se tocaron las cuestiones de género e interculturalidad relevantes en el diseño del proyecto. Para un mayor detalle de las directrices seguidas véase Guía para la Realización del Examen de Mitad de Periodo en Proyectos Apoyados por el UNDP y Financiados por el GEF.
- Si existen áreas importantes en el diseño que requieren atención, recomendar aspectos para su mejora.

Marco de resultados:

- Realizar un análisis crítico de los indicadores y metas del proyecto teniendo en cuenta los ajustes realizados a este, evaluar hasta qué punto las metas de mitad y final de periodo del proyecto cumplen los criterios "SMART" (abreviatura en inglés de Específicos, Cuantificables, Conseguidos, Relevantes y Sujetos a plazos) y sugerir modificaciones/revisiones específicas de dichas metas e indicadores en la medida que sea necesario.
- Determinar la factibilidad del logro de los objetivos y resultados del proyecto o sus componentes con los recursos disponibles de tiempo, humanos, económicos, entre otros.
- Analizar si el progreso hasta el momento ha generado efectos beneficiosos no contemplados en el diseño o si pudiera catalizarlos en el futuro (por ejemplo, en términos de generación de ingresos, igualdad de género, interculturalidad, empoderamiento de la mujer, mejoramiento de calidad de poblaciones indígenas, mejoras en la gobernabilidad, etc.) de manera que deberían incluirse en el marco de resultados del proyecto y monitorearse de forma anual con indicadores de "desarrollo" SMART.

ii. Progreso en el logro de metas intermedias

Análisis del progreso en el logro de resultados:

- Revisar los indicadores del Proyecto y compararlos con el progreso realizado de las metas establecidas en el Proyecto mediante la Matriz de progreso en el logro de resultados y en función de lo establecido en la Guía para la Realización del Examen de Mitad de Periodo en Proyectos Apoyados por el UNDP y Financiados por el GEF; reflejar los avances siguiendo el sistema semáforo basado en el nivel de progreso alcanzado; asignar una valoración del progreso obtenido a cada resultado; efectuar recomendaciones.

Tabla 1. Matriz de progreso en el logro de resultados

Estrategia del proyecto	Indicadores	Nivel inicial de referencia	Metas	Nivel en el 2do PIR (Autoreportado)	Nivel y evaluación a Mitad de Periodo ¹²	Valoración de los logros conseguidos	Justificación de la valoración
Objetivo: Mejorar la resiliencia a los impactos del CC en ecosistemas vulnerables de PAN y paisajes circundantes a fin de asegurar su biodiversidad y funcionalidad así como los servicios ecosistémicos derivados como el secuestro de gases de efecto invernadero y la reducción de las emisiones	I.1 Reducción de la tasa de pérdida de los principales tipos de hábitat (yunga, bosque húmedo del sur de la Amazonía y puna central) en los paisajes genera beneficios para la BD y evita la pérdida de sumideros de carbono	Hábitat/Pérdida anual (ha)/Pérdida total (ha) s/proyecto (en periodo de proyecto): Yunga/9,933/49,655 Bosque húmedo /21,280/106,400 Puna/33/165	Pérdida neta evitada (ha) y (tC): Yunga/4,967/367,620 Bosque húmedo/10,590/1'078,697 Puna/17/513				
	I.2 Incremento en la conectividad de los ecosistemas dentro de los paisajes y con ecosistemas adyacentes, medida por la cantidad de hectáreas de ecosistemas en buen estado, bajo algún régimen de conservación, dentro de los potenciales corredores de conectividad en los paisajes	xx ha de ecosistemas en buen estado dentro de corredores de conectividad en dos paisajes.	Creación por lo menos de 100,000ha de nuevas áreas				

¹² Colorear solo esta columna, en función al Código para la evaluación de los indicadores

	<p>I.3 Reducción de las amenazas para PAN prioritizadas, según la medición de la herramienta METT</p>	<p>PNYCh: 19, RY: 23, BPSMSC: 39, RCS: 26, PNM: 26, PNAP: 19, RCP: 14, RCA: 23, SNM: 18. Promedio: 23</p>	<p>PNYCh: 14, RY: 19, BPSMSC: 30, RCS: 21, PNM: 23, PNAP: 14, RCP: 12, RCA: 19, SNM: 16. Promedio: 18.7</p>				
	<p>I.4 Reducción de la probabilidad de afectación del ecosistema debido a amenazas antrópicas, según la medición de la metodología estándar de SERNANP</p>	<p>PNYCh: 1.70, RY: 15.29, BPSMSC: 13.36, RCS: 2.69, PNM: 0.33, PNAP: 7.55, RCP: 2.84, RCA: 5.38, SNM: 0.58. Promedio: 5.52</p>	<p>PNYCh: 1.28, RY: 11.47, BPSMSC: 10.02, RCS: 2.02, PNM: 0.25, PNAP: 5.66, RCP: 2.13, RCA: 4.04, SNM: 0.44. Promedio: 4.15</p>				
Estrategia 1.1	<p>I.1.1 Ampliación de la cobertura de áreas en</p>	<p>09 PAN¹³ (5'966,203ha), 08 ACP¹⁴ (22,612ha), 02</p>	<p>100,000 ha nuevas</p>				

	<p>conservación para proteger ecosistemas esenciales</p>	<p>ACM¹⁵ (15,238ha), 09</p>	<p>destinadas a la conservación de ecosistemas esenciales mediante modalidades alternativas (adicionales al SINPANE)</p>				
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¹³ Área natural protegida por el Estado – ANP

¹⁴ Área de conservación privada – ACP

¹⁵ Área de conservación municipal - ACM

		CC ¹⁶ (193,035ha), 10 CE ¹⁷ (25,774ha) y 04 RT ¹⁸ /RI ¹⁹ (2'620,423ha) en los dos paisajes					
Estrategia 1.2	I.1.2 Nivel de participación local en la supervisión y el control de PAN, medido en función de la existencia de acuerdos de conservación, mediante los cuales las comunidades locales complementan las acciones del SERNANP	Dos acuerdos de conservación vigentes en las PAN priorizadas (PNYCh y RCY)	Al menos un acuerdo de conservación vigente en cada PAN priorizada, gracias a lo cual las comunidades locales tienen mayor participación en el control y la gestión de PAN				
Estrategia 1.3	I.1.3 Nivel de incorporación de aspectos relacionados con la resiliencia al CC en los instrumentos de gestión de PAN, AC, y RT/RI	Ninguna de las PAN priorizadas ni área de conservación, RT/RI ha incorporado la resiliencia al CC en sus análisis o planes maestros.	Todas las PAN, AC, RT/RI priorizadas han incorporado la resiliencia al CC en sus análisis y planes maestros, lo cual se refleja en sus decisiones de gestión				

¹⁶ Concesión para la conservación - CC

¹⁷ Concesión para ecoturismo - CE

¹⁸ Reserva territorial - RT

¹⁹ Reserva indígena - RI

Estrategia 1.4	<p>I.1.4a) Mejor capacidad de gestión de PAN, según la medición de la herramienta METT</p> <p>I.1.4b) Efectividad en la supervisión y el control en las PAN priorizadas, medida en función al cumplimiento de las estrategias de vigilancia y control que incluyen el contexto de CC y el accionar a nivel de paisajes (al menos PAN+ZA)</p>	<p>PNYCh: 55, RCY: 60, BPSMSC: 47, RCS: 57, PNM: 75, PNAP: 62, RCP: 55, RCA: 44, SNM: 60. Promedio: 57.2</p>	<p>PNYCh: 69, RCY: 71, BPSMSC: 65, RCS: 69, PNM: 80, PNAP: 68, RCP: 66, RCA: 60, SNM: 71. Promedio: 68.8</p>				
Estrategia 1.5	I.5 Número de variables para	Ninguna PAN cuenta	09 PAN cuentan con				

	la medición de la resiliencia incorporadas en el sistema de monitoreo del SINPANE	con una estrategia de vigilancia y control que incluyen el contexto de CC y accionar a nivel de paisaje (al menos PAN y zona de amortiguamiento).	una estrategia de vigilancia y control que incluyen el contexto de CC y el accionar a nivel de paisajes (al menos PAN+ZA). Por lo menos, 04 PAN lo implementan.				
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Estrategia 1.6	1.1.6 Disponibilidad de recursos económicos (US\$) para la gestión de las PAN prioritizadas tomando en cuenta las implicancias del CC	Ingresos (2014): \$ 2'396,512 Recursos necesarios (escenario básico): \$4'398,771 Saldo (e. básico): - \$2'002,259 Recursos necesarios (escenario óptimo): \$7'541,958 Saldo (e. óptimo): \$5'145,445	Ingresos de otras estrategias financieras: 5'400,000				
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Estrategia.2.1	<p>I.2.1a) Nivel de integración de la perspectiva de resiliencia al CC en los instrumentos de planificación articulados en los tres niveles de gobierno, en las provincias priorizadas</p> <p>I.2.1 b) Mayor participación de las comunidades locales, que promueven la equidad de género, en la gobernanza ambiental en los paisajes</p>	<p>Ninguna provincia priorizada ni sus distritos en los paisajes incorpora en sus instrumentos de planificación la perspectiva de resiliencia al CC, ni está articulada entre los tres niveles de gobierno.</p> <p>Ningún ECA de las 4 RC, ni federación indígena que represente a las CCNN en las ZA de las PAN priorizadas, intervienen en los espacios de gobernanza ambiental.</p>	<p>Al menos 1 provincia de 02 regiones priorizadas, y 1 distrito en cada una de ellas, tienen instrumentos de planificación locales que incorporan la perspectiva de resiliencia al CC y están articulados entre los tres niveles de gobierno</p> <p>Cada uno de los ECA de las 4 RC y al menos 01 federación indígena que represente las CCNN en las ZA de las 9 PAN, en el ámbito del proyecto, intervienen en al menos 01 espacio de gobernanza ambiental (comisiones ambientales</p>				
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			<p>municipales, mesas de concertación de lucha contra la pobreza, etc.).</p>				
Estrategia 2.2	<p>I.2.2a) Mayor potencial de los sistemas productivos basados en árboles (café, cacao) para amortiguar a las PAN contra los efectos directos e indirectos del CC</p>	<p>49,914 ha de café y 14,500 ha de cacao bajo sombra en la provincia La Convención; 7,804 ha de café bajo sombra en la provincia de Oxapampa.</p>	<p>Las áreas permanecen estables pero en 10% del área (7,222 ha: 5,771 ha de café y 1,450 ha de cacao) se</p>				

	<p>en las provincias priorizadas circundantes a estas. I.2.2b) Los sistemas agroforestales en las zonas de amortiguamiento contribuyen a generar beneficios ambientales globales, estabilizar los paisajes y desarrollar la resiliencia al CC</p>	<p>20,685 ha de sistemas agroforestales en zonas de amortiguamiento, con un total de 3'092,200tC y una tasa promedio de erosión del suelo de 2.64t por ha por año</p>	<p>aplican sistemas de gestión que promueven la resiliencia al CC y amortiguan a las PAN contribuyendo a la sostenibilidad de los medios de vida locales y a la igualdad de género, lo cual beneficia directamente a 18,050 pobladores pobres (de los cuales 8,123 son mujeres y 80% son indígenas)</p> <p>2,000 ha adicionales de sistemas agroforestales en las zonas de amortiguamiento generan un incremento neto total de sumideros de carbono de 176,920tC y una reducción neta total de la erosión de 208,000t, lo cual beneficia a 20,000 pobladores pobres</p> <p>(mayoritariamente indígenas y 9,000 mujeres) en 4,000 familias, a través de una</p>				
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			mayor productividad y sostenibilidad de sus sistemas productivos				
Estrategia 2.3	1.2.3 La gestión forestal comunitaria promueve la protección de los bosques en el contexto del CC, y refuerza los derechos de ocupación de la tierra de las comunidades locales	Los planes de gestión forestal comunitaria que promueve la protección del bosque, no incorporan perspectivas de CC y resiliencia	Los planes de manejo de al menos dos productos no maderables, basado en gestión forestal comunitaria que promueve la protección del bosque, incorporan perspectivas de CC y resiliencia, y refuerzan el sentido de propiedad/apropiación del bosque comunal.				
Estrategia 2.4	1.2.4 Nivel de incorporación de aspectos relacionados con la resiliencia a CC y la biodiversidad en los programas de extensión rural	Ninguna agencia de extensión agrícola o forestal rural aborda en la actualidad los temas de cambio climático y biodiversidad	18 agencias de extensión en toda la zona de intervención incorporan aspectos sobre la resiliencia al CC y conservación de la biodiversidad.				

(*) Escala del nivel de avance:

Verde = Logrado	Amarillo = Encaminado al logro	Rojo = No logrado
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Además del análisis de progreso en la consecución de resultados:

- Utilizar las Herramientas de Seguimiento del GEF comparando los niveles de la línea base con los niveles identificados inmediatamente antes de la MTE para analizar los aportes del proyecto en las Áreas Focales del GEF.
- Identificar las barreras que se hayan presentado en esta etapa de implementación, así como, aquellas que potencialmente puedan dificultar el logro de los objetivos del proyecto.
- Una vez examinados los aspectos del proyecto que han tenido éxito, identificar fórmulas para que el proyecto pueda ampliar los beneficios conseguidos.

iii. Ejecución del proyecto y gestión adaptativa

Mecanismos de gestión:

- Analizar la eficacia general en la gestión del proyecto, la claridad de las responsabilidades y la cadena de mando, si se toman las decisiones de forma transparente y en el momento adecuado, así como los procesos de comunicación internos y externos, para luego recomendar en función a ello las áreas de mejora.
- Analizar la calidad de la ejecución del Proyecto de acuerdo al arreglo institucional entre SERNANP y UNDP.
- Analizar la calidad del apoyo proporcionado por el Organismo Asociado del GEF (UNDP) y recomendar áreas de mejora.
- Analizar la eficacia de la participación de las entidades que integran el Consejo Directivo.

Planificación del trabajo:

- Analizar cualquier demora en la puesta en marcha e implementación del proyecto, identificar sus causas y examinar si ya se ha resuelto.
- Analizar si los procesos de planificación del trabajo están basados en los resultados esperados.

Sugerir maneras de reorientar la planificación del trabajo para responder mejor al contexto. - Examinar de qué manera los enfoques de género e interculturalidad están presentes en la planificación - Examinar el uso del marco de resultados/marco lógico del proyecto como herramienta de ges.

Financiamiento y cofinanciamiento:

- Evaluar la gestión financiera del proyecto, con especial referencia a la rentabilidad o relación costo/rendimiento de las intervenciones.
- Analizar los cambios producidos en las asignaciones de fondos como resultado de revisiones presupuestarias y determinar si dichas revisiones han sido apropiadas y relevantes.

- Evaluar si existe una adecuada planificación e información financiera que permitan a la Coordinación del Proyecto tomar decisiones informadas relativas al presupuesto y que faciliten un flujo de fondos en tiempo y plazos adecuados.
- A partir de la información contenida en la tabla de seguimiento del cofinanciamiento, analizar si se utiliza el cofinanciamiento estratégicamente para ayudar a los objetivos del proyecto, si se han alineado nuevas oportunidades de cofinanciamiento.

Sistemas de monitoreo y evaluación a nivel de proyecto:

- Analizar las herramientas de monitoreo usadas actualmente, desde el punto de vista de si ofrecen la información necesaria, si son eficientes. Además, identificar si se requieren herramientas adicionales, por ejemplo, en la eficacia de aplicación del enfoque de género e interculturalidad.
- Analizar la gestión financiera del presupuesto para el seguimiento y evaluación del proyecto. ¿Se asignan recursos suficientes para el seguimiento y evaluación? ¿Se usan estos recursos con eficacia?

Participación de las partes interesadas:

- Gestión del proyecto: Identificar si el proyecto ha desarrollado y forjado alianzas adecuadas.
- Participación y procesos impulsados desde el país: Identificar si los objetivos del proyecto se alinean a las políticas, planes y programas de gobiernos locales y nacionales, y si estos tienen un papel activo en la toma de decisiones del proyecto que contribuya a una ejecución eficiente y efectiva del mismo
- Participación y sensibilización pública: Determinar hasta qué punto ha contribuido la participación y la sensibilización pública en el progreso realizado hacia el logro de los objetivos del proyecto.

Información:

- Analizar los mecanismos empleados por la Coordinación del proyecto para informar de los cambios en la gestión adaptativa y comunicarlos al Consejo Directivo del Proyecto.
- Evaluar hasta qué punto el Equipo de Proyecto y sus socios llevan a cabo y cumplen con todos los requisitos de información del GEF (p.e: ¿qué medidas se han tomado para abordar los PIR con valoraciones bajas, cuando sea aplicable)?
- Evaluar cómo se han documentado y compartido las lecciones derivadas del proceso de gestión adaptativa con los socios clave y cómo han sido internalizadas por éstos.

Comunicación:

- Examinar la comunicación interna del proyecto con las partes interesadas, identificando si existe una comunicación regular y efectiva, si hay partes interesadas importantes que se quedan fuera de los canales de comunicación, si existen mecanismos de retroalimentación cuando se recibe la comunicación, si contribuye la comunicación con las partes interesadas a que estas últimas tengan una mayor concienciación respecto a

los resultados y actividades del proyecto, y a un mayor compromiso en la sostenibilidad a largo plazo de los resultados del mismo.

- Examinar la comunicación externa del proyecto, identificando si se han establecido canales de comunicación adecuados para expresar el progreso del proyecto y el impacto público deseado (por ejemplo, presencia en la Web, o si se llevaron a cabo campañas de comunicación y sensibilización pública adecuadas, si consideran los enfoques de género e interculturalidad).

iv. Sostenibilidad

- Identificar los principales factores externos e internos al Proyecto en términos sociales, culturales, institucionales, políticos, económicos y ambientales que afectan o afectarán la sostenibilidad de los resultados conseguidos por el Proyecto.
- Esto incluye enfocarse en las oportunidades y en los riesgos, así como evaluar las capacidades de las contrapartes y beneficiarios para mantener y asegurar los resultados de desarrollo en el futuro.
- Adicionalmente, se debe evaluar si el equipo documenta las lecciones aprendidas de manera continuada, si se comparten y/o transfieren a los agentes adecuados que estén en posición de aplicarlas y, potencialmente, reproducirlas y/o expandirlas en el futuro.
- Validar si los riesgos identificados en el Documento del Proyecto, el Examen Anual del Proyecto/PIR y el Módulo de Gestión de Riesgos del Sistema ERP del UNDP denominado ATLAS son los más importantes y si las valoraciones de riesgo aplicados son adecuadas y están actualizadas. En caso contrario, explicar por qué.

Asimismo, evaluar los siguientes riesgos a la sostenibilidad:

Riesgos financieros para la sostenibilidad:

- Determinar cuál es la probabilidad de que se reduzca o cese la disponibilidad de recursos económicos una vez concluya la ayuda del GEF (teniendo en cuenta que los recursos potenciales pueden provenir de múltiples fuentes, como los sectores público y privado, actividades generadoras de ingresos y otros recursos que serán adecuados para sostener los resultados del proyecto)

Riesgos sociales o políticos para la sostenibilidad:

- Identificar los riesgos sociales o políticos que puedan poner en peligro la sostenibilidad de los resultados del proyecto. Asimismo, el riesgo de que el nivel de apropiación y participación de las partes interesadas (incluyendo gobiernos regionales y locales) sea insuficiente o no propicie la equidad de género y la interculturalidad, para sostener los resultados/beneficios del proyecto. Del mismo modo, identificar si los actores sociales tienen un nivel de sensibilización suficiente para apoyar los objetivos a largo plazo del proyecto.

Riesgos para la sostenibilidad relacionados con el marco institucional y la gobernabilidad:

- Identificar si los marcos legales, las políticas, las estructuras y los procesos de gobernabilidad presentan riesgos que puedan poner en peligro la continuidad de los beneficios del proyecto. Al evaluar este parámetro, es preciso evaluar si las contrapartes cuentan con sistemas y/o mecanismos para la rendición de cuentas, la transparencia y la transferencia de conocimientos técnicos.

Riesgos socioambientales a la sostenibilidad:

- Determinar la existencia de riesgos socioambientales que puedan poner en peligro la continuidad de los resultados del proyecto, por ejemplo: crecimiento poblacional o migracional, violencia social, actividades ilegales, avance de infraestructura sin planificación, entre otros.

Alineación del proyecto al CPD y Plan Estratégico de UNDP:

La evaluación deberá dar cuenta además sobre la alineación del proyecto al Documento Programa País del UNDP (CPD) y al Plan Estratégico de UNDP sus aportes al logro de resultados. E identificar como el proyecto aporta al enfoque y abordaje de derechos y desarrollo humano.

Conclusiones y Recomendaciones

El Equipo Evaluador del MTR incluirá una sección en el informe donde se recojan las conclusiones obtenidas a partir de todos los datos recabados y pruebas realizadas.

Las recomendaciones deberán ser sugerencias sucintas para intervenciones críticas que deberán ser específicas, cuantificables, conseguibles y relevantes. Se debería incluir una tabla de recomendaciones dentro del resumen ejecutivo del informe de evaluación. Para más información sobre la tabla de recomendaciones y Rastro de Auditoría, véase la Guía para la Realización del Examen de Mitad de Periodo en Proyectos Apoyados por el UNDP y Financiados por el GEF.

Las recomendaciones del MTR deberían limitarse a 15 como máximo.

Valoración

El Equipo Evaluador del MTR incluirá sus valoraciones de los resultados del proyecto y breves descripciones de los logros asociados en una Tabla Resumen de Valoraciones y Logros en el Resumen Ejecutivo del Informe del MTR. Véase el Anexo E para comprobar las escalas de

valoración. No es necesario hacer una valoración de la Estrategia del Proyecto ni una valoración general del mismo.

Tabla 2. Resumen de valoraciones y logros del MTR

Proyecto Transformando la Gestión de Complejos de Áreas Protegidas/Paisajes para Fortalecer la Resiliencia de Ecosistemas

Parámetro	Valoración MTR	Descripción del logro
Estrategia del proyecto	N/A	
Progreso en el logro de resultados	Valoración del grado de logro del objetivo. Valoración del grado de logro del Componente 1 (Calificar según escala de 6 pt.)	
	Valoración del grado de logro del objetivo. Valoración del grado de logro del Componente 2 (Calificar según escala de 6 pt.)	
Ejecución del proyecto y gestión adaptativa	Calificar según escala de 6 pt.	
Sostenibilidad	Calificar según escala de 4 pt.	

6. Productos y Responsabilidades

El/la consultor/a será responsable de entregar los siguientes productos:

No.	Producto	Descripción	Plazo	Responsabilidades
1	Informe de del Iniciación MTR	El consultor del MTR clarifica los objetivos y métodos de la revisión de mitad de periodo	08 días calendario	El Equipo del MTR lo presenta al UNDP y a la Dirección del Proyecto

	Misión de Evaluación		<p>A los 19 días de iniciado el servicio</p> <p>23 días calendario</p> <p>Institucional lima: 06 días</p> <p>Sede Cusco: 02 días*</p> <p>Sede Oxapampa: 03 días*</p> <p>Sede Pucallpa: 02 días*</p> <p>*Días efectivos en sedes</p>	
2	Reunión de presentación primeras conclusiones	Conclusiones Iniciales	A los 43 días calendario Final de la misión del MTR:	El Equipo del MTR las presenta ante la Dirección del proyecto, la Unidad de Gestión, UNDP y stakeholders.
3	Borrador de Informe final	Informe completo. Ver Anexo 01-B	<p>Antes de transcurridos 3 semanas desde la misión del</p> <p>MTR: hasta 58 días calendario</p>	Enviado al UNDP, examinado por el RTA Unidad de Coordinación de Proyectos OFP del GEF
4	Informe Final*	Informe revisado con prueba de auditoría donde se detalla cómo se han abordado (o no) en el informe final del MTR todos los comentarios recibidos. Incluir revisión de TT.	Antes de transcurrida 1 semana desde la recepción de los comentarios sobre el borrador: 82 días calendario (versión en español e inglés)	Enviado al UNDP

***El Informe Final del MTR debe estar en inglés y español.** Siempre que sea aplicable el UNDP podrá decidir traducir el informe a otro idioma.

Durante toda la evaluación el Consultor Líder es responsable de:

1. Comunicarse con el Equipo del Proyecto a fin de solicitar todos los documentos pertinentes en coordinación con el Líder,
2. Coordinar las entrevistas con las partes interesadas y la realización de las visitas de campo, será responsable de recopilar las evidencias,
3. Asegurar la incorporación de la información desde el enfoque de cambio climático y gobernanza territorial,
4. Asegurar una adecuada comunicación y utilización de herramientas para el recojo de información de los *stakeholders* del proyecto.
5. Asegurar el levantamiento de observaciones al Borrador de Informe Final, y presentación del rastro de auditoría.
6. Presentar el informe final en español e inglés

7. Plazos y cronograma

La duración total del MTR será de **82 días calendario**, contados a partir del día siguiente de la firma del contrato. El cronograma provisional del MTR es el siguiente:

Tabla 3. Cronograma provisional de ejecución del MTR

PERIODO DE EJECUCIÓN	ACTIVIDAD
A la firma del Contrato	Inicio del Servicio Preparación del Equipo Evaluador del MTR (entrega de los Documentos del Proyecto)
08 días calendario	Revisión de los Documentos
A los 09 días calendario del inicio del servicio.	Presentación del Informe de Iniciación del MTR
Entre los días 09 y 16 de iniciado el servicio	Finalización y validación del Informe de Iniciación del MTR.
A partir de 19 calendario del inicio del servicio. Duración 23 días calendario	Misión del MTR: reuniones con las partes involucradas, entrevistas. La misión incluirá las reuniones, actividades propuestas por el Equipo Consultor, en Lima y en tres regiones: Ucayali, Pasco y Cusco.
A los 43 días calendario	Reunión para el cierre de la misión en Lima y presentación de las primeras conclusiones.
A los 58 días calendario	Presentación del borrador del informe
A los 72 días calendario	Incorporación del <i>rastro de auditoría</i> ¹² a partir de los datos ofrecidos en el borrador del informe/Finalización del informe del MTR.
A los 80 días	Preparación y comunicación de la respuesta de la Dirección.

calendario	
A los 80 días calendario	Reunión (presencial o virtual) presentación del informe final ²⁰
A los 82 días calendario	Fecha prevista para la presentación del Informe Final de MTR (incluida versión en inglés y español)

8. Forma de Pago

Los pagos se realizarán como máximo dentro de los 15 días calendarios siguientes a la presentación de los productos abajo mencionados, previa conformidad emitida por el área usuaria. En caso de existir observaciones a los informes presentados, el plazo se contabilizará a partir del levantamiento de las mismas:

Nro. Pago	Concepto	Porcentaje
1er Pago	A la aprobación definitiva del Informe de Iniciación del MTR	30%
2do Pago	A la presentación y aprobación del borrador del informe del MTR	30%
3er Pago	A la presentación y aprobación del informe del MTR español	30%
4to Pago	A la presentación y aprobación del informe MTR Inglés	10%

9. Perfil característico de la persona a contratar: calificaciones y experiencia

²⁰ La presentación se realiza a la Junta de Proyecto, Equipo de Proyecto y una sesión abierta que incluye al personal de PNUD para promover gestión de conocimiento y conocer lecciones aprendidas.

El Consultor no podrá haber participado en la preparación, formulación y/o ejecución del proyecto (incluyendo la redacción del Documento del Proyecto) y no deberá tener un conflicto de intereses con las actividades relacionadas con el mismo.

Asimismo, el/la consultor/a que resulte adjudicado se compromete a cumplir y firmar el Código de Conducta para evaluación del sistema de Naciones Unidas.

El equipo de evaluación estará conformado por dos consultores: un Líder de Evaluación y un Especialista en Cambio Climático y Gobernanza Territorial, el presente Término de Referencia establece el perfil para el Consultor Líder:

a) Formación Académica

- Mínimo bachiller en medio ambiente, ciencias, ingenierías, economía u otro campo afín (Si el grado es en otra área, podrá ser válido si cuenta con estudios culminados de posgrado en campos relacionados con el medio ambiente).
- Deseable especialización, curso, seminario relacionado a: cambio climático, adaptación/ mitigación, planificación del territorio, entre otros.
- Dominio del idioma español e inglés.

b) Experiencia Profesional

- Al menos siete (7) años de experiencia en la identificación, formulación, monitoreo y/o implementación (incluida asesoría y/o asistencia técnica), gestión de proyectos o programas relacionados a biodiversidad, conservación, degradación de tierra, REDD+ y/o gobernanza territorial ambiental. Se valorará experiencia con poblaciones indígenas.
- Experiencia liderando al menos tres (3) evaluaciones realizadas en el área de medio ambiente, proyectos vinculados a: mitigación/adaptación al cambio climático, proyectos productivos sostenibles, conservación de la biodiversidad y/o resiliencia, REDD y afines. Se valorará que sean en Áreas Naturales Protegidas u otras modalidades de conservación en la Amazonía y en particular en Amazonia Peruana.
- Experiencia de al menos dos (2) servicios de trabajo con el GEF y/o con evaluaciones realizadas a proyectos financiados por el GEF u otra fuente de cooperación internacional. Se valorará si alguno de los proyectos fue implementado por el UNDP.
- Deseable experiencia en evaluaciones y análisis sensibles a la interculturalidad y género.

El Consultor Líder será apoyado por el Consultor en Cambio Climático y Gobernanza Territorial para el desarrollo de la evaluación de medio término.

ANEXO 01-A – ACTORES A ENTREVISTAR

No.	Actor	Rol o tema de participación
1	La Dirección Nacional del Proyecto	
2	Jefe del SERNANP	
3	La Dirección de Gestión de Áreas Naturales Protegidas y la Dirección de Desarrollo Estratégico del SERNANP	
4	Oficinas y Unidades Operativas de SERNANP involucradas en la implementación del proyecto	
5	Coordinación de la Iniciativa de Sostenibilidad Financiera de SERNAP	
6	Jefaturas de Áreas Naturales Protegidas	
7	Los Ejecutores de Contrato de Administración de Reservas Comunales	
8	El Equipo del Proyecto	
9	El Consejo Directivo del Proyecto	
10	Consultores del Proyecto	
11	Gerencia Regional de RRNN y MA del GORE Cusco	
12	Gerencia Regional de RRNN y MA del GORE Pasco	
13	Autoridad Regional Ambiental de Ucayali	
14	Gerencia Regional de RRNN y MA del GORE Huánuco	
15	Instituto del Bien Común	
16	ACCA	
17	ProPurus	
18	Municipalidad Villa Rica: ACM Shollet	

19	Comité de Gestión de la Reserva de Biósfera de Manu	
20	Comité de Gestión de la Reserva de Biósfera Oxapampa Asháninka Yánesha	
21	Comités de Gestión de las 09 PAN	
22	ANECAP	
23	UNDP, Especialista de Género e interculturalidad	
24	UNDP, Asesor Técnico/James Lesli	
25	UNDP, Especialista M&E/Fabiola Berrocal	
26	Personal de adquisiciones del UNDP	
27	Proyecto Paisajes Productivos Sostenibles/Diana Rivera	
28	Proyecto EBA Amazonia/Jorge Herrera	
29	WCS	
30	Sociedad Zoológica de Frankfurt	
31	Municipalidades Distritales de Puerto Bermúdez, Villa Rica, Huancabamba y Palcazú	
32	Municipalidad Provincial de Oxapampa	
33	Raiforest Alliance	
34	Proyecto DCI	

ANEXO 01-B – ESTRUCTURA DEL INFORME FINAL

i. Información básica del informe (para la portada o página inicial)

- Nombre del proyecto apoyado por el UNDP y financiado por el GEF
- Números PIMS del UNDP/ID del GEF
- Periodo de ejecución del MTR y fecha del informe
- Región y países incluidos en el informe
- Área de actuación /Programa estratégico del GEF
- Organismo ejecutor/Socio en la ejecución y otros socios del proyecto

- Componentes del equipo del MTR
 - Agradecimientos
- ii. Índice
- iii. Acrónimos y abreviaturas 1. Resumen ejecutivo (3-5 páginas)
- Tabla de información del proyecto
 - Descripción del proyecto (breve)
 - Resumen de progreso del proyecto (entre 200-500 palabras)
 - Tabla resumen de valoraciones y logros del MTR
 - Resumen conciso de conclusiones
 - Tabla resumen de recomendaciones
2. Introducción (2-3 páginas)
- Propósito del MTR y objetivos
 - Alcance y metodología: principios de diseño y ejecución del MTR, enfoque del MTR y métodos de recopilación de datos, limitaciones del MTR
 - Estructura del informe MTR
3. Descripción del proyecto y contexto (3-5 páginas)
- Contexto de desarrollo: factores medioambientales, socioeconómicos, institucionales y políticos relevantes para el objetivo y alcance del proyecto
 - Problemas que trató de abordar el proyecto: amenazas y barreras
 - Descripción y estrategia del proyecto: objetivo, productos y resultados deseados, descripción de los lugares donde se desarrolla (si los hay)
 - Mecanismos de ejecución del proyecto: breve descripción del Consejo Directivo del Proyecto, acuerdos con los principales socios en la ejecución, etc.
 - Plazos de ejecución del proyecto e hitos a cumplir durante su desarrollo ☐
Principales partes interesadas: Lista resumida.
4. Hechos comprobados (12-14 páginas)
- 4.1 Preguntas de investigación respondidas
- 4.2 Estrategia del proyecto
- Diseño del proyecto
 - Marco de resultados
- 4.3 Progreso en el logro de resultados
- Análisis del progreso en los resultados
 - Barreras remanentes para el logro de los objetivos del proyecto
- 4.4 Ejecución del proyecto y gestión adaptativa
- Mecanismos de gestión
 - Planificación del trabajo
 - Financiación y cofinanciación
 - Sistemas de seguimiento y evaluación a nivel de proyecto
 - Participación de las partes interesadas
 - Información
 - Comunicación
- 4.5 Sostenibilidad
- Riesgos financieros para la sostenibilidad
 - Riesgos socioeconómicos para la sostenibilidad

- Riesgos para la sostenibilidad relacionados con el marco institucional y la gobernabilidad ☒ Riesgos socioambientales para la sostenibilidad

5. Contribución al nivel del logro del resultado esperado en el marco del Programa País de UNDP, la contribución al Plan Estratégico de UNDP y los ODS

6. Conclusiones y recomendaciones (4-6 páginas)

6.1 Conclusiones

- Declaraciones completas y equilibradas (basadas en las pruebas y datos recopilados y conectadas a los hechos comprobados del MTR) que subrayen los puntos fuertes, débiles y resultados del proyecto

6.2 Recomendaciones

- Acciones correctoras para el diseño, ejecución, seguimiento y evaluación del proyecto
- Acciones para continuar o reforzar los beneficios iniciales del proyecto ☒ Propuestas para las direcciones futuras subrayando los objetivos ☒
Resumen de las recomendaciones:

Tabla: Resumen de recomendaciones

Parámetro	Pregunta	Hallazgo	Conclusión	Recomendación

7. Anexos

- ToR del MTR (excluyendo los anexos del ToR)
- Matriz de evaluación del MTR (criterios de evaluación con las preguntas, indicadores, fuentes de datos y metodología clave)
- Modelo de cuestionario o Guía de entrevistas a emplear en la recolección de datos
- Escalas de valoración
- Itinerario de la misión del MTR
- Lista de personas entrevistadas
- Lista de documentos examinados
- Evidencias que sustentan hallazgos
- Tabla de cofinanciación (si no se incluyó previamente en el cuerpo del informe)
- Formulario del Código de Conducta del UNEG firmado

- Formulario de aprobación del informe final del MTR firmado
- Anexo en un archivo separado: Rastro de auditoría obtenido a partir de los comentarios recibidos en el borrador del informe MTR
- Anexo en un archivo separado: Herramientas de seguimiento relevantes para la mitad de periodo (METT, TT)

ANEXO 2 - CARTA DEL OFERENTE AL UNDP CONFIRMANDO INTERÉS Y DISPONIBILIDAD PARA LA ASIGNACIÓN DE CONTRATISTA INDIVIDUAL (CI)

Fecha _____

(Nombre del Representante Residente / director)

Programa de las Naciones Unidas para el Desarrollo

(Detalle la Dirección de la Oficina)

Estimado señor/señora:

Por la presente declaro que:

- He leído, entendido y acepto los términos de referencia que describen las funciones y responsabilidades de [*indicar el título de la asignación*] en el marco de [*indicar el título del proyecto*];
- También he leído, entendido y acepto las Condiciones Generales del UNDP para la contratación de servicios de contratistas individuales;
- Por la presente propongo mis servicios y confirmo mi interés en realizar la asignación a través de la presentación de mi CV o Formulario de Antecedentes Personales (P11), que he firmado debidamente y que adjunto como Anexo 1
- En cumplimiento con los requisitos de los Términos de Referencia, por la presente confirmo que me encuentro disponible durante la totalidad del período de la asignación, y que ejecutaré los servicios de la manera descrita en mi propuesta técnica, la cual adjunto como Anexo 3 [*eliminar suprimir este párrafo si los Términos de Referencia no requieren de la presentación de este documento*];
- Propongo realizarlos servicios basado en la siguiente tarifa: [*por favor marque la casilla que corresponda a la opción aplicable*]:

Una suma global fija de *[[indique el monto en palabras y números, indicando la moneda]*, pagadera en la forma descrita en los Términos de Referencia.

Para efectos de la evaluación, se adjunta como Anexo 2 el desglose del monto de la suma global fija mencionada anteriormente;

- f) Reconozco que el pago de las cantidades antes mencionadas se realizará con base a la entrega de mis productos dentro del plazo especificado en los Términos de Referencia, los cuales estarán sujetos a la revisión del UNDP, la aceptación de los mismos, así como de conformidad con los procedimientos para la certificación de los pagos;
- g) Esta oferta será válida por un período total de _____ días *[mínimo 90 días]* después de la fecha límite de presentación;
- h) Confirмо que no tengo parentesco en primer grado (madre, padre, hijo, hija, cónyuge/ pareja, hermano o hermana) con nadie actualmente contratado o empleado por alguna oficina o agencia de la ONU *[revele el nombre del familiar, la Oficina de Naciones Unidas que contrata o emplea al pariente, así como el parentesco, si tal relación existiese]*;
- i) Si fuese seleccionado para la asignación, procederé a; *[por favor marque la casilla apropiada]*:

Firmar un Contrato Individual con UNDP;

j) Confirмо que *[marcar todas las que apliquen]*:

Al momento de esta aplicación, no tengo ningún Contrato Individual vigente, o cualquier otra forma de compromiso con cualquier Unidad de Negocio del UNDP;

Actualmente estoy comprometido con el UNDP y/u otras entidades por el siguiente trabajo:

Asignación	Tipo de Contrato	Unidad de Negocio del UNDP / Nombre de Institución / Compañía	Duración del Contrato	Monto del Contrato

De igual manera, estoy esperando resultado de la convocatoria del/los siguiente(s) trabajo(s) para UNDP y/u otras entidades para las cuales he presentado una propuesta:

Asignación	Tipo de Contrato	Nombre de Institución / Compañía	Duración del Contrato	Monto del Contrato

- k) Comprendo perfectamente y reconozco que el UNDP no está obligado a aceptar esta propuesta; también comprendo y acepto que deberé asumir todos los costos asociados con su preparación y presentación, y que el UNDP en ningún caso será responsable por dichos costos, independientemente del efecto del proceso de selección.
- l) **Si usted es un ex-funcionario de las Naciones Unidas que se ha separado recientemente de la Organización, por favor agregue esta sección a su carta:** Confirmando que he cumplido con la interrupción mínima de servicio requerida antes que pueda ser elegible para un Contrato Individual.
- m) Asimismo, comprendo perfectamente que, de ser incorporado como Contratista Individual, no tengo ninguna expectativa ni derechos en lo absoluto a ser reinstalado o recontratado como un funcionario de las Naciones Unidas.

Nombre completo y Firma:

Fecha:

Anexos: *[favor marcar todos los que apliquen]:*

CV or Formulario P11 firmado

Desglose de los costos que respaldan el Monto Total Todo Incluido de acuerdo al formulario correspondiente.

Breve Descripción del Enfoque de Trabajo (De ser requerido en los Términos de Referencia) **DESGLOSE DE LOS COSTOS**

QUE RESPALDAN LA PROPUESTA FINANCIERA TODO- INCLUIDO

A. **Desglose de costos por Componentes:**

Componentes	Costo por Unidad	Cantidad	Precio Total para la duración del Contrato
I. Costos de Personal			
Honorarios Profesionales			
Seguros de Vida			
Seguros Médicos			
Comunicaciones			
Transporte Terrestre			

Otros (favor especificar)			
II. Gastos de Viaje para incorporarse al lugar de destino			
Tarifas de boletos aéreos, ida y vuelta, desde y hacia los lugares de destino			
Gastos de estadía			
Seguro de Viaje			
Gastos Terminales			
Otros (favo respecificar)			
III. Viajes Oficiales			
Tarifas de boletos aéreos, ida y vuelta			
Gastos de estadía			
Seguros de Viaje			
Gastos terminales			
Otros (favo respecificar)			

B. **Desglose de costos por Entregables *:**

Entregables <i>[enumérelos de conformidad con los Términos de Referencia]</i>	Porcentaje del Monto Total (Peso para el pago)	Monto
Entregable		
Entregable		
....		
Total	100%	S/

**Bases para los tramos de pago*

ANEXO 3 - FORMATO DE PROPUESTA TECNICA

Oferta *[Insertar nombre de la consultoría]*

- 1. MARCO CONCEPTUAL/PROPOSITO DE LA EVALUACION** *(máximo 1 hoja)*
- 2. MATRIZ DE TRABAJO PARA LOS PRODUCTOS A PRESENTAR:**

Producto 1						
Actividades:	Método/s de trabajo:	Actores:	Tiempo:	Resultados:	Riesgos:	Estrategias de solución
1.1						
1.2						
Producto 2						
Actividades:	Método/s de trabajo:	Actores:	Tiempo:	Resultados:	Riesgos:	Estrategias de solución
2.1						
2.2						
Producto 3						
Actividades:	Método/s de trabajo:	Actores:	Tiempo:	Resultados:	Riesgos:	Estrategias de solución
3.1						
3.2						

3. ALCANCE

4. DESCRIPCIÓN DE LA METODOLOGÍA A UTILIZAR:

Se solicita una descripción más detallada para la elaboración de los productos específicos solicitados en esta Consultoría, en función de lo planteado en la matriz de trabajo anterior. Asimismo, deberá presentar las herramientas que propone aplicar para el recojo de información.

Incluir brevemente como propone el/la consultor/a abordar cuestiones de género, interculturalidad, enfoque de derechos.

5. CRONOGRAMA DETALLADO POR ACTIVIDADES

6. CAPACIDADES PARA DESARROLLAR LA CONSULTORÍA - HOJA DE VIDA DEL CONSULTOR/A:

Descripción de habilidades y de experiencia de trabajo previa relacionada con el objeto de esta consultoría, el /la consultor/a debe ser específico en su CVs en cuanto a lo solicitado en perfil del/la consultora/a.

ANEXO 4 - FORMULARIOS DE EVALUACIÓN

Los consultores serán evaluados en sus aspectos técnicos y propuesta financiera utilizando las siguientes matrices:

EVALUACION DE LA PROPUESTA TECNICA (70%)

CRITERIO		PUNTAJE MÁXIMO
1	Preparación Académica	
	Mínimo Bachiller en medio ambiente, ciencias, ingenierías, economía u otro campo afín. (Si el grado es en otra área, podrá ser válido si cuenta con estudios culminados de posgrado en campos relacionados con el medio ambiente).	Cumple/No cumple
	Deseable especialización, curso, seminario relacionado a: cambio climático, adaptación/mitigación, planificación del territorio, entre otros.	2
	Dominio del idioma español o inglés	Cumple/ No cumple
2	Experiencia	53
	Al menos 7 años de experiencia en la identificación, formulación, monitoreo y/o implementación (incluida asesoría y/o asistencia técnica), gestión de proyectos o programas relacionados a biodiversidad, conservación, degradación de tierra, REDD+ y/o gobernanza territorial ambiental. Se valorará experiencia con poblaciones indígenas. De 7 años a 9 años – 15 puntos Más de 9 años – 17 puntos Experiencia con poblaciones indígenas – 3 puntos adicionales	20
	Experiencia liderando al menos tres (3) evaluaciones realizadas en el área de medio ambiente, proyectos vinculados a: mitigación/adaptación al cambio climático,	
		80%

	<p>proyectos productivos sostenibles, conservación de la biodiversidad y/o resiliencia, REDD y afines. Se valorará que sean en Áreas Naturales Protegidas u otras modalidades de conservación en la Amazonía y en particular en Amazonia Peruana.</p> <p>Menos de 3 evaluaciones – no cumple 3 evaluaciones – 10 puntos Más de 3 evaluaciones – 13 puntos Se otorgará 1 punto adicional si alguna de las experiencias fue en Áreas Naturales Protegidas u otras modalidades de conservación en la Amazonia. Se otorgará 1 punto adicional si fue en Amazonía Peruana.</p>	15	
	<p>Experiencia de al menos dos (2) servicios con GEF y/o evaluaciones realizadas a proyectos financiados por el GEF, u otra fuente de cooperación internacional. Se valorará si alguno de los proyectos fue implementado por el UNDP.</p> <p>Menos de 2 servicios/evaluaciones – no cumple 2 servicios y/o evaluaciones – 10 puntos Más de 2 servicios y/o evaluaciones – 14 puntos Se otorgarán 1 punto adicional si alguno de los proyectos fue implementado por UNDP.</p>	15	
	Deseable experiencia en evaluaciones y análisis sensibles a la interculturalidad y género	3	
3	Propuesta Técnica	45	
	<p>La Propuesta presentada refleja con claridad el:</p> <ul style="list-style-type: none"> - Alcance y objetivos de la evaluación final (5pts) - Criterios de evaluación (5pts) - Metodología de evaluación (incluye instrumentos a emplear) (30 pts) - Cronograma/Plazo de entrega (5 pts) 		
	TOTAL EVALUACIÓN (ACADÉMICA Y EXPERIENCIA)	100	
4	Entrevista*	100	20%
	TOTAL	200	100

*Solo pasarán a entrevistas aquellas ofertas que obtengan un puntaje mínimo de 70 puntos en la evaluación académica y experiencia.

EVALUACION DE LA PROPUESTA ECONOMICA (30%)

Sólo pasarán a la evaluación económica los consultores que alcancen un mínimo de 70 puntos en la evaluación técnica ((evaluación académica + experiencia) *80% + entrevista*20%).

El máximo número de puntos (100) se otorgará a la oferta más baja. Todas las otras propuestas recibirán puntos en proporción inversa, según la siguiente fórmula:

$$p = y (\mu/z)$$

Donde: p = puntos de la

propuesta económica evaluada

y = cantidad máxima de puntos otorgados a la

oferta financiera μ = Monto de la oferta más baja

z = Monto de la oferta evaluada³

ANEXO 5 - MODELO DE CONTRATO Y TERMINOS Y CONDICIONES GENERALES DE LA CONTRATACION.

PROGRAMA DE NACIONES UNIDAS PARA EL DESARROLLO

CONTRATO PARA LOS SERVICIOS DE CONTRATISTA INDIVIDUAL

No _____

El presente contrato celebrado el día _____ de _____ de 20__ entre el Programa de Naciones Unidas para el Desarrollo (en adelante denominado el "UNDP") y _____ (en adelante denominado "el Contratista Individual") cuya dirección es _____

VISTO que el UNDP desea contratar los servicios del Contratista Individual bajo los términos y condiciones establecidas a continuación, y;

CONSIDERANDO que el Contratista Individual se encuentra preparado y dispuesto a aceptar este

Contrato con el UNDP, conforme dichos términos y dichas condiciones,

A CONTINUACIÓN, las Partes acuerdan por el presente, lo siguiente:

1. Características de los servicios

El Contratista Individual deberá prestar los servicios como se describen en los Términos de Referencia, los cuales son parte integral de este Contrato y el cual se adjuntacom o (Anexo 1 en el siguiente Lugar(es) de Destino:

2. Duración

El presente Contrato Individual comenzará el [insertar fecha], y vencerá una vez que se cumpla satisfactoriamente con los servicios descritos en los Términos de Referencia mencionados arriba, pero no más tarde del [insertar fecha] a menos que sea rescindido previamente conforme a los términos del presente Contrato. El presente Conrtato se encuentra sujeto a las Condiciones Generales de Contratos para Contratistas Individuales que se encuentran disponible en la página web del UNDP (<http://www.undp.org/procurement>) y que se adjuntan al presente *como Anexo II*.

3. Consideraciones

Como plena consideración por los servicios prestados por el Contratista Individual en virtud de los términos del presente Contrato, en los que se incluye, a no ser que se ha especificado de otra manera, el viaje hasta y desde el Lugar(es) de Destino; el UNDP deberá pagar al Contratista Individual una cantidad total de [moneda]_____de conformidad con la tabla descrita a continuación ²¹. Los pagos deberán realizarse seguidos de una certificación del UNDP que los servicios relacionados con cada uno de los productos entregables han sido alcanzados, si fuese el caso, antes o en la fecha establecida del cronograma que se especifican a continuación: io en cada fase.

PRODUCTOS ENTREGABLES	FECHA ENTREGA	CANTIDAD [MONEDA]

²¹ Para pagos que no están basados a una suma global por productos, se debe indicar el número máximo de días/horas/unidades trabajados así como cualquier otro pago(viaje, per diem) y el correspondiente honorario en la tabla de Productos Entregables de arriba

Si viajes imprevistos fuera del Lugar(es) de Destino (y no contemplados en los Términos de Referencia) son requeridos por el UNDP, y bajo acuerdo previo por escrito; dicho viaje deberá ser sufragado por el UNDP y el Contratista Individual recibirá un *per diem* que no exceda la tarifa de subsistencia diaria

En caso de que existan dos monedas, el tipo de cambio empleado será el oficial tipo de cambio de las Naciones Unidas vigente al día en el que el UNDP indique al banco efectuar el/los pago/s.

4. Derechos y Obligaciones del Contratista Individual

Los derechos y deberes del Contratista Individual se limitan estrictamente a los términos y condiciones del presente Contrato, incluyendo sus Anexos. Por consiguiente, el Contratista Individual no tendrá derecho a recibir ningún beneficio, pago, subsidio, indemnización o derecho, a excepción a lo que se dispone expresamente en el presente Contrato. El Contratista Individual se responsabiliza por reclamos de terceros que surjan de actos u omisiones por parte del Contratista Individual en el curso de su desempeño del presente Contrato; y bajo ninguna circunstancia deberá tomarse al UNDP como responsable de dichos reclamos de terceros.

5. Beneficiarios

El Contratista Individual designa a _____ como beneficiario de cualquier suma adeudada en virtud del presente Contrato en caso de fallecimiento del Contratista Individual mientras presta los servicios del presente. Esto incluye el pago de cualquier servicio incurrido de seguro de responsabilidad civil atribuibles a la ejecución de servicios al UNDP.

Dirección postal, correo electrónico y teléfono del beneficiario:

Dirección postal, correo electrónico y teléfono del contacto de emergencia (en caso de diferir con el beneficiario)

EN FE DE LO CUAL, las Partes mencionadas otorgan el presente Contrato.

En virtud de la firma del presente, yo, el Contratista Individual conozco y acuerdo haber leído y aceptado los términos del presente Contrato, incluyendo las Condiciones Generales de Contratos para Contratistas Individuales disponible en el sitio web del UNDP (<http://www.undp.org/procurement>) y adjunto como Anexo II que forman parte integral del presente Contrato; y del cual he leído y comprendido y acordado a cumplir conforme a los estándares de conducta establecidos en el boletín del Secretario General ST/SGB/2003/13 del 9 de Octubre de 2003, titulado “Medidas Especiales para Proteger contra la Explotación y el Abuso Sexual” y el ST/SGB/2002/9 del 18 de Junio de 2002, titulado “Estatuto relativo a la Condición y a los Derechos y Deberes básicos de los Funcionarios que no forman parte del personal de la Secretaría y de los Expertos en Misión”.

FUNCIONARIO AUTORIZADO:

CONTRATISTA INDIVIDUAL:

Programa de Naciones Unidas para el Desarrollo

Nombre; _____

Nombre;

Firma; _____

Firma; _____

Fecha; _____

Fecha;

CONDICIONES GENERALES PARA CONTRATOS DE SERVICIOS DE CONTRATISTAS INDIVIDUALES

1. CONDICIÓN JURÍDICA

Se considerará que el Contratista Individual tiene la condición jurídica de un contratista independiente con respecto al Programa de las Naciones Unidas para el Desarrollo (UNDP), y no será considerado bajo ningún concepto, como “miembro del personal” del UNDP, en virtud del Reglamento del Personal de la ONU, o como “funcionario” del UNDP, en virtud de la Convención de Privilegios e Inmunidades de las Naciones Unidas, adoptada por la Asamblea General de las Naciones Unidas el 13 de Febrero de 1946. Del mismo modo, ninguna disposición dentro del presente Contrato o con relación al mismo establecerá la relación de empleado y empleador, mandante y agente, entre el UNDP y el Contratista Individual. Los funcionarios, representantes, empleados o subcontratistas del UNDP y del Contratista Individual, si hubiere, no se considerarán bajo ningún concepto como empleados o agentes del otro, y el UNDP y el Contratista Individual serán los únicos responsables de todo reclamo que pudiere surgir de la contratación de dichas personas o entidades o con relación a la misma.

2. ESTÁNDARES DE CONDUCTA

En General: El Contratista Individual no solicitará ni aceptará instrucciones de ninguna autoridad externa al UNDP en relación con el desempeño de sus obligaciones conforme a las disposiciones del presente Contrato. En caso de que cualquier autoridad externa al UNDP buscare imponer cualquier instrucción sobre el presente Contrato, con respecto al desempeño del Contratista Individual en virtud del presente Contrato, el mismo deberá notificar de inmediato al UNDP y brindar toda asistencia razonable requerida por el UNDP. El Contratista Individual evitará cualquier acción que pudiera afectar de manera adversa al UNDP y llevará a cabo los servicios comprometidos bajo este Contrato velando en todo momento por los intereses del UNDP. El Contratista Individual garantiza que ningún funcionario, representante, empleado o agente del UNDP ha recibido o recibirá ningún beneficio directo o indirecto como consecuencia del presente Contrato o de su adjudicación por parte del Contratista. El Contratista Individual deberá cumplir con toda ley, decreto, norma y reglamento a los cuales se encuentre sujeto el presente Contrato. Asimismo, en el desempeño de sus obligaciones, el Contratista Individual deberá cumplir con los estándares de conducta establecidos en el Boletín del Secretario General ST/SGB/2002/9 del 18 de junio de 2002, titulado “Estatuto relativo a la Condición y a los Derechos y Deberes básicos de los funcionarios que no forman parte del personal de la Secretaría y de los Expertos en Misión”. El Contratista Individual deberá cumplir con todas las Normas de Seguridad emitidas por el UNDP. El incumplimiento de dichas normas de seguridad constituye los fundamentos para la rescisión del Contrato individual por causa justificada.

Prohibición de Explotación y Abuso Sexual: En el desempeño del presente Contrato, el Contratista Individual deberá cumplir con los estándares de conducta establecidos en el boletín del Secretario General ST/SGB/2003/13 del 9 de octubre de 2003, titulado “Medidas Especiales para Proteger contra la Explotación y el Abuso Sexual”. Específicamente, el Contratista Individual no se involucrará en conducta alguna que pueda constituir la explotación o el abuso sexual, como se define en el boletín.

El Contratista Individual reconoce y acuerda que el incumplimiento de cualquier disposición del presente Contrato constituye un incumplimiento de una cláusula esencial del mismo y, junto con otros derechos jurídicos o soluciones jurídicas disponibles para cualquier persona, se considerará como fundamento para la rescisión del presente Contrato. Asimismo, ninguna disposición establecida en el presente limitará el derecho del UNDP de referir cualquier incumplimiento de los estándares de conducta antemencionados a las autoridades nacionales pertinentes para tomar la debida acción judicial.

3. DERECHOS INTELECTUALES, PATENTES Y OTROS DERECHOS DE PROPIEDAD

El derecho al equipamiento y los suministros que pudieran ser proporcionados por el UNDP al Contratista Individual para el desempeño de cualquier obligación en virtud del presente Contrato deberá permanecer con el UNDP y dicho equipamiento deberá devolverse al UNDP al finalizar el presente Contrato o cuando ya no sea necesario para el Contratista Individual. Dicho equipamiento, al momento de devolverlo al UNDP, deberá estar en las mismas condiciones que cuando fue entregado al Contratista Individual, sujeto al deterioro normal. El Contratista Individual será responsable de compensar al UNDP por el equipo dañado o estropeado independientemente del deterioro normal del mismo.

El UNDP tendrá derecho a toda propiedad intelectual y otros derechos de propiedad incluyendo pero no limitándose a ello: patentes, derechos de autor y marcas registradas, con relación a productos, procesos, inventos, ideas, conocimientos técnicos, documentos y otros materiales que el Contratista Individual haya preparado o recolectado en consecuencia o durante la ejecución del presente Contrato, y el Contratista Individual reconoce y acuerda que dichos productos, documentos y otros materiales constituyen trabajos llevados a cabo en virtud de la contratación del UNDP. Sin embargo, en caso de que dicha propiedad intelectual u otros derechos de propiedad consistan en cualquier propiedad intelectual o derecho de propiedad del Contratista Individual: (i) que existían previamente al desempeño del Contratista Individual de sus obligaciones en virtud del presente Contrato, o (ii) que el Contratista Individual pudiera desarrollar o adquirir, o pudiera haber desarrollado o adquirido, independientemente del desempeño de sus obligaciones en virtud del presente Contrato, el UNDP no reclamará ni deberá reclamar interés de propiedad alguna sobre la misma, y el Contratista Individual concederá al UNDP una licencia perpetua para utilizar dicha propiedad intelectual u otro derecho de propiedad únicamente para el propósito y para los requisitos

del presente Contrato. A solicitud del UNDP, el Contratista Individual deberá seguir todos los pasos necesarios, legalizar todos los documentos necesarios y generalmente deberá garantizar los derechos de propiedad y transferirlos al UNDP, de acuerdo con los requisitos de la ley aplicable y del presente Contrato.

Sujeto a las disposiciones que anteceden, todo mapa, dibujo, fotografía, mosaico, plano, informe, cálculo, recomendación, documento y toda información compilada o recibida por el Contratista Individual en virtud del presente Contrato será de propiedad del UNDP; y deberá encontrarse a disposición del UNDP para su uso o inspección en momentos y lugares razonables y deberá ser considerada como confidencial y entregada únicamente a funcionarios autorizados del UNDP al concluir los trabajos previstos en virtud del presente Contrato.

4. NATURALEZA CONFIDENCIAL DE LOS DOCUMENTOS Y DE LA INFORMACIÓN.

La información considerada de propiedad del UNDP o del Contratista Individual y que es entregada o revelada por una de las Partes ("Revelador") a la otra Parte ("Receptor") durante el cumplimiento del presente Contrato, y que es designada como confidencial ("Información"), deberá permanecer en confidencia de dicha Parte y ser manejada de la siguiente manera: el Receptor de dicha información deberá llevar a cabo la misma discreción y el mismo cuidado para evitar la revelación, publicación o divulgación de la Información del Revelador, como lo haría con información similar de su propiedad que no desea revelar, publicar o divulgar; y el Receptor podrá utilizar la Información del Revelador únicamente para el propósito para el cual le fue revelada la información. El Receptor podrá revelar Información confidencial a cualquier otra parte mediante previo acuerdo por escrito con el Revelador, así como con los empleados, funcionarios, representantes y agentes del Receptor que tienen necesidad de conocer dicha Información para cumplir con las obligaciones del Contrato. El Contratista Individual podrá revelar Información al grado requerido por ley, siempre que se encuentre sujeto y sin excepción alguna a los Privilegios e Inmidades del UNDP. El Contratista Individual notificará al UNDP con suficiente antelación, cualquier solicitud para revelar Información de manera tal que le permita al UNDP un tiempo razonable para tomar medidas de protección o cualquier otra acción adecuada previa a dicha revelación. El UNDP podrá revelar la Información al grado requerido de conformidad a la Carta de las Naciones Unidas, a las resoluciones o reglamentos de la Asamblea General o los otros organismos que gobierna, o a las normas promulgadas por el Secretario General. El Receptor no se encuentra impedido de revelar la Información obtenida por un tercero sin restricciones; revelada por un Revelador a un tercero sin obligación de confidencialidad; que el Receptor conoce de antemano; o que ha sido desarrollada por el Receptor de manera completamente independiente a cualquier Información que le haya sido revelada en virtud del presente Contrato. Las obligaciones y restricciones de confidencialidad mencionadas se encontrarán vigentes durante la duración del Contrato, incluyendo cualquier extensión del mismo; y, a menos que se disponga de otro modo en el Contrato, permanecerán vigentes una vez rescindido el Contrato.

5. SEGURO MÉDICO Y DE VIAJE Y SEGURO POR FALLECIMIENTO, ACCIDENTE O ENFERMEDAD

En caso de que el UNDP requiera que el Contratista Individual viaje más allá de la distancia habitual de la residencia del mismo, y bajo previo acuerdo por escrito, dicho viaje será cubierto por el UNDP. Dicho viaje será en categoría económica cuando sea realizado por avión.

El UNDP podrá requerir que el Contratista Individual presente un Certificado de Buena Salud emitido por un médico autorizado antes de comenzar con el trabajo en cualquiera de las oficinas o predios del UNDP o antes de comprometerse para cualquier viaje requerido por el UNDP o con relación al desempeño del presente Contrato. El Contratista Individual deberá brindar dicho Certificado de Buena Salud lo antes posible una vez se le haya requerido, y antes de comprometerse para cualquier viaje, y el Contratista Individual garantiza la veracidad de dicho Certificado, incluyendo, pero no limitándose a ello, la confirmación de que el Contratista Individual ha sido completamente informado sobre los requisitos de inoculación para el país o los países a los cuales el viaje sea autorizado.

En caso de fallecimiento, accidente o enfermedad del Contratista Individual atribuible al desempeño de servicios en nombre del UNDP en virtud de los términos del presente Contrato mientras que el Contratista Individual se encuentra viajando a expensas del UNDP o desempeñando cualquier servicio en virtud del presente Contrato en cualquier oficina o predio del UNDP, el Contratista Individual o sus empleados, tendrán derecho a indemnización, equivalente a aquella brindada en virtud de la póliza de seguros del UNDP, disponible bajo petición.

6. PROHIBICIÓN PARA CEDER; MODIFICACIONES

El Contratista no podrá ceder, transferir, dar en prenda o enajenar el presente Contrato, en todo o en parte, ni sus derechos, títulos u obligaciones en virtud del mismo, salvo que contará con el consentimiento escrito previo del UNDP, y cualquier intento de lo antedicho

será anulado e invalidado. Los términos y condiciones de cualquier trámite adicional, licencias u otras formas de consentimiento con respecto a cualquier bien o servicio a ser brindado en virtud del presente Contrato no será válido ni vigente contra el UNDP ni constituirá de modo alguno un Contrato para el UNDP, a menos que dicho trámite, licencia u otros formatos de Contratos son el sujeto de un trámite válido por escrito realizado por el UNDP. Ninguna modificación o cambio del presente Contrato será considerado válido o vigente contra el UNDP a menos que sea dispuesto mediante enmienda válida por escrito al presente Contrato firmada por el Contratista Individual y un funcionario autorizado o una autoridad reconocida del UNDP para contratar.

7. SUBCONTRATACIÓN

En el caso en que el Contratista Individual requiriera de los servicios de subcontratistas para desempeñar cualquier obligación en virtud del presente Contrato, el Contratista Individual deberá obtener la aprobación previa por escrito del UNDP para todos los subcontratistas.

El UNDP podrá, a su discreción, rechazar cualquier subcontratista propuesto o exigir su remoción sin justificación alguna y dicho rechazo no dará derecho al Contratista Individual de reclamar ningún retraso en el desempeño o de mencionar excusas para el incumplimiento de cualquiera de sus obligaciones en virtud del presente Contrato. El Contratista Individual será el único responsable de todos los servicios y obligaciones prestados/as por sus subcontratistas. Los términos de todos los subcontratos estarán sujetos y deberán ajustarse a las disposiciones del presente Contrato.

8. UTILIZACIÓN DEL NOMBRE, EMBLEMA O SELLO OFICIAL DE LAS NACIONES UNIDAS

El Contratista Individual no publicitará o hará público el hecho de que está prestando servicios para el UNDP para su beneficio comercial o su activo, ni utilizará de modo alguno el nombre, emblema o sello oficial del UNDP o abreviatura alguna del nombre del UNDP con fines vinculados a su actividad comercial o con cualquier otro fin.

9. INDEMNIZACIÓN

El Contratista indemnizará, defenderá y mantendrá indemne a su costa al UNDP, a sus funcionarios, agentes y empleados contra todos los juicios, reclamos, demandas y responsabilidades de toda naturaleza o especie, incluidos todos los costos y gastos por litigios, honorarios de abogados, pagos y daños de liquidación, basándose o que surjan de o con relación a: (a) alegatos o reclamos sobre el uso por parte del UNDP de cualquier artículo patentado, material protegido por derechos de autor o por otros bienes o servicios brindados para el UNDP para su uso en virtud de los términos del presente Contrato, en todo o en parte, en conjunto o por separado, constituye una infracción de cualquier patente, derechos de autor, derechos de marca u otros derechos intelectuales de terceros; o (b) cualquier acto u omisión del Contratista Individual o de cualquier subcontratista o de cualquier persona empleada directa o indirectamente por los mismos para la ejecución del presente Contrato, que pudiera derivar en responsabilidad jurídica de cualquier parte ajena al presente Contrato, incluyendo pero no limitándose a ello, reclamos y responsabilidades que se vinculen con indemnizaciones por accidentes de trabajo de los empleados.

10. SEGUROS

El Contratista Individual deberá pagar al UNDP de inmediato por toda pérdida, destrucción o daño a la propiedad del UNDP causada por el Contratista Individual o por cualquier subcontratista, o por cualquier persona empleada en forma directa o indirecta por los mismos para la ejecución del presente Contrato. El Contratista Individual es el único responsable de tomar y mantener un seguro apropiado requerido para cumplir con todas sus obligaciones en virtud del presente Contrato. Asimismo, el Contratista Individual será el responsable de tomar a su costo, todo seguro de vida, salud o cualesquiera otros seguros que considere apropiados para cubrir el período durante el cual el Contratista Individual deberá prestar sus servicios en virtud del presente Contrato. El Contratista Individual reconoce y acuerda que ninguno de los arreglos de contratación de seguros que el Contratista Individual pudiera realizar, serán interpretados como una limitación de la responsabilidad del mismo que pudiera surgir en virtud del presente Contrato o con relación al mismo.

11. EMBARGO PREVENTIVO Y DERECHO DE GARANTÍA REAL El Contratista Individual no provocará ni permitirá que un derecho de garantía real, embargo preventivo o gravamen constituido o trabado por alguna persona sea incluido o permanezca en el expediente de cualquier oficina pública o en un archivo del UNDP para cobrar cualquier deuda monetaria vencida o por vencerse al Contratista Individual y que se le deba en virtud del trabajo realizado o por bienes o materiales suministrados conforme al presente Contrato o en razón de cualquier otra demanda o reclamo contra el Contratista Individual.

12. FUERZA MAYOR; OTRAS MODIFICACIONES EN LAS CONDICIONES.

En el caso de cualquier evento de fuerza mayor y tan pronto como sea posible a partir de que el mismo haya tenido lugar, el Contratista Individual comunicará este hecho por escrito con todos los detalles correspondientes al UNDP, así como de cualquier cambio que tuviera lugar si el Contratista Individual no pudiera, por este motivo, en todo o en parte, llevar a cabo sus obligaciones ni cumplir con sus responsabilidades bajo el presente Contrato. El Contratista Individual también notificará al UNDP sobre cualquier otra modificación en las condiciones o sobre la aparición de cualquier acontecimiento que interfiriera o amenazaría interferir con la ejecución del presente Contrato. El Contratista Individual deberá presentar también un estado de cuenta al UNDP sobre los gastos estimados que seguramente serán incurridos durante el cambio de condiciones o el acontecimiento, no más de quince (15) días a partir de la notificación de fuerza mayor o de otras modificaciones en las condiciones u otro acontecimiento. Al recibir la notificación requerida bajo esta cláusula, el UNDP tomará las acciones que, a su criterio, considere convenientes o necesarias bajo las circunstancias dadas, incluyendo la aprobación de una extensión de tiempo razonable a favor del Contratista Individual para que el mismo pueda llevar a cabo sus obligaciones bajo el presente Contrato.

En caso de que el Contratista Individual no pudiera cumplir con las obligaciones contraídas bajo el presente Contrato, ya sea parcialmente o en su totalidad, en razón del evento de fuerza mayor ocurrido, el UNDP tendrá el derecho de suspender o rescindir el presente Contrato en los mismos términos y condiciones previstos en el Artículo titulado "Rescisión", salvo que el período de preaviso será de cinco (5) días en lugar de cualquier otro período de notificación. En cualquier caso, el UNDP tendrá derecho a considerar al Contratista Individual como permanentemente incapaz de prestar sus obligaciones en virtud del presente Contrato en caso de que el Contratista Individual sufriera un período de suspensión en exceso de treinta (30) días. Fuerza mayor, tal como se la entiende en esta cláusula, significa actos fortuitos, de guerra (declarada o no) invasión, revolución, insurrección u otros actos de naturaleza o fuerza similar, siempre que dichos actos surjan por causas ajenas al control, falta o negligencia del Contratista Individual. El Contratista Individual reconoce y acuerda que, con respecto a cualquier obligación en virtud del presente Contrato que el mismo deberá desempeñar en o para cualquier área en la cual el UNDP se vea comprometido, o se prepare para comprometerse, o para romper el compromiso con cualquier operación de paz, humanitaria o similar, cualquier demora o incumplimiento de dichas obligaciones que surjan o que se relacionen con condiciones extremas dentro de dichas áreas o cualquier incidente de disturbio civil que ocurra en dichas áreas, no se considerarán como tal, casos de fuerza mayor, en virtud del presente Contrato.

13. RESCISIÓN

Cualquiera de las partes podrá rescindir el presente Contrato, en su totalidad o parcialmente, notificando a la otra parte por escrito. El período de notificación será de cinco (5) días para contratos con una duración menor a dos (2) meses; y catorce (14) días para contratos con mayor duración. La iniciación de un procedimiento arbitral o de conciliación según la cláusula que se indica más abajo, no se considerará como "justificación", ni en sí misma una rescisión del presente Contrato.

El UNDP podrá sin perjuicio de ningún otro derecho o recurso al que pudiera tener lugar, rescindir el presente Contrato en caso de que: (a) el Contratista Individual fuera declarado en quiebra o sujeto a liquidación judicial o fuera declarado insolvente, o si el Contratista Individual solicitara una moratoria sobre cualquier obligación de pago o reembolso, o solicitara ser declarado insolvente; (b) se le concediera al Contratista Individual una moratoria o se le declarara insolvente; el Contratista Individual cediera sus derechos a uno o más de sus acreedores; (c) se nombrara a algún Beneficiario a causa de la insolvencia del Contratista Individual, (d) el Contratista Individual ofrezca una liquidación en lugar de quiebra o sindicatura; o (e) el UNDP determine en forma razonable que el Contratista Individual se encuentra sujeto a un cambio materialmente adverso en su condición financiera que amenaza con dañar o afectar en forma sustancial la habilidad del Contratista Individual para desempeñar cualesquiera de sus obligaciones en virtud del presente Contrato. En caso de cualquier rescisión del Contrato, mediante recibo de notificación de rescisión por parte del UNDP, el Contratista Individual deberá, excepto a como pudiera ser ordenado por el UNDP en dicha notificación de rescisión o por escrito: (a) tomar de inmediato los pasos para cumplir con el desempeño de cualquier obligación en virtud del presente Contrato de manera puntual y ordenada, y al realizarlo, reducir los gastos al mínimo; (b) abstenerse de llevar a cabo cualquier compromiso futuro o adicional en virtud del presente Contrato a partir de y luego de la fecha de recepción de dicha notificación; (c) entregar al UNDP en virtud del presente Contrato, todo plano, dibujo, toda información y cualquier otra propiedad completados/as en su totalidad o parcialmente; (d) desempeñar por completo el trabajo no terminado; y (e) llevar a cabo toda otra acción que pudiera ser necesaria, o que el UNDP pudiera ordenar por escrito, para la protección

y preservación de cualquier propiedad, ya sea tangible o intangible, con relación al presente Contrato que se encuentre en posesión del Contratista Individual y sobre el cual el UNDP tiene o pudiera tener un interés.

En caso de cualquier tipo de rescisión del presente Contrato, el UNDP únicamente tendrá la obligación de pagar al Contratista Individual una indemnización en forma prorrateada por no más del monto real del trabajo brindado a satisfacción del UNDP de acuerdo con los requisitos del presente Contrato. Los gastos adicionales incurridos por el UNDP que resulten de la rescisión del Contrato por parte del Contratista Individual podrán ser retenidos a causa de cualquier suma que el UNDP le deba al Contratista Individual.

14. NO-EXCLUSIVIDAD

El UNDP no tendrá obligación o limitación alguna con respecto a su derecho de obtener bienes del mismo tipo, calidad y cantidad, o de obtener cualquier servicio del tipo descrito en el presente Contrato, de cualquier fuente en cualquier momento.

15. EXENCIÓN IMPOSITIVA

El Artículo II, sección 7 de la Convención sobre Privilegios e Inmidades de las Naciones Unidas dispone, entre otras cosas, que las Naciones Unidas, incluidos sus órganos subsidiarios, quedarán exentos del pago de todos los impuestos directos, salvo las tasas por servicios públicos; además se exime a las Naciones Unidas de pagar los derechos aduaneros e impuestos similares en relación con los artículos importados o exportados para uso oficial. Si alguna autoridad de gobierno se negase a reconocer la exención impositiva de las Naciones Unidas en relación con dichos impuestos, derechos o cargos, el Contratista Individual consultará de inmediato al UNDP a fin de determinar un procedimiento que resulte aceptable para ambas partes. El UNDP no tendrá responsabilidad alguna por concepto de impuestos, derechos u otros cargos similares a ser pagados por el Contratista Individual con respecto a cualquier monto pagado al Contratista Individual en virtud del presente Contrato, y el Contratista Individual reconoce que el UNDP no emitirá ningún estado de ingresos al Contratista Individual con respecto a cualesquiera de los pagos mencionados.

16. AUDITORIA E INVESTIGACIÓN

Cada factura pagada por el UNDP será objeto de una auditoría post pago realizada por auditores, tanto internos como externos del UNDP o por otros agentes autorizados o calificados del UNDP en cualquier momento durante la vigencia del Contrato y por un período de dos (2) años siguientes a la expiración del Contrato o previa terminación del mismo. El UNDP tendrá derecho a un reembolso por parte del Contratista Individual por los montos que según las auditorías fueron pagados por el UNDP a otros rubros que no están conforme a los términos y condiciones del Contrato. El Contratista Individual reconoce y acepta que, de vez en cuando, el UNDP podrá llevar a cabo investigaciones relacionadas con cualquier aspecto del Contrato o al otorgamiento mismo sobre las obligaciones desempeñadas bajo el Contrato, y las operaciones del Contratista Individual generalmente en relación con el desarrollo del Contrato... El derecho del UNDP para llevar a cabo una investigación y la obligación del Contratista Individual de cumplir con dicha investigación no se extinguirán por la expiración del Contrato o previa terminación del mismo. El Contratista Individual deberá proveer su plena y oportuna cooperación con las inspecciones, auditorías posteriores a los pagos o investigaciones. Dicha cooperación incluirá, pero no se limita a la obligación del Contratista Individual de poner a disposición su personal y la documentación pertinente para tales fines en tiempos razonables y en condiciones razonables y de conceder acceso al UNDP a las instalaciones del Contratista Individual en momentos razonables y condiciones razonables en relación con este acceso al personal del Contratista Individual y a la documentación pertinente. El Contratista Individual exigirá a sus agentes, incluyendo, pero no limitándose a ello, sus abogados, contadores u otros asesores, cooperar razonablemente con las inspecciones, auditorías posteriores a los pagos o investigaciones llevadas a cabo por el UNDP.

17. RESOLUCIÓN DE CONFLICTOS

Resolución Amigable: El UNDP y el Contratista Individual realizarán todos los esfuerzos posibles para resolver en forma amigable cualquier disputa, controversia o reclamo que surgiese en relación con el presente Contrato o con alguna violación, rescisión o invalidez vinculada al mismo. En caso de que las partes desearan buscar una solución amigable a través de un proceso de conciliación, el mismo tendrá lugar de acuerdo con las Reglas de Conciliación de la CNUDMI (en inglés, UNCITRAL) vigentes en ese momento o conforme a cualquier otro procedimiento que puedan acordar las partes.

Arbitraje: A menos que las disputas, controversias o reclamos que surgieran entre las Partes con relación al presente Contrato, o con el incumplimiento, rescisión o invalidez del mismo, se resolvieran amigablemente de acuerdo con lo estipulado anteriormente, dicha disputa, controversia o reclamo podrá ser presentada por cualquiera de las Partes para la iniciación de un proceso de arbitraje según el

Reglamento de Arbitraje de la CNUDMI vigente en ese momento. Las decisiones del tribunal arbitral estarán basadas en principios generales de Derecho Comercial

Internacional. Para todo interrogatorio en busca de evidencia, el tribunal arbitral deberá guiarse por el Reglamento Suplementario que Gobierna la Presentación y Recepción de la Evidencia en Arbitraje Comercial Internacional de la Asociación Internacional de Abogados, edición 28 de mayo de 1983. El tribunal arbitral tendrá el derecho de ordenar la devolución o destrucción de los bienes o de cualquier propiedad, ya sea tangible o intangible, o de cualquier información confidencial brindada en virtud del presente Contrato, u ordenar la rescisión del Contrato, u ordenar que se tome cualquier otra medida preventiva con respecto a los bienes, servicios o cualquier otra propiedad, ya sea tangible o intangible, o de cualquier información confidencial brindada en virtud del presente Contrato, en forma adecuada, y de conformidad con la autoridad del tribunal arbitral según lo dispuesto en el Artículo 26 (“Medidas Provisionales de Protección”) y el Artículo 32 (“Forma y Efecto de la Adjudicación”) del Reglamento de Arbitraje de la CNUDMI. El tribunal arbitral no tendrá autoridad para determinar sanciones punitivas. Asimismo, a menos que se exprese de otro modo en el Contrato, el tribunal arbitral no tendrá autoridad alguna para adjudicar intereses que excedan la tasa LIBOR vigente al momento, y cualquier interés deberá ser interés simple únicamente. Las Partes estarán obligadas por el fallo arbitral resultante del citado proceso de arbitraje a modo de resolución final para toda controversia, reclamo o disputa.

18. PRIVILEGIOS E INMUNIDADES

Nada que estuviere estipulado en el presente Contrato o que con el mismo se relacionare, se considerará como renuncia, expresa o tácita, a los Privilegios e Inmunidades de las Naciones Unidas incluyendo a sus órganos subsidiarios.

Anexo 1: Criterios, técnicas y consideraciones para el recojo de información

Criterios:

- Pertinencia cultural del lenguaje: las preguntas que se realicen a las y los participantes en base a las Guías de entrevista, se adecuarán al contexto sociocultural del(a) informante, organización u otro tipo de actor que se está abordando, de tal manera que sean claras y simples de entender, y evitando el uso de tecnicismos. Asimismo, en los casos que sea necesario se coordinará con el Proyecto a fin de contar con la colaboración de un(a) intérprete de la lengua nativa que se requiera.
- Representatividad de las etnias del ámbito de influencia: en la medida que las condiciones de acceso e itinerario lo permitan, durante el recojo de información se abordarán a informantes de las etnias presentes en el ámbito del proyecto.
- Representatividad de género y grupo étnico: se tomarán las medidas necesarias para facilitar que en los talleres, grupos focales o entrevistas, se cuente con asistencia y participación de hombres y mujeres; personas jóvenes, adultas y ancianas, así como autoridades, líderes y personas que no ocupan un cargo específico.

Técnicas:

- Observación directa:
Esta técnica se aplicará durante todo el trabajo de campo. El recojo de información será mediante la observación participante y el registro de fotografías (por ejemplo para las visitas en campo). Ambos servirán para complementar la información que se recoja mediante las entrevistas, talleres y grupos focales.
- Entrevistas semi-estructuradas:

Para el caso de actores institucionales u otros que representan algún nivel organizativo de base o de la sociedad civil, tales como representantes de Gobierno Regional, Municipalidad, organizaciones no gubernamentales, entre otros. Se contará con una Guía para las entrevistas, diferenciada por tipo de actor (público gubernamental, representante de la sociedad civil, representante de organización local). El equipo evaluador realizará entrevistas en Ucayali, Cusco, Pasco y Lima.

- Reuniones - taller y grupos focales:

Se realizarán con las organizaciones que se han vinculado al Proyecto por su rol en la gestión de áreas protegidas u ordenamiento del territorio, tales como Ejecutores de Contrato de Administración, Comités de Gestión, y en caso se identificara la necesidad de abordar una comunidad o grupo específico de población local. También se empleará esta técnica con el equipo del Proyecto. El equipo evaluador realizará talleres o grupos focales en Ucayali, Cusco, Pasco y Lima.

- Espacios no formales de conversación:

De ser necesario complementar la información recogida mediante las técnicas arriba señaladas, se utilizarán espacios no formales de comunicación que surjan durante la estancia en las regiones.

- Visitas de campo:

Además de las entrevistas, talleres y grupos focales, el Equipo Evaluador realizará visitas a la infraestructura, actividades demostrativas, y otra acciones realizadas por el proyecto que permitan complementar o ampliar el recojo de información.

Otras consideraciones para el recojo de información con organizaciones indígenas o en las comunidades:

- Se tendrá en cuenta horarios que faciliten la participación de hombres y mujeres, adultos, jóvenes y ancianos.
- La invitación a los talleres será explícita para los hombres y las mujeres.
- En la medida de lo posible se buscará que los talleres se realicen en las comunidades, a fin de facilitar la participación de las mujeres.
- De requerirse, se deberá contar con una traductor y traductora para las reuniones – taller o entrevistas con informantes clave.

Annex 2: Methodology and techniques used for data collection during the field misión

Methodology:

The proposed methodology is oriented towards the objectives defined for the Mid Term Review and proposes to carry out a review of the progress of the implementation of the project, review the achievements in the realization of its products, determine the impacts generated and evaluate the lessons learned until now.

In general, the evaluation will be guided by the guidelines defined in the UNDP Guide for Mid-Term Review and its stated objectives. The methods and methodological instruments that will be developed and used in the evaluation process are:

- Evaluation matrix
- Documentary analysis
- In-depth interviews with key informants and meetings-workshop
- If necessary, work will be carried out with focus groups
- Direct observation / visits to the implementation sites

At all times during the evaluation, a participatory and inclusive approach will be used based on a powerful mix of data accuracy derived from programmatic, financial and monitoring documents, and a reasonable level of stakeholder participation. The evaluation process aims to reach clear conclusions about the different phases of the project, and the activities carried out with respect to their contribution to the initial objectives of the project. The analysis of the results of each phase will focus on the products and results achieved in the project's target results.

The execution of the EMT requires, on the one hand, appropriate methodological tools and specialized technical knowledge, and, on the other hand, the commitment and active participation of the counterparts is required.

For this reason, the first coordination meeting was held on Wednesday, September 12, with the aim of presenting the consultant team and starting an induction to the project. In addition, in this space the coordination mechanisms between the consultant and the designated counterparts will be defined, that is, the communication channels will be established, the direct supervision of the consultancy and the coordination of information delivery, delivery of products and organization of the mission. In addition, in this meeting the consultant team

will request the necessary information to start the consultancy, in this sense, this team will be in charge of following up on the delivery of the documentation in the established times.

Transversal criteria during the Evaluation: gender, interculturality and human rights

Considering the link between the approaches of gender and interculturality with that of human rights, it can be said that they will be addressed jointly during the MTR.

From the perspective of gender and interculturality, the MTR will review the extent to which the project design contemplated different impacts on men and women, and among the 19 ethnic groups in the scope of implementation of the Project, if they are contemplated differently in the Project. Development perspectives, and if the budget has specific items for gender and intercultural issues at the level of results, products and planned activities.

It will be reviewed to what extent monitoring and monitoring of the Project addresses the impact of the Project on gender equity and intercultural relations, if conflicts or limitations have been identified for the participation of women related to cultural issues, what are the mechanisms for monitor in a differentiated way by gender and ethnic origin the participation of the actors in the activities promoted by the Project and in the benefits derived from it. The gender balance will also be reviewed in the Project Board and team, and their ability to incorporate the approaches into the Project.

During the Mission in the field, the project will be reviewed in terms of gender equity, how the Project relates to men and women and how it addresses intercultural relations among the actors, what effects it has had on women and men) actors differentiated by sex and ethnic origin. It will identify, if it is the case, unplanned results, and potential negative impacts on gender equity and intercultural relations and will propose the corresponding mitigation measures. If required, the MRT will recommend results as well as complementary indicators sensitive to gender and the intercultural approach that facilitate the incorporation of these approaches in the execution of the Project.

From a human rights perspective, the MTR will also identify to what extent the Project design is aligned with the SDGs, and will seek to answer if the vulnerable groups are identified, how their integration is facilitated in the processes promoted by the Project and if these processes contribute to the empowerment to exercise their rights, what mechanisms are used to monitor access to the benefits of the Project, to what extent in the implementation of the

Project people are considered as key actors for their own development and active agents of change.

Compilation of Primary Information:

The second stage of the Mid-Term Review is related to the mission in the field, which allows enriching the vision of the project context through direct contact with the most representative actors in the implementation of the project, receiving first-hand testimonies about the advances and barriers found so far.

The mission will begin with the presentation of the Consultant Team to the Project Team and other key actors on the methodology to be used in the evaluation process, a work schedule will be displayed and the different products to be delivered. Also, in this meeting the Project Team will make an induction presentation to the consultant about the Project "Transforming Management of Protected Area/Landscape Complexes to Strengthen Ecosystem Resilience " and how it has been executed.

During the mission three methods of information collection will be applied, on the one hand semi-structured interviews, workshop-meetings will be carried out and, on the other, visits to the project's execution sites will be carried out.

Semi-structured Interviews with Key Actors, Visits to Project Implementation Sites and other techniques for gathering information

The consultative approach of the evaluation contemplates conducting interviews with representatives of various sectors (governmental, non - governmental, cooperation agencies, agencies of the System²², indigenous organizations and others related to the management of PANs), this will generate reflections, opinions and other discernments around the various stages of the Project from different sources, resulting in a comprehensive vision of the evaluation process. Methodologically, the interviews allow:

- Obtain information and insights from the people who administer, implement or are beneficiaries of the project.
- The questions are clear and specific, which facilitates obtaining useful information.

²² Initially and according to the ToRs, SERNANP actors, Project Team, Heads of Natural Protected Areas, Project Managers, Regional Managements of NRN and MA of GORE, Executors of Management Contract, Management Committees of ANP's, UNDP will be considered. , WCS, DCI, Amazon EBA Project, among others.

- The organization of the interview according to the evaluation criteria allows to classify the answers to facilitate the elaboration of conclusions.
- Have information to compare with the findings of the documentary review.

A minimum number of 25 interviews is estimated for key actors, implementing partners, project team, beneficiaries and others. It is estimated that each interview lasts less than an hour and will usually be done individually, except in specific cases where the need to interview a group of people is seen; the interviewees will be informed about the confidentiality of their answers.

In the cases of representatives of organizations such as the Executors of Management Contract, Management Committees or others related to the Project, the Board of Directors will be approached as a minimum, and the gathering of information will be through a meeting-workshop.

It will be sought that the selection of people for interviews and meetings-workshop meet criteria of gender, age, ethnicity, among other aspects that favor obtaining information representative of the group or actor that is being addressed.

Criteria:

- Cultural relevance of the language: the questions that are made to the participants based on the interview guidelines, will be adapted to the sociocultural context of the (a) informant, organization or other type of actor that is being addressed, in such a way that be clear and simple to understand, and avoiding the use of technicalities. Likewise, in the cases that are necessary, it will be coordinated with the Project in order to have the collaboration of an interpreter of the native language that is required.
- Representativeness of the ethnic groups in the sphere of influence: to the extent that the conditions of access and itinerary permit it, during the gathering of information, informants of the ethnic groups present in the scope of the project will be approached.
- Representation of gender and ethereal group: the necessary measures will be taken to facilitate the attendance and participation of men and women in workshops, focus groups or interviews; young people, adults and old people, as well as authorities, leaders and people who do not occupy a specific position.

Techniques:

- Direct Observation:
This technique will be applied throughout the fieldwork. The gathering of information will be through participant observation and the registration of photographs (for example, for

field visits). Both will serve to complement the information that is collected through interviews, workshops and focus groups.

- Semi-structured interviews:

In the case of institutional actors or others that represent some level of grassroots organization or civil society, such as representatives of the Regional Government, Municipality, non-governmental organizations, among others. There will be a Guide for interviews, differentiated by type of actor (government public, representative of civil society, representative of local organization). The evaluation team will conduct interviews in Ucayali, Cusco, Pasco and Lima.

- Meetings - workshop and focus groups:

They will be carried out with the organizations that have been linked to the Project for their role in the management of protected areas or territory planning, such as Administration Contract Executors, Management Committees, and in case the need to address a community or group is identified specific to the local population. This technique will also be used with the Project team. The evaluation team will hold workshops or focus groups in Ucayali, Cusco, Pasco and Lima.

- Non-formal conversation spaces:

If it is necessary to complement the information collected through the techniques mentioned above, non-formal communication spaces that arise during the stay in the regions will be used.

- Field visits:

In addition to interviews, workshops and focus groups, the Evaluating Team will visit the infrastructure, demonstration activities, and other actions carried out by the project to complement or expand the collection of information.

Other considerations for the gathering of information with indigenous organizations or in the communities:

- It will take into account schedules that facilitate the participation of men and women, adults, youth and the elderly.
- The invitation to the workshops will be explicit for men and women.
- As far as possible, the workshops will be carried out in the communities, in order to facilitate the participation of women.
- If required, a translator and translator should be available for meetings - workshop or interviews with key informants.

Annex 3: Instruments for the collection of information

1. UNDP, SERNANP - implementing partner and members of the project team

Questions
To what extent is the project relevant to national priorities and the needs of the men and women beneficiaries, as well as the different ethnic groups that inhabit the two landscapes?
Tal como está diseñado el proyecto ¿la lógica de intervención fue adecuada? ¿En términos de género e interculturalidad, hay aspectos que recomendaría mejorar?
As the project is designed, was the intervention logic adequate? In terms of gender and interculturality, are there aspects that I would recommend to improve?
Is the project relevant to the effects of the Country Program? Because otherwise?
To what extent have the effect (outcome) been achieved or how much progress has been made to achieve them?
Is the approach and strategies used adequate for achieving or advancing the expected results?
Is there a good structure that ensures the good participation of all partners?
Are responsibilities between partners well designed and distributed?
What have been the changes, positive or negative, generated by the work of the Project?
Does the target audience and the institutions involved perceive that the objectives have been achieved?
Has there been coordination between the different actors involved in the implementation of the project?
How have the products executed by the project contributed to the achievement of the effects and in what way they have not been effective?
Were the external factors properly considered? How flexible were the different levels of management to adapt to the change?
Is there an implementation strategy?
What is the role of UNDP in the implementation?
Is there a monitoring plan with indicators and baselines to measure the progress and eventual impact of the Project?
What lessons can be identified regarding efficiency?
The logical framework of the project: is it communicated correctly and used as a management tool during the execution of the project at the country level?
What indicators of implementation and impact does the Project use? They are suitable? Do they incorporate gender and intercultural approaches?
Describe the electronic information technologies used to support the application, participation and monitoring, as well as other project activities (including the exchange with the actors of the global project). (for example, web-based training, videoconferences, email, etc.)
Describe the technical capabilities associated with the project and its role in the development of projects, management and achievements.
Describe whether and how the periodic supervision of the activities is carried out during the execution.

Is the information generated by the project correctly disseminated at the country level? How?
How is the participation of the Regional and Local Governments in the execution of the project?
To what extent do these actors support (or not support) the Project?
Describe the training (individual, institutional and systemic) that can be attributed to the Project
What have been the main achievements of the Project?
What achievements would you expect for the remaining implementation period?
What impacts has the Project had?
Could you differentiate these impacts on men and women? And in the different ethnic groups that live in the scope of implementation?
What impacts should the project have on its end?
Is the Project going in the right direction to achieve that impact? What would it change?
To what extent are there financial, institutional, socio-economic and / or environmental risks for the long-term sustainability of the project's results?
How has co-financing in kind and money been in practice?
Describe how the selection, hiring, assignment of experts, consultants and counterpart personnel are carried out
Describe how UNDP and SERNANP collaborate together in the execution of previous tasks
Regarding socio-cultural factors, there have been changes, both foreseen and unforeseen, were these changes well accepted by the beneficiary population and by others?
Have other unforeseen results been achieved in the design of the project?
To what extent has a sustainability strategy been implemented or developed?
Are the men and women beneficiaries committed to continue working on the objectives of the project once it is finished?
What has been the degree of participation and appropriation of the objectives and results by the beneficiary population in the different phases of the project? Can you establish differences by gender or ethnic group?
What has been the support and participation of the institutions involved? Has there been institutional strengthening?
Is there a sustainability strategy applied / planned? Describe it briefly
What indicators exist that the outcomes will be sustainable; for example, through the required capacities (systems, structures, personnel, etc.)?
How do you see the future role of your institution in the implementation / monitoring of the Project?
List what you think may be lessons learned and that should / can be corrected in the future
What recommendations would you make to improve the execution, results or impacts of the Project?

2. Institutional actors

Questions
What is your participation and that of your institution in the development of project activities?
Are the results of the project clear and logical and are they directed towards clearly identified needs?
To what extent do you consider that the project is relevant to national priorities, landscapes, the needs of the men and women beneficiaries, as well as the different ethnic groups that inhabit the two landscapes?
To what extent have the effect (outcome) been achieved or how much progress has been made to achieve them?
What have been the changes, positive or negative, generated by the work of the Project?
Have there been any effects or some kind of policy change?
Does the target audience and the institutions involved perceive that the objectives have been achieved?
Has there been coordination between the different actors involved in the implementation of the project?
Were the external factors properly considered? How flexible were the different levels of management to adapt to the change?
Is there an implementation strategy?
What lessons can be identified regarding efficiency?
Has the project been able to contribute to the achievement of results at the level of effects? If so, are there progresses aimed at results at the effect level?
Is the information generated by the project correctly disseminated at the country level? How?
Which institutions participate in the execution of the project? Are they private or state?
How is the participation of Regional or Local Governments in the execution of the project?
To what extent does the Government support (or not support) the Project?
What have been the main achievements of the Project?
What achievements would you expect from the remaining time for implementation?
What impacts has the Project had? Could you differentiate these impacts on men and women? And in the different ethnic groups that live in the field of implementation?
What impacts should the project have on its end?
Is the Project going in the right direction to achieve that impact? What would it change?

To what extent are there financial, institutional, socio-economic and / or environmental risks for the long-term sustainability of the project's results?

Regarding socio-cultural factors, there have been changes, both foreseen and unforeseen, were these changes well accepted by the beneficiary population and by others?

Have other unforeseen results been achieved in the design of the project?

Are the beneficiaries committed to continue working on the project's objectives once it ends?

What has been the degree of participation and appropriation of the objectives and results by the beneficiary population in the different phases of the project?

In your opinion, the participation of the leaders has been strengthened with the initiative of the project? Do you give examples? (For the evaluator: take into account aspects of participatory democracy, gender, interculturality, age groups and others)

What has been the support and participation of the institutions involved? Has there been institutional strengthening?

Is there a sustainability strategy applied / planned? Describe it briefly

What indicators exist that the outcomes will be sustainable; for example, through the required capacities (systems, structures, personnel, etc.)?

List what you think may be lessons learned and that should / can be corrected in the future

What recommendations would you make to improve the execution, results or impacts of the Project?

3. Executors of Administration Contract and Management Committees

Questions

What is the participation of your organization as Contract Executors in the development of Project activities?

Do you know the current results of implementation? What are the most obvious results so far, can you list them?

Are the objectives and results of the project or its components "useful" for the management of the Reserve? Are they possible to perform during the time planned for execution?

To what extent is the project relevant to the needs of the men and women beneficiaries, as well as the different ethnic groups that live around the Reserve?

In terms of gender and interculturality, how are the approaches implemented? Are there aspects that I would recommend to improve?

Are the results of the project clear and logical and are they directed towards clearly identified needs?

To what extent have the effect (outcome) been achieved or how much progress has been made to achieve them?

Is the approach and strategies used adequate for achieving or advancing the expected results?

What have been the changes, positive or negative, generated by the work of the Project?

Do you perceive that the objectives have been achieved?
Has there been coordination between the different actors involved in the implementation of the project?
How have the products executed by the project contributed to the achievement of the effects and in what way they have not been effective?
Were the external factors properly considered? How flexible were the different levels of management to adapt to the change?
Is there an implementation strategy?
What is the role of UNDP and SERNANP in the implementation?
What lessons can be identified regarding efficiency?
Describe whether and how the periodic supervision of the activities is carried out during the execution.
Is the information generated by the project correctly disseminated? How? Do you know any material with this information? Does the project carry out communication and public awareness activities?
How is the participation of the Regional and Local Governments in the execution of the project?
To what extent do these actors support (or not support) the Project?
Describe the training (individual, institutional and systemic) that can be attributed to the Project
What have been the main achievements of the Project?
What achievements would you expect for the remaining implementation period?
What impacts has the Project had?
Could you differentiate these impacts on men and women? And in the different ethnic groups that live in the scope of implementation?
What impacts should the project have on its end?
Is the Project going in the right direction to achieve that impact? What would it change?
To what extent are there financial, institutional, socio-economic and / or environmental risks for the long-term sustainability of the project's results?
Describe how UNDP and SERNANP collaborate together in the execution of previous tasks
Regarding socio-cultural factors, there have been changes, both foreseen and unforeseen, were these changes well accepted by the beneficiary population and by others?
Have other unforeseen results been achieved in the design of the project?
To what extent has a sustainability strategy been implemented or developed?
Are the men and women beneficiaries committed to continue working on the objectives of the project once it is finished?
In your opinion, the participation of the leaders has been strengthened with the initiative of the project? Do you give examples? (For the evaluator: take into account aspects of participatory democracy, gender, interculturality, age groups and others)
What has been the degree of participation and appropriation of the objectives and results by the beneficiary population in the different phases of the project? Can you establish differences by gender or ethnic group?
What has been the support and participation of the institutions involved? Has there been institutional strengthening?

List what you think may be lessons learned and that should / can be corrected in the future
What recommendations would you make to improve the execution, results or impacts of the Project?
How do you see the future role of your organization in the implementation / monitoring of the activities promoted by the Project?
In your opinion, the participation of the leaders has been strengthened with the initiative of the project? Do you give examples? (For the evaluator: take into account aspects of participatory democracy, gender, interculturality, age groups and others)
For the RCTs: In your opinion, as a representative of the ECA, is the project helping to strengthen the capacities and role of the communities? What extent? Can you give an example?

4. Communities

Questions
How does your community participate in the activities promoted with the Project? (meetings, training workshops, productive systems, others)
Do you know the objectives of the Project and the results that are expected?
Who is the Project working with in the Community?
What changes have you observed in your daily activities, due to climate change? Could you give us examples?
Does the Project provide information to the Community? On what topics? Carry out the project communication actions and public awareness? And on what topics? What is sought with this information?
What training have you received from the project? Who has received them (women, men, youth, adults and the elderly)?
What is the technical assistance, project support, useful for you?
In your opinion, what important activities of the project require more attention? What would be more attention? Could you give examples?
What difficulties or barriers could the project find to continue its implementation? Would these difficulties affect the achievement of the objectives?
In your opinion, will the results of this Project be maintained over time? Will families continue to develop the activities initiated with the Project?
What is the technical assistance, project support, useful for you?
In your opinion, what important activities of the project require more attention? What would be more attention? Could you give examples?
What difficulties or barriers could the project find to continue its implementation? Would these difficulties affect the achievement of the objectives?
In your opinion, will the results of this Project be maintained over time? Will families continue to develop the activities initiated with the Project?

Annex 4: Sample for the Evaluation

Landscape	Ambit	Outcome 1			Outcome 2	
		Creation of AC	Strengthening existing AC	NPA	Resilient Productive Systems	Planificación territorial
PUMA	Yurúa	CC Yurúa			Areas in Tayakome Areas around RC Amarakaeri Areas in Ivochote, Lacco-Yavero, Bellavista	
	Purús					
	Sepahua	CC Sepahua Inuya				
	Madre de Dios		ACP Machusaniaca I	PN Alto Purús PN Manu SN Megantoni RC Purús RC Amarakaeri		
		ZA Marcapata Collana				
		ZaCollasuyo	ACP Machusaniaca II			
Cusco		ACR Ausangate	ACP Japu			
		ACR Marcapata Camanti	ACP Fundo Cadena			
		Predio Quincemil Arazá	CC Soqtapata			
YESI	Pto. Bermúdez			PN Yanachaga Chemillén BP San Matías San Carlos RC El Sira RC Yanesha	Areas in Cuenca del Pichis	PDLC / PEI
	Iscozacín				Community Santa Rosa de Chuchurras	
	Villa Rica		ACM Sho'llet		Road Areas Oxapampa - Huancabamba	
		ACR Codo de Pozuzo				
	Oxapampa	ACP Huachón				
		ACR Chontabamba - Huancabamba				
		On-site visits			Interviews and meetings workshop	

Annex 5: Itinerary of the mission of the MTR

Place	Information gathering technique	Dates
Lima	Interviews, meetings	12, 24 – 25 set / 08 – 11 Oct
Ucayali	Interviews	25 – 28 Set
Pasco	Interviews and on-site visits	28 Set – 03 Oct
Cusco	Interviews	04 – 07 Oct

Annex 6: List of people interviewed in Lima, Ucayali, Pasco and Cusco

Interviews and meetings in Lima:

N°	Name	Institution / Organization	Date
1	SERNANP, MINAM UNDP AIDSESEP CONAP CDG APCI + GEF Focal Point	Board of Directors (inception meeting)	Monday 24 Set
2		Project Team	Monday 24 Set
3	Technical team (responsible for communications, PDP, administration contracts, fire fighting strategy)	Directorate of Management of Protected Natural Areas	Tuesday 25 Set
4	José Pisconte	CEPLAN	Tuesday 25 Set
5	Benjamín Lau Chiong	Strategic Development Department of SERNANP	Tuesday 25 Set
6	James Leslie Fabiola Berrocal	Technical Adviser in Ecosystems and Climate Change - UNDP	Monday 08 Oct
7	Michael Valqui Anna Montalván Patricia Huerta	Head of monitoring and evaluation UNDP	Monday 08 Oct
8	Walter Quertewari	ECA Amaraeri	Monday 08 Oct (via telephone)
9	Alison Hospina	Gender responsible for the UNDP Amazon Program	Monday 08 Oct
10	Carlos Hernández	EBA Amazon Project	Monday 08 Oct
11	José Carlos Nieto	National Project Directorate	Tuesday 09 Oct
12	Renato Ríos	Representative of the Management Committees Project Steering Council	Tuesday 09 Oct
13	Javier Martinez	Rainforest Alliance	Tuesday 09 Oct
14	Diana Rivera	Sustainable Productive Landscapes Project	Tuesday 09 Oct
15	Fermín Chimatani	ANECAP	Wednesday 10 Oct (via telephone)
16	Lizardo Cauper	AIDSESEP	Wednesday 10 Oct (via telephone)
17	Luis García	CAF MINAM	Wednesday 10 Oct
18	Claudia Ochoa	Financial Sustainability Unit SERNANP	Wednesday 10 Oct
19	Marco Arenas	Participatory Management Unit - DGPAN	Wednesday 10 Oct
20	Lucía Ruiz Ostoic	Deputy Minister of Natural Resources Management MINAM	Thursday 11 Oct

Interviews and meetings in Ucayali and Pasco:

N°	Name	Institution / Organization	Date
21	Jack Flores	Environmental Authority of Ucayali	Wednesday 26 Set
22	Arsenio Calle Córdova	Head of the PN Alto Purús	Wednesday 26 Set
23	Rafael Pino Solano	Head of the RC Purús	Wednesday 26 Set
24	Oseas Barbarán Sánchez	CONAP	Wednesday 26 Set
25	Margot Gonzales	PM CPR / PNAP Consultant	Wednesday 26 Set
26		Regional Project Team	Thursday 27 Set
27	Zacarías Huaroco Camaiteri	ECA RC El Sira	Thursday 27 Set
28	Kary Johanna Ríos Sánchez	Head of the RC El Sira	Thursday 27 Set
29	Raúl Vásquez	ProPurús	Thursday 27 Set
30	Cleofaz Quintori	President URPIA	Thursday 27 Set
31	Germán López Ballesteros	President CG RCE	Friday 28 Set
32	Jhon Calixto	Vice President UNAY	Friday 28 Set
33	Junta Directiva	District Municipality of Puerto Bermúdez	Friday 28 Set
34	Deyanira Mishari Ochoa Rocío Almonte	Association of Nationalities Asháninka del Valle Pichis - ANAP	Saturday 29 Set
35	Alex García	Head of BPSMSC	Saturday 29 Oct
36	Rony Mateo	BPSMSC Specialist	Sunday 30 Set
37	Hermes Ricardo Liviac Espinoza	Vice President CG BPSMSC	Sunday 30 Set
38/39	Comunera dedicada a piscigranja Comunero cacaotero	Community Santa Rosa de Chuchurras	Sunday 30 Set
40	Carol Calderón	Municipality of Villa Rica: ACM Sho'lllet	Monday 01 Oct
41	Edgardo Castro/César Laura y equipo IBC	Partner institution of the project	Monday 01 Oct
42		Meeting with project team	Tuesday 02 Oct
43	Salomé Antezano Angoma	Head of the PN Yanachaga Chemillén	Tuesday 02 Oct
		Visit PNYCH	Tuesday 02 Oct
44	Juan Lagravere/Vanessa Jurado	District Municipality of Huancabamba	Tuesday 02 Oct
45	Pedro Ubaldo Polinar Provincial Mayor of Oxapampa Lyn Verde - Responsible for Dept. Planning, Budget and Technical Coop	Provincial Municipality of Oxapampa	Tuesday 02 Oct

	Juver Pérez - Budget Manager MPO Edith Taquiri - PDLC consultant		
46	Eduardo Jackson	Visit to ACP Churumazú (the project does not implement activities with this area)	Tuesday 02 Oct

Interviews and meetings in Cusco:

N°	Name	Institution / Organization	Date
47	¿??	Meeting with project team	Thursday 04 Oct
48	Rafael Pílares	CC Soqta-pata	Thursday 04 Oct
49	Miguel Ángel Atausupa	Regional Management of RRNN and MA of GORECUS	Thursday 04 Oct
50	Asvín Flores	Chief RCA	Thursday 04 Oct (via telephone)
51	Jhon Florez	Head of PN Manu	Friday 05 Oct
52	Hauke Hoops	ZSF	Friday 05 Oct
53	Ronald Catpo	ACCA Coordinator	Friday 05 Oct
54	Patricia Paulo	Responsible for project management	Friday 05/10 8:30
55	Erick Efrain Zamalloa Calle	Chief of SN Megantoni	Friday 05 Oct
56	Nurymar Feldmad	Communications	Friday 05 Oct
		Travel on the Ocongata Marcapata route	Saturday 06 Oct

Annex 7: Presentation of preliminary findings and recommendations (Field mission closure workshop)

**Evaluación de Medio Término del Proyecto:
"Transformando la Gestión de Complejos de
Áreas Protegidas/Paisajes para Fortalecer la
Resiliencia de Ecosistemas"**

**Hallazgos Iniciales
Informe de cierre de la misión**

José Galindo y Fátima García.

11 de octubre de 2018

Objetivos de la evaluación

- Evaluar el progreso hacia el logro de los objetivos y resultados del proyecto, tal como se especifica en el documento de proyecto.
- Evaluar los primeros signos de éxito o fracaso del proyecto con el objetivo de identificar los cambios necesarios que deben realizarse para que el proyecto logre los resultados previstos.
- Revisar la estrategia del proyecto y sus riesgos para la sostenibilidad.

Impresiones generales +

- Avance importante en C1, está encaminado a cumplir y tal vez superar algunas metas.
- Fortalece enfoque de paisaje y posiciona nuevas modalidades de conservación.
- Fortalecimiento de las ECAS.
- Equipo experimentado con alta capacidad técnica y analítica.
- Complementa y da seguimiento a enfoque programático del portafolio PNUD

Impresiones generales -

- Actores no reconocen vínculo entre objetivos del proyecto y actividades desarrolladas;
- Se percibe una debilidad en la articulación y perfilamiento político del proyecto.
- No se ha desarrollado un plan o estrategia de fortalecimiento de capacidades; actividades de capacitación aisladas con bajo sentido de propósito.
- Balance entre los aspectos analíticos y prácticos de la gestión.
- C2 supone un riesgo en términos de impacto y de sostenibilidad.

Diseño

- Muy ambicioso para la escala de intervención y el presupuesto disponible, corre el riesgo de diluir el impacto.
- Enfoque innovador, complementa los enfoques conceptuales de vulnerabilidad de comunidades hacia la resiliencia de paisajes.
- Construye sobre portafolio PNUD y complementa conceptualmente a EBA, DCI.
- Rezago entre fecha de diseño y fecha de ejecución obligó a invertir un tiempo largo en actualizar y aterrizar el PRODOC original.
- El tiempo que tomó en ser ajustado evidencia una debilidad en el PRODOC.

Ejecución

- Arranque lento, aún no se recupera el tiempo perdido.
- Desbalance en ejecución de componentes.
- Sedes pudieron ser instaladas antes así como personal clave (SF).
- Dificultades en el manejo de expectativas en AP, comunidades y algunos socios.
- Proyecto no escucha, impone, candado.
- Apropiación relativamente baja, sigue siendo más PNUD que SERNANP; Ubicación física del equipo.
- "Se demoran mucho tiempo para decidir".

Ejecución

- Escasa presencia del coordinador en el territorio, no se construyen alianzas y relaciones en el nivel político.
- No se ve una estrategia ni lineamientos para apalancar cofinanciamiento y articulación con otros actores de la cooperación.
- Capacitación no responde a necesidades específicas de las AP, tampoco responden claramente a objetivos del proyecto.
- No se verifica un plan ni aproximación estratégica hacia la comunicación.

Ejecución

- Alto posicionamiento y recordación de SSEE, débil vinculación práctica a objetivos del proyecto.
- División taxativa entre C1 y C2; existen espacios para oportunidades de beneficio mutuo.
- Apropiación baja en provincias, más alta a nivel central.
- Trabajo a través de socios no posiciona suficientemente al proyecto y prácticamente invisibiliza a SERNANP.

Ejecución

- Relacionamiento poco balanceado con actores en territorio como las organizaciones indígenas; se excluye a priori al GORE de Madre de Dios.
- Se enfoca en el nivel técnico, no se articula con los actores a nivel político.
- Herramientas de monitoreo se concretan a partir de 2018;
- Comité Directivo jugó un rol más informativo que de decisión y discusión sobre los problemas encontrados en el proyecto.

Progreso en el logro de los Productos

- COMPONENTE 1: Mayor resiliencia al cambio climático en ANP de fundamental importancia

PRODUCTO	AVANCE	OBSERVACIONES
Producto 1.1: Ampliación de superficie bajo régimen de conservación favoreciendo la conectividad	<ul style="list-style-type: none"> • 284,465 ha en 15 AC nuevas • 35,111 ha en 09 AC fortalecidas 	<ul style="list-style-type: none"> • Factibilidad de creación de AC en tiempo de ejecución del Proy. • Incidencia política y comunicación estratégica • Enfoque de resiliencia al CC en las acciones para fortalecimiento de la gestión (capacidades de los socios)
Producto 1.2: Acuerdos de conservación con las comunidades locales y grupos organizados para aumentar la resiliencia en los paisajes	<ul style="list-style-type: none"> • Borrador de lineamientos para acuerdos con las comunidades locales y grupos organizados para aumentar la resiliencia en los paisajes 	<ul style="list-style-type: none"> • Buena herramienta de tiempo para implementación

Progreso en el logro de los Productos

- RESULTADO 2: Planificación estratégica, gobernanza binacional y desarrollo de capacidades en las 3 cuencas

PRODUCTO	AVANCE	OBSERVACIONES
Producto 1.3 Fortalecimiento de los instrumentos de gestión de ANP (áreas de conservación y RI/RT) para abordar las amenazas inducidas por el CC y las otras presiones que afectan la resiliencia	<ul style="list-style-type: none"> • 03 Planes Maestros actualizados • 02 zonificaciones aprobadas (CP) 	<ul style="list-style-type: none"> • Enfoque de resiliencia al CC • Capacidades para incorporarlo a la gestión (SERNANP, ECA, Comités de gestión) • Fortalecimiento de SCR • Plan Director y Programa presupuestal 57
Producto 1.4 Capacidades fortalecidas para la gestión de ANP (Áreas de conservación y RT/RI) en el contexto de adaptación al CC e incrementar la resiliencia ecosistémica	<ul style="list-style-type: none"> • Capacitación en SSEE, control de incendios, género e interculturalidad 	<ul style="list-style-type: none"> • Construcción colectiva del concepto de resiliencia • Capacidades para la articulación intersectorial

Progreso en el logro de los Productos

- RESULTADO 2: Planificación estratégica, gobernanza binacional y desarrollo de capacidades en las 3 cuencas

PRODUCTO	AVANCE	OBSERVACIONES
Producto 1.5 Mecanismos de monitoreo establecidos para medir el aumento de la resiliencia en los paisajes	<ul style="list-style-type: none"> • Análisis de riesgos • Contratación de consultores (análisis cambio uso suelo) • Avances en el análisis de conectividad 	
Producto 1.6 Mecanismos financieros establecidos para aumentar la resiliencia en los paisajes	<ul style="list-style-type: none"> • Contratación de cooperante para PDP (oportunidades de financiamiento) • Identificación de brechas financieras 	<ul style="list-style-type: none"> • Factibilidad de cumplir la meta de en el tiempo de ejecución del Proy (perfiles encaminados)

Progreso en el logro de los Productos

- COMPONENTE 2: Paisajes productivos resilientes al CC amortiguan a las ANP

PRODUCTO	AVANCE	OBSERVACIONES
Producto 2.1 Marco Institucional para la planificación y gestión de zonas de amortiguamiento	<ul style="list-style-type: none"> 05 PDLC y PEI (01 aprobado) ECA's y federación indígena participan en espacio de gobernanza ambiental (PDLC, RB, CAR) 	<ul style="list-style-type: none"> Apropiación e implementación por autoridades electas Capacidades para promover equidad de género, articulación interinstitucional, extender trabajo con los 04 ECA y federaciones indígenas de ZA
Producto 2.2 Sistemas productivos sostenibles y resilientes al CC generan beneficios en la gestión sostenible de la tierra y/o en reducir la presión extractiva y	<ul style="list-style-type: none"> 01 ong contratada (RA) socios identificados para acuerdos de microcapital Identificación de zonas y especies 	<ul style="list-style-type: none"> Capacidades para incorporar enfoque de resiliencia al CC Tiempo limitado para apropiación de nuevas prácticas Limitaciones para acompañamiento técnico y administrativo Enfoque de interculturalidad Organizatividad y capacidades de

Progreso en el logro de los Productos

- COMPONENTE 2: Paisajes productivos resilientes al CC amortiguan a las ANP

PRODUCTO	AVANCE	OBSERVACIONES
Producto 2.3 Sistemas de gestión forestal resilientes al CC que facilitan la gestión sostenible y la conservación efectiva de los ecosistemas forestales	<ul style="list-style-type: none"> Identificadas las especies y las zonas 	<ul style="list-style-type: none"> Acercamiento a la organización indígena (Tayakome).
Producto 2.4 Capacidades para desarrollar, transferir y aplicar sistemas productivos resilientes al CC	<ul style="list-style-type: none"> Conocimiento sobre SSEE por ECA's, organizaciones indígenas participantes Capacitación sobre calidad de café 	<ul style="list-style-type: none"> Construcción colectiva de conceptos: Resiliencia y adaptación al cambio climático Acompañamiento para generación de capacidades (conocimiento, prácticas y habilidades)

Conclusiones

- Se trata de un proyecto de alta complejidad con múltiples frentes simultáneos. Se debe tener cuidado de las apuestas para no diluir su impacto.
- Es una gran oportunidad para fortalecer la gestión y sobre todo la visión de SERNANP, GORES, ECAS, etc.
- El proyecto se encuentra encaminado a cumplir con los resultados previstos para el C1; Muestra un rezago importante y riesgos relacionados a la sostenibilidad en el C2.
- Los componentes avanzan por separado, con poca correlación y no aprovechan oportunidades de beneficio mutuo. El equipo podría aprovechar mejor las capacidades instaladas con una división menos taxativa de tareas y funciones por componente.
- El proyecto tiene una alta pertinencia y relevancia en el contexto nacional; responde a prioridades institucionales y lineamientos de política.

Recomendaciones generales

- Se ve la necesidad de elevar el perfil político del proyecto, especialmente con las regiones y MINAM; Es necesario mostrar una mayor presencia y visibilidad del coordinador.
- Tomar contacto con nuevas autoridades elegidas en regiones y confirmar compromiso frente al proyecto.
- Buscar mayor articulación y cercanía con las comunidades indígenas y organizaciones que los representan.
- El proyecto tiene mucho que comunicar, sobre todo usar la comunicación como una herramienta estratégica para la consecución de resultados.
- Fortalecer el perfil y posicionamiento de SERNANP y ECAS, motivar una mayor participación en los espacios clave de las sedes e integración con socios y consultores.

Recomendaciones generales

- El enfoque conceptual no termina de aterrizar, se construye en conjunto SERNANP, MINAM, ECAS; debe concretar en herramientas prácticas, conocimientos y destrezas claras para los diferentes grupos meta.
- Riesgo de caer en un proyecto tradicional de conservación o fomento productivo.
- Buscar un relacionamiento más balanceado con los diferentes actores; no se puede evitar o excluir a priori a un GORE "porque es pro-minero".
- Lo perfecto es enemigo de lo bueno; se debe mejorar el balance entre el análisis y sustento técnico, con la toma de decisiones ágiles y oportunas. Manejar mejor el perfil de tolerancia al riesgo.
- Trabajar más en apalancar recursos y tener un manejo más prolijo y estratégico del cofinanciamiento (metodología). Desarrollar un mapeo de oportunidades para trabajar resiliencia a nivel de paisajes

Recomendaciones generales

- Fortalecer el rol del Comité Directivo, que sea un espacio de decisión y acompañamiento estratégico a la ejecución.
- Estandarizar la intervención de PNUD en sus diferentes intervenciones; que los estilos gerenciales y perfiles de los equipos no incidan en que se perciba prácticas institucionales diferentes.

Recomendaciones Componente 1

- Sincera el el portafolio de nuevas áreas de conservación y quedarte con las más viables. Involucrar a SENANP central y jefaturas.
- Desarrollar una estrategia y plan de fortalecimiento de capacidades desde una perspectiva amplia e integral.
- Fortalecer capacidades para la articulación intersectorial de Jefaturas, ECAS, Comités de Gestión.
- Preparar a los equipos de brindan AT en gestión financiera y adm para tener una aproximación más cuidadosa con aspectos de interculturalidad.
- Habilitar presupuesto y condiciones para apuntalar la gestión de 1,6

Recomendaciones Componente 2

- Desarrollar un enfoque conceptual, y estratégico frente a las actividades productivas.
- Revisar el número de hectáreas y beneficiarios para los sistemas productivos resiliente.
- No contratar por separado diagnóstico y línea de base del socio de implementación.
- Buscar alianzas para el cofinanciamiento y sostenibilidad de las actividades productivas.

Recomendaciones Componente 2

- Acercar productos de consultoría a los usuarios e instituciones que garanticen la sostenibilidad (vulnerabilidad)
- Vincular la intervención con Fase 2 de EBA, PPS y otras intervenciones del portafolio.

Annex 8: List of documents reviewed for the MTR

1. Project Document, Results Framework, PIF,
2. Monitoring reports 2016, 2017, 2018
3. Financial reports 2015, 2016, 2017, 2018
4. Implementation reports 2016, 2017, 2018
5. Initiation report
6. Work plans of the project
7. Audit reports 2015, 2016, 2017
8. Monitoring and evaluation matrix, METT 2017, Project monitoring plan
9. GEF tracking tools
10. Guidelines for the operation of the Project's Board of Directors
11. Minutes of meetings of the Board of Directors
12. Location maps of project intervention areas
13. Contracts with NGO ACCA, ProPurús, IBC, Rainforest Alliance
14. Microcredit agreements of ECOPURÚS, ECOSIRA, AMARCY
15. Working plans for micro-capital agreements, NGOs
16. Quarterly reports on micro-credit agreements
17. Quarterly reports of contracts with NGOs
18. ToR of consultancies
19. Communication products
20. Proposal for a project communication plan
21. Methodology for workshops on gender and interculturality,
22. Documents on participation in spaces of polycentric governance in Cusco, Pucallpa and Oxapampa
23. Documents on the implementation of the gender and intercultural approach in the intervention of ACCA and ProPurús
24. Diagnosis of crafts in the Japu Community and proposals for organizational strengthening and marketing
25. Maps of connectivity and threats,
26. Document: Ecosystem resilience approach
27. Methodology for the definition of project landscapes
28. Document: articulation with other projects
29. Technical documents: Manual for ArcGIS navigating in explorer, risk analysis, analysis of ecosystem services
30. Strategy for the implementation of productive activities of the project
31. Conceptual model of the project
32. Arrangements for the implementation of the Project
33. Co-financing table
34. Presentations for the MTR, Project Summary

Annex 9: Evaluation criteria, evaluation matrix, matrix of progress towards achieving results

Evaluation criteria for the design of questions:

Criteria for the design of questions	
Concept and Relevance	Design
	Relevance
Results	Product delivery
	Effectiveness
	Efficiency
	Transversal issues
	Sustainability and scalability
	Probability of impact
Factors that affect performance	Management and coordination of programs
	Administration of human and financial resources
	Technical backup and supervision
	Participation and participation of national stakeholders
	Monitoring, reporting and evaluation

Evaluation matrix:

Relevant evaluation criteria	Key questions	Information sources	Methods / data collection tools	Indicators	Methods / data analysis

Advance matrix:

Project strategy	Indicators	Initial reference level	Goals	2nd PIR level	Mid-term evaluation level	Valuation of achieved achievements *	Justification of the valuation

Table of qualifications:

Calificaciones de avance de resultados:	Calificaciones de sostenibilidad	Calificaciones de relevancia
6: Highly Satisfactory (HS): It is expected to achieve or exceed the objectives / outcomes set for the end of the project without major shortcomings. Progress towards achieving the objectives / results can be presented as a "good practice"	4. Likely (L): Insignificant risks for sustainability.	2. Relevant (R).
5: Satisfactory (S): minor deficiencies: It is expected to achieve most of the objectives / results established for the end of the Project only with minimal deficiencies	3. Somewhat likely (SL): moderate risks.	1. No Relevante (NR).
4: Moderately satisfactory (MS): It is expected to achieve most of the objectives / results established for the end of the Project, but with significant shortcomings.	2. Somewhat unlikely (SU): Significant risks.	
3. Moderately unsatisfactory (MU): It is expected to achieve most of the objectives / results established for the end of the Project with significant shortcomings.	1. Unlikely (I): Serious risks	Calificaciones de impacto: 3. Significativo (S) 2. Moderado (M) 1. Insignificante (I)
2. Unsatisfactory (U): It is not expected to achieve most of the objectives / results established for the end of the Project.		
1. Highly unsatisfactory (HU): The objectives / results for the middle of the period have not been achieved and none of those established for the end of the Project are expected to be achieved.		

Advance level scale:

Green = Achieved	Yellow = Going to achievement	Red = Not achieved
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Annex 10: Matrix of progress in achieving results

Project strategy	Indicators	Initial reference level	Goal	Level in the 2nd PIR (Self-reported)	Level and evaluation at Half of Period*	Valuation of achieved achievements	Justificación de la valoración		
Objetivo: Improve CC resilience in vulnerable PNA ecosystems and surrounding landscapes in order to ensure their biodiversity and functionality, as well as derived ecosystem services such as greenhouse gas sequestration and emission reduction	I.1 Reduction of the rate of loss of the main habitat types (yunga, humid forest of the south of the Amazon and central puna) in the landscapes generate benefits for the BD and avoids the loss of sinkholes carbon	Habitat / Annual loss (ha) / Total loss (ha) s / project (in project period):	Net loss avoided (ha) and (tC):	The baseline and habitat loss objectives for each habitat type were adjusted in both landscapes. The boundaries of both landscapes were redefined, to include the buffer zones originally considered, the areas needed to complete the watersheds, the areas needed to ensure connectivity between PAs and areas with similar areas. The source of the data is now the Ministry of the Environment (MINAM) and the Forest Service (SERFOR) and the baseline uses data for 2015. The project has identified	The available data are for the year 2016. The loss of coverage for that year is (ha): Yunga: 11,558 Humid forest: 23,322 Puna: 28 For landscapes the loss is: YESI 24,329 PUMA 10,579	Something unsatisfactory.	The data is not updated to 2017, given that these are not available. There is only one year difference from the baseline. However, it is observed that at the national level the annual deforestation rate increased from 156,462ha in 2015 to 164,662ha in 2016.		
		Modified goal: Yunga / 4,636 / 343,129	Modified baseline: Yunga / 9,271 / 46,356					Humid forest / 19,768 / 98,838	Humid forest / 21,280 / 106,400
		Humid forest / 9,884 / 1'006,765	Humid forest / 19,768 / 98,838					Humid forest / 21,280 / 106,400	Humid forest / 21,280 / 106,400
		Puna / 15/473	Puna / 30/152					Puna / 30/152	Puna / 33/165
		Previous goal: Yunga / 4,967 / 367,620	Humid forest / 19,768 / 98,838					Humid forest / 21,280 / 106,400	Humid forest / 21,280 / 106,400
		Humid forest / 9,884 / 1'006,765	Humid forest / 19,768 / 98,838					Humid forest / 21,280 / 106,400	Humid forest / 21,280 / 106,400
		Puna / 15/473	Puna / 30/152					Puna / 30/152	Puna / 33/165
		Previous goal: Yunga / 4,967 / 367,620	Humid forest / 19,768 / 98,838					Humid forest / 21,280 / 106,400	Humid forest / 21,280 / 106,400
		Humid forest / 9,884 / 1'006,765	Humid forest / 19,768 / 98,838					Humid forest / 21,280 / 106,400	Humid forest / 21,280 / 106,400
		Puna / 15/473	Puna / 30/152					Puna / 30/152	Puna / 33/165

Project strategy	Indicators	Initial reference level	Goal	Level in the 2nd PIR (Self-reported)	Level and evaluation at Half of Period*	Valuation of achievements	Justificación de la valoración
				strategies to reduce the loss of major habitats: - Surveillance and control strategies in each PA and other landscapes. - Community-based forest management (CBFM) production based on three trees (coffee and cocoa) in Oxapampa and La Convención -Promote new alternatives for conservation areas.			
	I.2 Increase in the connectivity of ecosystems within landscapes and with adjacent ecosystems, measured by the number of hectare	Modified baseline: xx has potential connectivity corridors (ecosystems in good condition) in landscapes Previous baseline: xx has ecosystems in good condition within connectivity	Modified goal: Creation of at least 100,000 hectares of new areas under some conservation regime, within potential connectivity corridors in the two landscapes. Previous goal: Creation of at least 1,000,000 ha of new areas	The indicator has been adjusted to reflect habitat connectivity in the two landscapes: Yanacha-El Sira (YESI) and Purús-Manu (PUMA) However, we are still in the process of adapting the connectivity concept to the SERNANP strategies. Once we	There is a portfolio of 10 initiatives for the creation of conservation areas: 244,065 ha in PUMA 40,000 ha in YESI	Satisfactory.	The achievement of the goal is on track.

Project strategy	Indicators	Initial reference level	Goal	Level in the 2nd PIR (Self-reported)	Level and evaluation at Half of Period*	Valuation of achievements	Justificación de la valoración																						
	s of ecosystems in good condition, under some conservation regime within potential connectivity corridors in landscapes	y corridors in two landscapes.		agree with SERNANP on what constitutes a connectivity corridor, we can determine the% of new protected areas within these corridors and determine the baseline of this indicator.																									
	I.3Reduction of the threats for PAN prioritized, according to measurement of tool METT	PNYCh: 19, RCY: 23, BPSMSC: 39, RCS: 26, PNM: 26, PNAP: 19, RCP: 14, RCA: 23, SNM: 18. Average: 23	PNYCh: 14, RCY: 19, BPSMSC: 30, RCS: 21, PNM: 23, PNAP: 14, RCP: 12, RCA: 19, SNM: 16. Average: 18.7	The objectives have been adjusted to better reflect the changes we can realistically make with our strategies in each of the nine Protected Areas. The project has identified the strategies for each PA, for example: -conservation contracts early warning systems	By January 2018, the following measurement of the METT tool is available: <table border="1"> <thead> <tr> <th>PAN</th> <th>Qualification</th> </tr> </thead> <tbody> <tr> <td>PNYCH</td> <td>13</td> </tr> <tr> <td>RCY</td> <td>19</td> </tr> <tr> <td>BPSMSC</td> <td>43</td> </tr> <tr> <td>RCES</td> <td>40</td> </tr> <tr> <td>PNM</td> <td>17</td> </tr> <tr> <td>PNAP</td> <td>16</td> </tr> <tr> <td>RCP</td> <td>11</td> </tr> <tr> <td>RCA</td> <td>24</td> </tr> <tr> <td>SNM</td> <td>16</td> </tr> <tr> <td>Average</td> <td>22.1</td> </tr> </tbody> </table>	PAN	Qualification	PNYCH	13	RCY	19	BPSMSC	43	RCES	40	PNM	17	PNAP	16	RCP	11	RCA	24	SNM	16	Average	22.1	Satisfactory	The achievement of the goal is on track. The support for the application of the METT tool had limitations.
PAN	Qualification																												
PNYCH	13																												
RCY	19																												
BPSMSC	43																												
RCES	40																												
PNM	17																												
PNAP	16																												
RCP	11																												
RCA	24																												
SNM	16																												
Average	22.1																												
	I.4 Reduction of the probability of ecosystem involvement	Modified baseline: PNYCh: 1.7, RCY: 12.9, BPSMSC: 13.36, RCS: 2.69,	Modified goal: PNYCh: 1.28, RCY: 11.47, BPSMSC: 10.02, RCS: 2.02, PNM: 0.25, PNAP: 5.66, RCP:	Indicator modified to reflect the true meaning, that is, measures the probability of being	The Effects of Activity Index for the last quarter of 2017: <table border="1"> <thead> <tr> <th>PAN</th> <th>Qualification</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> </tr> </tbody> </table>	PAN	Qualification			Satisfactory	The qualification obtained for the last quarter of 2017 shows an average of																		
PAN	Qualification																												

Project strategy	Indicators	Initial reference level	Goal	Level in the 2nd PIR (Self-reported)	Level and evaluation at Half of Period*		Valuation of achievements	Justificación de la valoración
	ent due to anthropogenic threats, according to the measurement of SERNANP's standard methodology	PNM: 0.33, PNAP: 7.55, RCP: 2.84, RCA: 5.38, SNM: 0.58 Promedio 5.26 Previous baseline: PNYCh: 1.70, RCY: 15.29, BPSMSC: 13: 36, RCS: 269, PNM: 0.33, PNAP: 7.55, RCP: 2.84, RCA: 5.38, SNM: 0.58 Average 5.52	2.13, RCA: 4.04, SNM: 0.44 Promedio: 4.15 Previous goal: PNYCh: 1.28, RCY: 11.47, BPSMSC: 10.02, RCS: 2.02, PNM: 0.25, PNAP: 5.66, RCP: 2.13, RCA: 4.04, SNM: 0.44. Average 4.15	impacted by a threat. The measure of this indicator is based on the SERNANP instrument "evaluation of the state of conservation of ecosystems in PAN using the methodology of effects by activities".	PNYCH	3.18		2.96 in the reduction of the probability of being impacted by a threat, corresponding to more than 50% of progress with respect to the goal at the end of the Project.
					RCY	7.11		
					BPSMSC	11.04		
					C			
					RCES	1.68		
					PNM	0.28		
					PNAP	0.22		
					RCP	1.9		
					RCA	0.91		
					SNM	0.35		
					Average	2.96		
Strategy 1.1	I.1.1 Expansion of the coverage of conservation areas to protect essential ecosystems.	09 protected natural areas (5'966,203 ha), 08 Private conservation areas (22,612ha), 02 Municipal conservation areas (15,238ha), 09 conservation concessions (193,035ha), 10 ecotourism	100,000 new ones are destined to the conservation of essential ecosystems through alternative modalities (additional to SINPANE)	Surface data and on conservation areas other than SINPANE were adjusted in the two landscapes. Municipal conservation areas, conservation concessions, ecotourism concessions and indigenous reservations were	A portfolio of conservation area initiatives is being promoted. The project is aimed at achieving the goal.		Satisfactory	The project has not foreseen actions for the political incidence and strategic communication that impel the political decision making for the creation of the conservati

Project strategy	Indicators	Initial reference level	Goal	Level in the 2nd PIR (Self-reported)	Level and evaluation at Half of Period*	Valuation of achievements	Justificación de la valoración
		concessions (25,774ha) and 04 Reserve Territorial / Indigenous Reserve (2'620,423 ha) in the two landscapes.		included, and data from regional conservation areas were eliminated because they are not within prioritized landscapes.			on areas, especially in the cases whose viability is greater.
Strategy 1.2	I.1.2 Level of local participation in the supervision and control of PAN, measured according to the existence of conservation agreements, through which local communities complement the actions of the SERNANP	Two conservation agreements in force in the prioritized PNAs (PNYCh and RCY)	At least one conservation agreement in force in each prioritized NPA, thanks to which the local communities have greater participation in the control and management of PAN	The project has coordinated with SERNANP and has prioritized the implementation of 4 conservation agreements for the YESI landscape and 1 conservation agreement for the PUMA landscape	A proposal of conceptualization and guidelines for SINPANE conservation agreements was worked on, based on the experience of several institutions. Two roadmaps were prepared for agreements in YESI (PNYCh and BPSMSC).	Satisfactory	The progress towards the goal is limited, however the impact of the product is high since it will have repercussions at the SINPANE level. In the area of Madre de Dios, the approach of the Project to local stakeholders has been limited, this may be a risk for the effective implementation of the conservati

Project strategy	Indicators	Initial reference level	Goal	Level in the 2nd PIR (Self-reported)	Level and evaluation at Half of Period*	Valuation of achieved achievements	Justificación de la valoración
							on agreements established in this area.
Strategy 1.3	I.1.3 Level of incorporation of aspects related to the resilience to the CC in the PAN management instruments, AC and RT / RI	None of the priority PANs or conservation area, RT / RI has incorporated the resilience to the CC in their analyzes or master plans.	All prioritized PAN, AC, RT / RI have incorporated the resilience to CC in their analyzes and master plans, which is reflected in their management decisions.	<p>The project has defined this indicator taking into account the management documents of all the conservation areas, that is, not only the 09 PAN, but also the other types of conservation areas.</p> <p>The project is supporting the updating of the master plans of three APs: RC Purús, PN Alto Purús, PN Manu. In addition, the project is supporting the process of "prior consultation" for the zoning of CR Yanesha.</p> <p>Technical and financial assistance was provided for the reactivation of the RCE Management</p>	The climate change and resilience approaches were incorporated into two master plans (PNAP, RCP) and another in process (PNM). Three processes of prior consultation for approval of the zoning (RCA, RCY, RCE) were carried out.	Moderately satisfactory	While management decisions address the resilience strategies defined by the project, climate change and resilience approaches are still diffuse concepts for SERNANP, GORE, and private managers.

Project strategy	Indicators	Initial reference level	Goal	Level in the 2nd PIR (Self-reported)	Level and evaluation at Half of Period*	Valuation of achievements	Justificación de la valoración
				Committee in the sectors of Oventeni, Atalaya, Iparía and Pucallpa.			
Strategy 1.4	I.1.4a) Better PAN management capacity, according to the measurement of the tool METT	PNYCh: 55, RCY: 60, BPSMSC: 47, RCS: 57, PNM: 75, PNAP: 62, RCP: 55, RCA: 44, SNM: 60. Average: 57.2	PNYCh: 69, RCY: 71, BPSMSC: 65, RCS: 69, PNM: 80, PNAP: 68, RCP: 66, RCA: 60, SNM: 71. Average: 68.8	The objective was adjusted. The project has prepared a proposal of management capabilities according to METT for each AP that has been validated with the headquarters of each PAN.	The improvement of management capacity is in process.	Satisfactory	Measuring the improvement of management capacity from the METT tool requires the careful application of good practices. In the accompaniment from the Project has not been evident the application of the same.
	I.1.4b) Effectiveness in the supervision and control in the PAN prioritized, measured in terms of compliance with monitoring	No PAN has a surveillance and control strategy that includes the CC context and the action at the landscape level (at least PAN + ZA).	09 PAN have a monitoring and control strategy that includes the context of CC and the action at the landscape level (at least PAN + ZA). At least 04 PANs implement it.	This indicator was modified. The proposal is to improve the supervision and control strategies and their implementation in each PAN and its buffer zones. These strategies will	The project accompanied and promoted different strategies aimed at strengthening capacities for the management of conservation areas: review of 09 strategies for control and surveillance, spaces for polycentric	Satisfactory	The approach of climate change in the actions carried out by the Project to strengthen strategies is not yet evident.

Project strategy	Indicators	Initial reference level	Goal	Level in the 2nd PIR (Self-reported)	Level and evaluation at Half of Period*	Valuation of achievements	Justificación de la valoración
	g and control strategies that include the context of CC and action at the landscape level (at least PAN + ZA)			include at least the 9 PAN (5'966,203 ha). The project has implemented regional workshops to strengthen supervision and control strategies aimed at the staff of the 09 PAN: Pasco-Oxapampa (26 people, 15% women), San Ramón (14, 20% women), Cusco (14, 7% women), Ucayali-Pucallpa (24, 29% women).	governance (CAR, SCR, RBY), macroregional meetings of the SERNANP, SIRAC work plan, biophysical and sociocultural analysis of ecosystem services, legal advice to reduce anthropogenic threats in the YESI landscape, training (ecosystem services, fire control, gender and intercultural dad, monitoring), 03 microcapital agreements with ECA (ECOSIRA, ECOPURÚS, AMARCY), equipment for control and surveillance with GPS and communication material.		
Strategy 1.5	1.5 Number of variables for the measurement of resilience incorporated in the SINPANE monitoring system (indicator	The SINPANE monitoring system does not incorporate variables to measure resilience (indicator is not part of the project matrix, it was raised for strategy 1.5)	At least 07 variables for the measurement of resilience incorporated in the SINPANE monitoring system (indicator is not part of	The indicator is not part of the project matrix, it was raised for strategy 1.5	A monitoring variable has been defined (connectivity), the others are pending. SERNANP has established an ad hoc group to build the indicators. The project is being articulated with international	Moderately unsatisfactorily	Progress in the product is delayed, no significant progress is evident. The time for SERNANP to start up the monitoring group for

Project strategy	Indicators	Initial reference level	Goal	Level in the 2nd PIR (Self-reported)	Level and evaluation at Half of Period*	Valuation of achievements	Justificación de la valoración
	is not part of the project matrix, it was raised for strategy 1.5)		the project matrix, it was raised for strategy 1.5)		initiatives for access to information.		the identification of indicators and their incorporation into the SINPANE monitoring system has been extended.
Strategy 1.6	I.1.6 Availability of resources (US \$) for the management of prioritized PNA taking into account the implications of CC	<p>Income (2014): \$ 2'396,512</p> <p>Resources needed (basic scenario): \$ 4'398,771</p> <p>Balance (basic e.): - \$ 2'002,259</p> <p>Resources needed (optimal e.): \$ 7,541,958</p> <p>Balance (optimal e.): - \$ 5'145,445</p>	<p>Income from current sources: \$ 2'396,512</p> <p>Income from other financial strategies: \$ 5'400,000</p> <p>Total income \$ 7'796,512</p> <p>Resource requirements (basic management scenario) with CC perspective: \$ 5'718,403</p> <p>Resources needed (optimal management scenario) with CC perspective: \$ 9'804,545</p> <p>Balance (basic management scenario) with CC perspective: \$ 2'078,109</p> <p>Balance (optimal management</p>	The project has identified existing initiatives that aim to increase financial resources for the national system of protected areas: i. "Heritage of Peru" (SERNANP, WWF, Moore, SPDA, ProfonPANE, SPDA project) ii. The biodiversity financing initiative - BIOFIN.	Three concept notes were prepared for projects totaling around US \$ 50 million, through the hiring of a consultant. 3 Headquarters and ECA were trained to identify the financial gap, articulated with the Peru Heritage Initiative.	Moderately unsatisfactory	It is probable that the expected goal is not achieved, because the time required from the formulation of concept notes to the approval of projects, may exceed the execution time that remains for the Project. Delay in the hiring of the consultancy.

Project strategy	Indicators	Initial reference level	Goal	Level in the 2nd PIR (Self-reported)	Level and evaluation at Half of Period*	Valuation of achievements	Justificación de la valoración
			scenario) with climate change perspective: \$ -2'008,033				
Strategy. 2.1	I.2.1a) Level of integration of the perspective of resilience to the CC in the planning instruments articulated in the three levels of government, in the prioritized provinces.	No prioritized province nor its districts in the landscapes incorporate in its planning instruments the perspective of resilience to the CC, nor is it articulated between the three levels of government.	At least 1 province of 02 prioritized regions, and 1 district in each of them, have local planning instruments that incorporate the perspective of resilience to the CC and are articulated between the three levels of government.	The indicator was modified. The main advances: - 229 people from the districts of Oxapampa, Puerto Bermúdez, Constitución and Palcazu have contributed to the preparation of the PDLC, with a CC approach and resilience. CEPLAN, SERNANP and UNDP agreed to include the districts of Palcazu, Puerto Bermúdez as pilot initiatives to prepare their PDLCs. - The MINCUL and the project will collaborate with communities to formulate life plans linked to PDLC. - data were obtained to elaborate communicatio	In process the analysis of risks to climate change. Processes were developed for the elaboration of PDLC (04 districts) and PEI (04 districts and 01 provincial) of the YESI landscape, which articulates life plans and master plans in the planning of the district and province.	Satisfactory	The follow-up for the approval of the PDLCs and PEI formulated has been limited, this being a key activity in the face of the change of municipal management. There is a risk that the documents remain at the level of non-binding proposals.

Project strategy	Indicators	Initial reference level	Goal	Level in the 2nd PIR (Self-reported)	Level and evaluation at Half of Period*	Valuation of achievements	Justificación de la valoración
				ns strategy - An analysis of actors and power in both landscapes has been completed.			
	I.2.1 b) Greater participation of local communities, which promote gender equity, in environmental governance in landscapes	No RCT of the 4 RCs, nor an indigenous federation representing the CCNN in the PAs of the prioritized PANs, intervene in the spaces of environmental governance.	Each one of the RCs of the 4 RCs and at least 01 indigenous federation representing the CCNNs in the ZAs of the 9 PANs, within the scope of the project, intervene in at least 1 space of environmental governance (environmental commissions municipalities, conciliation tables to combat poverty, etc.).	The indicator was modified. The main advances: - Representatives of national indigenous organizations: AIDSESEP and CONAP are part of the Ad Hoc Advisory Committee, as well as regional authorities.	Significant advances in the participation of ECA and organization are not identified indigenous communities in spaces of environmental governance, by project action.	Moderately unsatisfactory	There is evidence of delay in the progress of the product. It was not evident the approach of the Project to the indigenous organizations, to facilitate their participation in the spaces of governance that the Project invigorates. In relation to the ECAs, the time remaining for the execution of the project may be limited to

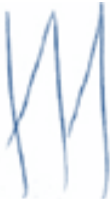
Project strategy	Indicators	Initial reference level	Goal	Level in the 2nd PIR (Self-reported)	Level and evaluation at Half of Period*	Valuation of achieved achievements	Justificación de la valoración
							accompany their intervention in spaces of environmental governance.
Strategy 2.2	1.2.2a) Increased potential of tree-based production systems (coffee, cocoa) to cushion the PAN against the direct and indirect effects of the CC in the prioritized provinces surrounding them.	49,914 ha of coffee and 14,500 ha of cocoa under shade in La Convención province; 7,804 ha of low coffee shadow in the province of Oxapampa.	The areas remain stable, but in 10% of the area (7,222 ha: 5,771 ha of coffee and 1,450 ha of cocoa), management systems are applied. promote resilience to the CC and cushion the PAN contributing to the sustainability of local livelihoods and gender equality, which directly benefits 18,050 poor people (of which 8,123 are women and 80% are indigenous)	El proyecto identificó posibles organizaciones con experiencia en la producción de café y cacao: DESCO, DRIS, Rainforest Alliance. El proyecto se ha acercado a las autoridades locales y representantes indígenas para acordar el despliegue adecuado de esta actividad: -Federación local de Puerto Inca - FECONAPIA y URPIA -Federación regional de Ucayali - ORAU.	There is a strategy for the implementation of productive activities (technical, administrative and financial-accounting support) to ECA and indigenous organizations. The base organizations and technical partners have been identified, the areas to be intervened. In the scope of influence of the SNM, the baseline has been raised for the preparation of plans to improve resilient farms.	Moderately Unsatisfactory	There is considerable delay and there are still no advances in the field. The experience of the technical partner is a strength to achieve the goal, however there is a risk of affecting sustainability due to the short time for implementation, and resource limitations.

Project strategy	Indicators	Initial reference level	Goal	Level in the 2nd PIR (Self-reported)	Level and evaluation at Half of Period*	Valuation of achievements	Justificación de la valoración
	I.2.2b) Agroforestry systems in buffer zones to contribute to global environmental benefits, stabilize landscapes and build resilience to CC	20,685 ha of agroforestry systems in buffer zones, with a total of 3'092,200tC and an average soil erosion rate of 2.64t per ha per year	An additional 2,000 ha of agroforestry systems in the buffer zones generate a total net increase of carbon sinks of 176,920tC and a total net erosion reduction of 208,000t, which benefits 20,000 poor people (mostly indigenous and 9,000 women), in 4,000 families, through greater productivity and sustainability of their productive systems.	80% of indigenous participation has not been validated. The project will hope to achieve a majority participation.	No progress is reported.	Unsatisfactory.	No progress is reported. Risk of affecting sustainability due to the short time needed to implement the strategy.
Strategy 2.3	I.2.3 Community forest management promotes the protection of forests	The community forestry management plans promoted by the forest	Management plans for at least two non-timber products, based on community forest management that promotes	The indicator was modified. The main advances: - 14 non-timber forest products identified by GORE, SERNANP, indigenous	It is identifying potential beneficiary organizations, and productive chains (shiringa, crafts and copaiba oil).	Unsatisfactory.	It presents important delay. The technical partner (s) are not hired. The time remaining for Project

Project strategy	Indicators	Initial reference level	Goal	Level in the 2nd PIR (Self-reported)	Level and evaluation at Half of Period*	Valuation of achievements	Justificación de la valoración
	in the context of the CC, and reinforces the rights to occupy the land of local communities	protection, do not incorporate the CC perspectives and resilience	forest protection, incorporate CC perspectives and resilience, and reinforce the sense of ownership / ownership of the forest. communal forest.	federations: Aguaje, asía, bolaina, camu camu, chestnut, copaiba, copuazú, palmas, grade blood, mahogany seeds, shiringa, ungurahui, cat's claw. The final selection is in progress.			execution may be limited to achieve ownership and manage resources in a community manner. Risk of affecting sustainability due to the short time needed to implement the strategy.
Strategy 2.4	1.2.4 Level of incorporation of aspects related to resilience to CC and biodiversity in extension programs rural	No rural agricultural or forestry extension agency currently addresses the issues of climate change and biodiversity	18 extension agencies throughout the intervention area incorporate aspects of CC resilience and biodiversity conservation.	The objective was modified to specify extension agencies and include others involved in local development.	Training on coffee quality has been carried out, in partnership with a local institution.	Moderately Unsatisfactory	It has a delay. No significant advances are reported. The training actions carried out are punctual, and their link with the indicator is limited.

* Color only this column, according to the Code for the evaluation of the indicators.

Annex 11: Declaration of confidentiality of the evaluator and evaluator

Agreement to abide by the Code of Conduct for evaluation in the United Nations System
Name of the consultative organization: United Nations Program For Development (UNDP-Peru)
I confirm that I have received and understood and that I will abide by the UN Code of Conduct for the Evaluation. 
_____ José Galindo.
Signed in: Lima, October 29, 2018 _____

Agreement to abide by the Code of Conduct for evaluation in the United Nations System

Name of the consultative organization: United Nations Program
For Development (UNDP-Peru)

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

Fátima García F.

Signed in: Lima, October 29, 2018



Anexo 12: Fotografías de la misión en campo



Meeting with ANAP - Puerto Bermúdez



Notation of the BPSMSC - Road to Iscozacín



Viewpoint - Road to Iscozacín



Viewpoint - Road to Iscozacín

Santa Rosa de Chuchurras Community - Iscozacín



Entry to the Community



Demonstrative fishing



Demonstrative fishing



Mrs. Amelia Piscicultora beneficiary of the microcredit agreement with AMARCY



Mr. Ricardo potential beneficiary of the 2nd microcredit agreement with AMARCY



ACM Sho'llet - Oxapampa



ACM Sho'llet - Oxapampa



Meeting with Carol Calderón - ACM Sho'llet Administrator and IBC team and project



To the proposed fund ACR Ausangate - route Marcapata Cusco



Bofedales, at the proposed fund ACR Ausangate - Ruta Marcapata Cusco



ACP strategic signage Japu - Ruta Marcapata Cusco

Annex 13: Relevant monitoring tools for the mid-term (METT, TT)

Annex in a separate file.

Annex 14: Aid for the meeting for the presentation of findings - MTR Resilient Amazon

Esteban AIDSEEP

- The project from the beginning was more directed to the SERNANP structure and the approach to indigenous organizations may have lagged behind
- The advantage of the indigenous political organizations is the time they have in the territories, as part of the social viability.
- The role of the eca, management committees, indigenous organizations can help the impact of the project is greater, generating alliances in the actions that are taken in the field. Generate synergies with the projects that they implement (MDE, productive systems, ecotourism ...)
 - o Identify the lines of the Climate Change Strategy provided by the project.
 - o Make visible that this project will generate enabling conditions for RIA.

Renato Ríos Management Committee

- The articulation with the actions of ANECAP, and the ECAs themselves with the Forests Program and other projects have not been visualized.
- The design was to point to ongoing processes, with project funds
- Remember that the project is of SERNANP, ECA's, and civil society an actor that helps. In areas where there are no RCTs if working with indigenous organizations.
- Help indigenous organizations to understand the role of the ECA, different from that of an indigenous organization of a political nature.

Michael Valqui

- - In the GEF projects there is no explicit adjustment stage, considering the time that passes between the design and the start of the execution.
- - I had to balance the progress and the adjustment of the results framework.
- - It is necessary to look back, to see the full story and that the evaluation is not a partial interpretation.

* After the report you will see if a space is needed to contribute on the report, in addition to the written observations.

Heidi Rubio

- It has not been deepened in what has been planned for the following years. In the case of her / component 1.6, the whole goal of Claudia's hiring is not there. In the case of SSEE there is also a path.
- That the recommendations take into account what they have planned in the future (see the logic of the project), and on that they raise changes, adjustments.

José Carlos

- Many actors have been involved: GORE, municipalities, ECA, ANECAP, others. He considers it a great step forward.
- The Project allows them to see beyond the PAN. See the NPAs in a regional scenario, link the master plans with life plans and local / regional planning.
- There are several issues that are being worked on that are scalable at SINPANE level.
- They are collecting the experience of EBA Amazonia.
- Outsourcing with an NGO always makes you invisible, but it is also an opportunity to add on the efforts that these institutions already invest in the processes.
- Take more position as director, have more presence in macroregionals, transfer to the headquarters that the Project is SERNANP.
- There are personnel dedicated to the Project, they are interested in the Project. Give the guidelines to the technical team.
- Strengthen the role of the Steering Committee, align the interests of the actors, to achieve results.

James Leslie

- Many of the recommendations had them identified in some way, in their case there are not many surprises.
- Collect recommendations to improve the project cycle, monitoring and evaluation, capacity building strategies, at the Project Portfolio level. Incorporate the tools in a more programmatic way.
- Rescue the lessons of other processes and shorten times.
- Ensure that good practices are shared and applied between projects.
- That the accompanying initiatives have coherence in the relationship with the actors involved.
- See strategies to incorporate the gender and intercultural approaches that are part of UNDP policy.
- This project is a pioneer in working on the socioecosystem resilience approach. We have invested in the conceptualization of the approach and now we must see the ways to share it.
- Give space to political advocacy. Together with SERNANP. See how to join the SERNANP strategies to dialogue and influence national processes.
- Sustainability strategies / exit strategies should work as an initiative. Especially, in the case of Outcome 2, with the partners, what would be the strategy to give it sustainability.
- The national priorities included in the project should help to enter and engage with national processes.

Deyvis Huamán

- Give emphasis to communication, articulation with other projects and initiatives, in the elaboration of framework documents, how the resilience approach is incorporated.
- The level of intervention is planning, construction of concepts. It is a different approach to EBA that was at the community level.

Fabiola Berrocal

- Do not lose sight of the indicators at the objective level.

Annex 15: Tracking Tools – Start of the Project



Land Degradation Focal Area - Portfolio Monitoring and Tracking Tool (PMAT)

PROJECT IDENTIFICATION

1. Project Title	Transforming Management of Protected Area/Landscape Complexes to Strengthen Ecosystem Resilience
2. GEF ID:	5080
3. Project Implementation Period (Indicate: starting and ending dates)	2014-2020
4. PMAT Completion Date	
a. CEO Endorsement/Approval Document	1st April 2014
b. Annual (specify year) – TO BE LINKED TO PIR	N/A
c. Project Closure (specify year)	N/A
5. Person Responsible for Completing the PMAT (Indicate Name, Position, Institution):	Rudy Valdivia, SERNANP
6. Scale of Project - Refer to Guidelines for definition and check (x) only the most appropriate.	
a. Global	
b. Regional	
c. Sub regional/ Transboundary	
d. National	x
e. Sub national - district, provincial	
f. Site - landscape, watershed/catchment, river basin (specify)	



ART I – PROJECT CONTEXT AND TARGETED IMPACTS

1. Agro-ecological context – Characterization of area in which project is located			
1. a	What agroecological zone(s) is the project situated? Select the most appropriate from the drop down menu.	v. Humid	Select
1. b.	What production system(s) will the project target? Please provide an estimated coverage of the area targeted. <i>¿Qué sistema (s) de producción será el objetivo del proyecto? Sírvase proporcionar una cobertura estimada del área destinada.</i>		
	i. Agriculture (including food crop, tree crop, and crop-livestock) <i>i. Agricultura (incluyendo cultivos alimentarios, cultivos arbóreos y cultivos-ganado)</i>	317,713ha (area of agriculture in the 20 districts directly targeted - 2012 Agricultural Census)	Hectares
	ii. Rangeland	N/A	Hectares
	iii. Pastoral	N/A	Hectares
	iv. Forestry <i>iv. forestería</i>	15,833ha (total area of CBFM in target areas - Indicator 2.3) Ojo - esto es LB	Hectares
	v. Mixed Systems	N/A	Hectares
1. c.	Focus of project interventions – Please provide total area covered for only those that apply		
	i. Improved agricultural management (crop and crop-livestock) <i>i. Mejora de la gestión agrícola (cultivos y cultivos-ganado)</i>	2,000ha (target for additional area of agroforestry systems in buffer zones -	Hectares

		Indicador 2.4)	
	ii. Improved rangeland and pasture management (livestock based)	N/A	Hectares
	iii. Improved forest management (SFM) <i>iii. Mejor gestión forestal (MFS)</i>	5,800ha (target for area of CBFM with incorporation of CC resilience - Indicator 2.3)	Hectares
	iv. Restoration of degraded lands	N/A	Hectares
	v. Re-vegetation, Reforestation	N/A	Hectares
	vi. Protection of natural resources (e.g. Newly designated protected areas, erosion/flood/landslide control)	N/A	Hectares
	vii. Integrated landscape management (land-water-vegetation)	N/A	Hectares
1. d.	What types of agricultural land use and/or farming practices are employed in the target area? Please provide an estimated coverage as appropriate. <i>¿Qué tipos de uso de tierras agrícolas y / o prácticas de cultivo se emplean en el área objetivo? Proporcione una cobertura estimada según corresponda.</i>		
	i. Rain-fed <i>i. alimentado con lluvia</i>	317,713	Hectares
	ii. Irrigated	N/A	Hectares
	iii. Mixed	N/A	Hectares
2. Socio-economic context - Characterization of affected communities and populations			
2. a.	Numbers of rural people		
	Male	11,572	Number
	Female	9,468	Number
2. b.	Number of people defined as poor		
	Male	11,572	Number
	Female	9,468	Number
2. c.	Number of urban/peri-urban people		

	Male	N/A	Number
	Female	N/A	Number
2. d.	Average annual farm production (crop, livestock) <i>Producción agrícola media anual (cultivos, ganado)</i>		
	Crop (Main Crop Only) <i>Cultivo (cultivo principal solamente)</i>	2.18	Tons/Hectare
	Livestock	N/A	Number/ha
2. e.	Average annual income (per capita) <i>Promedio de ingresos anuales (per cápita)</i>	2,357	US\$
3. Land Degradation (desertification and deforestation) problem			
3. a.	What is the extent of land degradation within the project boundary?		
	i. Agriculture (including food crop, tree crop, and crop-livestock):	See data in 3.b. No reliable data available on current extent of degradation	Hectares
	ii. Rangeland	N/A	Hectares
	iii. Pastoral	N/A	Hectares
	iv. Forestry	N/A	Hectares
	v. Mixed Systems	N/A	Hectares
3. b.	What is the nature of land degradation to be addressed directly? Please refer to guidelines and check (X) only the most relevant and provide relevant data where applicable and available <i>¿Cuál es la naturaleza de la degradación de la tierra que se debe abordar directamente? Por favor refiérase a las guías y marque (X) sólo las más relevantes y proporcione los datos relevantes donde sea aplicable y disponible</i>		
	i. Loss of vegetative cover <i>i. Pérdida de la cubierta vegetal</i>	32,537 ha/year	
	ii. Degradation of vegetation (biomass, health, damage, age structure)	N/A	
	iii. Degradation of soil properties (chemical, physical and biological)	N/A	
	iv. Soil loss by wind / water erosion <i>iv. Pérdida del suelo por erosión eólica / hídrica</i>	2.64	Tons/Hectare/year
	v. Loss of land by soil deposits and moving sand dunes	N/A	
	vi. Loss of above-ground carbon <i>vi. Pérdida de carbono sobre el suelo</i>	305tCO ₂ e q/ha x 32,537ha/year	tCO ₂ eq/Hectare/year

		deforestation	
	vii. Loss of soil carbon	N/A	
	viii. Declining land productivity - based on Net Primary Productivity measure	N/A	
	ix. Loss of biodiversity characterized at habitat level - based on Biodiversity Intactness Index	N/A	Index
	x. Loss of biodiversity characterized at species level	N/A	
	xi. Increase in invasive, harmful or less useful species	N/A	
	xii. Loss/reduced water supply (surface and ground water)	N/A	
	xiii. Loss/reduced water quality (surface and ground water)	N/A	
	xiv. Lowering of groundwater table / reduced aquifer	N/A	
	xv. Loss of wetlands and their functions	N/A	
	xvi. Increased extent and severity of flood, drought, storm damage	N/A	
3. c.	<p>What are the direct causes or drivers of land degradation? Please refer to guidelines and check (X) only those that apply under each relevant category.</p> <p><i>¿Cuáles son las causas o causas directas de la degradación de la tierra? Por favor, consulte las directrices y marque (X) sólo aquellas que se aplican en cada categoría relevante.</i></p>		
	i. Soil management		
	(s1) Cultivation of highly unsuitable / vulnerable soils	N/A	Check (X) only those that apply
	(s2) Missing or insufficient soil conservation / runoff and erosion control measures <i>(s2) Falta o insuficiencia de medidas de control de la conservación / escorrentía y erosión del suelo</i>	X	
	(s3) Heavy machinery (including timing of heavy machinery use)	N/A	
	(s4) Tillage practice	N/A	
	(s5) Other (specify)	N/A	
	ii. Crop and rangeland management		
	(c1) Reduction of plant cover and residues	N/A	Check (X) only those that apply
	(c2) Inappropriate application of manure, fertilizer, herbicides, pesticides and other agrochemicals or waste	N/A	
	(c3) Nutrient mining	N/A	
	(c4) Shortening of the fallow period in shifting cultivation <i>(c4) Acortamiento del período de barbecho en cultivos móviles</i>	X	
	(c5) Inappropriate irrigation	N/A	
	(c6) Inappropriate use of water in rainfed agriculture	N/A	

(c7) Bush encroachment and bush thickening	N/A	
(c8) Occurrence and spread of weeds and invader plants	N/A	
(c9) Other (specify)	N/A	
iii. Deforestation and removal of natural vegetation		
(f1) Large-scale commercial forestry	N/A	<i>Check (X) only those that apply</i>
(f2) Expansion of urban / settlement areas and industry	N/A	
(f3) Conversion to agriculture <i>(f3) Conversión a la agricultura</i>	X	
(f4) Forest / grassland fires	N/A	
(f5) Road and rail construction	N/A	
(f6) Other (specify: _____)	N/A	
iv. Over-exploitation of vegetation for domestic use		
(e1) Excessive gathering of fuel wood, (local) timber, fencing materials	N/A	<i>Check (X) only those that apply</i>
(e2) Removal of fodder	N/A	
(e3) Other (specify: _____)	N/A	
v. Overgrazing		
(g1) Excessive numbers of livestock	N/A	<i>Check (X) only those that apply</i>
(g2) Trampling along animal paths	N/A	
(g3) Overgrazing and trampling around or near feeding, watering and shelter points	N/A	
(g4) Too long or extensive grazing periods in a specific area or camp	N/A	
(g5) Change in livestock composition	N/A	
(g6) Other (specify: _____)	N/A	
vi. Industrial activities and mining		
(i1) Industry	N/A	<i>Check (X) only those that apply</i>
(i2) Mining	N/A	
(i3) Waste deposition	N/A	
(i4) Others (specify)	N/A	
vii. Urbanisation and infrastructure development		
(u1) Settlements and roads	N/A	<i>Check (X) only</i>
(u2) (Urban) recreation	N/A	

(u3) Other (specify: _____)	N/A	those that apply
viii. Discharges from		
(p1) Sanitary sewage disposal	N/A	Check (X) only those that apply
(p2) Waste water discharge	N/A	
(p3) Excessive runoff	N/A	
(p4) Poor and insufficient infrastructure to deal with urban waste	N/A	
(p5) Other (specify: _____)	N/A	
ix. Release of airborne pollutants leading to		
(q1) Contamination of vegetation/ crops and soil	N/A	Check (X) only those that apply
(q2) Contamination of surface and ground water resources:	N/A	
(q3) Other (specify: _____)	N/A	
x. Disturbance of the water cycle leading to		
(w1) Lower infiltration rates / increased surface runoff	N/A	
(w2) Other (specify: _____)	N/A	
xi. Over-abstraction / excessive withdrawal of water		
(o1) Irrigation	N/A	Check (X) only those that apply
(o2) Industrial use	N/A	
(o3) Domestic use	N/A	
(o4) Mining activities	N/A	
(o5) Decreasing water use efficiency	N/A	
(o6) Other (specify: _____)	N/A	
xii. Natural causes <i>xii. Causas naturales</i>		
(n1) Change in temperature <i>(n1) Cambio de temperatura</i>	X	Check (X) only those that apply
(n2) Change of seasonal rainfall <i>(n2) Cambio de las precipitaciones estacionales</i>	X	

	(n3) Heavy/extreme rainfall (intensity and amounts) <i>(n3) Precipitaciones intensas / extremas (intensidad y cantidades)</i>	X	
	(n4) Windstorms / dust storms	N/A	
	(n5) Floods	N/A	
	(n6) Droughts <i>(n6) Sequias</i>	X	
	(n7) Topography <i>(n7) topografía</i>	X	
	(n8) Other (specify: _____ _____)	N/A	
3. d.	What are the indirect drivers/causes of land degradation? Indicate (X) only those that apply <i>¿Cuáles son los factores / causas indirectos de la degradación de la tierra? Indique (X) solamente aquellos que se aplican</i>		
	i. Population pressure <i>i. Presión de la población</i>	X	Check (X) only those that apply
	ii. Consumption pattern and individual demand <i>ii. Patrón de consumo y demanda individual</i>	X	
	iii. Land Tenure <i>iii. Tenencia de la tierra</i>	X	
	iv. Poverty <i>iv. Pobreza</i>	X	
	v. Labour availability	N/A	
	vi. Inputs and infrastructure	N/A	
	vii. Education, awareness raising and access to knowledge and support services and loss of knowledge <i>vii. Educación, sensibilización y acceso al conocimiento y servicios de apoyo y pérdida de conocimientos</i>	X	
	viii. War and conflict	N/A	
	ix. Governance, institutions and politics <i>ix. Gobernanza, instituciones y política</i>	X	
	x. Other (specify: _____ _____)	N/A	

4. What are the effects of land degradation on ecosystem services? Please refer to the guidelines for description of the impacts. Select all that apply and then use rating provided below to indicate nature of the impact.

4. ¿Cuáles son los efectos de la degradación de la tierra en los servicios de los ecosistemas? Consulte las directrices para la descripción de los impactos. Seleccione todo lo que corresponda y luego use la calificación proporcionada a continuación para indicar la naturaleza del impacto.

1: High negative effect: land degradation contributes negatively (more than 50%) to changes in ES

1. *Alto efecto negativo: la degradación de la tierra contribuye negativamente (más del 50%) a los cambios en Ssee*

2: Negative effect: land degradation contributes negatively (10-50%) to changes in ES

2. *Efecto negativo: la degradación de la tierra contribuye negativamente (10-50%) a los cambios en ssee*

3: Little or no effect: contribution of land degradation to changes in ES is modest or negligible (0-10%)

3. *Poco o ningún efecto: la contribución de la degradación de la tierra a los cambios en ssee es modesta o insignificante (0-10%)*

4: Positive effect: land degradation contributes positively (10-50%) to the changes in ES

4. *Efecto positivo: la degradación de la tierra contribuye positivamente (10-50%) a los cambios en ssee*

5: High positive effect: land degradation contributes positively (more than 50%) to changes in ES.

5. *Alto efecto positivo: la degradación de la tierra contribuye positivamente (más del 50%) a los cambios en ssee.*

a. Productive services <i>a. servicios productivos</i>			
	(P1) Production (of animal / plant quantity and quality including biomass for energy) and risk <i>Producción (de cantidad y calidad de animales / plantas, incluida la biomasa para la energía) y de riesgo</i>	2	Rating
	(P2) Clean water supply for human, animal and plant consumption <i>Abastecimiento de agua limpia para consumo humano, animal y vegetal</i>	2	
	(P3) Land availability (area of land for production per person) <i>Disponibilidad de tierras (superficie de producción por persona)</i>	2	
	(P4) Other (specify: _____)		

b. Water services <i>b. Servicios de agua</i>		
(E1) Regulation of excessive water such as excessive rains, storms, floods <i>(E1) Regulación del exceso de agua tal como lluvias excesivas, tormentas, inundaciones</i>	2	Rating
(E2) Regulation of scarce water and its availability <i>(E2) Regulación de la escasez de agua y su disponibilidad</i>	2	
c. Soil services <i>c. servicios de suelo</i>		
(E3) Organic matter status <i>(E3) Estado de materia orgánica</i>	2	Rating
(E4) Soil cover <i>(E4) Cubierta del suelo</i>	2	
(E5) Soil structure surface and subsoil affecting infiltration, water and nutrient holding capacity <i>(E5) Superficie del suelo y subsuelo que afectan la infiltración, el agua y la capacidad de retención de nutrientes</i>	2	
(E6) Nutrient cycle (N, P, K) and the carbon cycle © <i>(E6) Ciclo de nutrientes (N, P, K) y ciclo de carbono (C)</i>	2	
(E7) Soil formation (including wind-deposited soils) <i>(E7) La formación del suelo (incluyendo los suelos depositados por el viento)</i>		
d. Biodiversity		
(E8) Biodiversity (specify: advance of agricultural frontier into ecosystems of high conservation priority) <i>(E8) Biodiversidad (especificar: avance de la frontera agrícola en ecosistemas de alta prioridad de conservación)</i>	2	Rating
e. Climate services		
(E9) Greenhouse gas emission (CO2, methane) <i>(E9) Emisión de gases de efecto invernadero (CO2, metano)</i>	2	Rating

	(E10) (micro)-climate (wind, shade, temperature, humidity) <i>(E10) (micro) -clima (viento, sombra, temperatura, humedad)</i>	2	
	(E11) Others (specify)		
f. Socio-cultural services / human well-being and indicators <i>f. Servicios socio-culturales / bienestar humano e indicadores</i>			
	(S1) Spiritual, aesthetic, cultural landscape and heritage values, recreation and tourism, <i>(S1) Los valores espirituales, estéticos, culturales y patrimoniales, la recreación y el turismo,</i>	2	Rating
	(S2) Education and knowledge (including indigenous knowledge) <i>(S2) Educación y conocimiento (incluido el conocimiento indígena)</i>	2	
	(S3) Conflict resolution		
	(S4) Food & livelihood security and poverty <i>(S4) Seguridad alimentaria y de subsistencia y pobreza</i>	2	
	(S5) Health		
	(S6) Net income <i>(S6) Utilidad neta</i>	2	
	(S7) Protection / damage of private and public infrastructure <i>(S7) Protección / daños de la infraestructura pública y privada</i>	2	
	(S8) Marketing opportunities		
	(S9) Others (specify)		
5. Measurable global environmental benefits in the project target area <i>5. Beneficios medioambientales globales medibles en el área objetivo del proyecto</i>			
a. Land cover <i>a. cubierta del suelo</i>			
	i. Vegetative cover <i>i. cubierta vegetal</i>	16,269	Hectares
	ii. Biomass - Net Primary Productivity (NPP)		
	iii. Tree density		
b. Avoided emissions <i>B. Emisiones evitadas</i>			
	i. Carbon stocks	4,967,677	Tons/Hectare

	ii. Other GHG gases	N/A	Tons CO2 e/ Ha
c. Carbon sequestration <i>c. secuestro de carbono</i>			
	i. Above ground biomass <i>i. Biomasa sobre el suelo</i>	88.46	Tons CO2 e/ Ha
	ii. Soil Carbon <i>ii. Carbono del suelo</i>	306.07	Tons CO2 e/ Ha
d. Biodiversity conservation			
	i. Ecosystem status e.g. Biodiversity intactness index; sustained systems diversity	N/A	Index
	ii. Habitat protected <i>ii. Habitat protegido</i>	16,269	Hectares
	iii. Conservation status of target species	0	Percent Change
e. Surface and groundwater resources			
	i. Improved irrigation flow -land area	N/A	Hectares
	ii. Improved/increased water availability - land area	N/A	Hectares
6. Development benefits in the project target area <i>6. Beneficios para el desarrollo en el área del proyecto</i>			
	a. Productivity of crops (main crop only) <i>A. Productividad de los cultivos (cultivo principal solamente)</i>	No reliable data available <i>(no hay datos fiables disponibles)</i>	Tons/Hectare
	b. Livestock productivity	N/A	Number or Value
	c. Average annual income from crop and livestock production <i>C. Ingresos anuales medios de la producción agrícola y ganadera</i>	No reliable data available	US\$
	d. Average annual household income from forest and tree products - \$\$ value	N/A	US\$



PART II – PROJECT OUTCOMES AND ADAPTIVE MANAGEMENT

1. Outcome Monitoring

LDFA Objectives and Outcomes	Indicators and Measures		Notes/Units
<u>LD1 – Ecosystem services in production landscapes (agriculture, rangeland)</u>			-
i. An enhanced enabling environment within the agricultural sector	Agriculture Policy		Score - See "Score Guide" Tab
	Agricultural policies incorporating smallholder and community tenure security		Number
	Land tenure security		Score - See "Score Guide" Tab
ii. Improved agricultural management	Sustained agricultural productivity		Score - See "Score Guide" Tab
	Agriculture policies incorporating smallholder and community tenure security		Number
	Community vulnerability		Score - See "Score

			Guide" Tab
iii. Sustained flow of services in agro-ecosystems	Land area of production systems with increased vegetation cover		Hectares
	Land area under diversified production		Hectares
iv. Increased investments in SLM	1. Direct payments or PES schemes		US\$
	2. Small credit schemes		US\$
	3. Voluntary carbon market		US\$
	4. Eco-labeling, certification schemes		US\$
	4. Eco-labeling, certification schemes		
<u>LD2 – Ecosystem services in forest landscapes</u>			-
i. An enhanced enabling environment within the forest sector in dryland dominated countries	Forestry Policy		Score - See "Score Guide" Tab
	Forestry policies incorporating smallholder and community tenure security		Number
ii. Improved forest management in drylands	Provide total area under SFM by forest ownership		
	1. Community		Hectares
	2. Private		Hectares
	3. Government		Hectares
	Provide total spatial coverage of SFM practices and technologies and check (X) on all that apply in the list below		Hectares

	1. Best Management Practices/Reduced Impact Logging		<i>Check (X) only those that apply</i>
	2. Biodiversity conservation		
	3. Forest protection		
	4. Management planning and multiscale land-use planning		
	5. Participatory forestry		
	6. Sustained timber and NTFP production		
iii. Sustained flow of services in forest ecosystems in drylands	Forested area		Hectares
	Forest cover in project area (%)		Percent
	Standing volume / hectare forested area		M ³ /Hectare
iv. Increased investments in SFM	1. Direct payments or PES schemes		US\$
	2. Small credit schemes		US\$
	3. Voluntary carbon market		US\$
	4. Eco-labeling, certification schemes		US\$
LD3 – SLM in wider landscapes (integrated management)			-
i. Enhanced cross-sector enabling environment for integrated landscape management	Framework strengthening INRM	4	Score - See "Score Guide" Tab

	Integrated land management plans	9 out of 24 regions have zoning (ZEE) approved by February 2014 (Piura, Cajamarca, Amazonas, San Martín, Cusco, Madre de Dios, Huancavelica and Ayacucho). Lambayeque and Junín are close to completion. Huánuco, Pasco and Ucayali are around 40% through the process.	Number
	Capacity strengthening	3	Score - See "Score Guide" Tab
ii. Integrated landscape management practices adopted by local communities	Spatial coverage of integrated natural resource management practices in wider landscapes	36,518 (current area of agroforestry and community-based forest management in buffer zones)	Hectares
	Indicate number of INRM tools and methodologies introduced and list at most three below	0	Number
			List
iii. Increased investments in integrated landscape management	1. Direct payments or PES schemes	7,650,555	US\$
	2. Small credit schemes		US\$
	3. Voluntary carbon market		US\$

	4. Eco-labeling, certification schemes		US\$
LD4 – Adaptive management and SLM learning			
<p>i. Increased capacities of countries to fulfill obligations in accordance with the provisions provided in the UNCCD.</p> <p><i>i. Aumento de la capacidad de los países para cumplir sus obligaciones de conformidad con las disposiciones previstas en UNCCD</i></p>	<p>Will the project contribute to UNCCD reporting by country? Mark X Yes</p> <p>No X</p>		
	<p>Select the UNCCD 10-year Strategy Objective(s) to be directly addressed by project and describe nature of contribution:</p>		
	<p><i>SO1 To improve the living conditions of affected communities:</i> The project will generate significant and sustainable benefits for local people, in a win-win situation. The sustainability and stability of the target landscapes are to a large degree dependent on the stability of their existing local inhabitants, and the sustainability of their livelihood support systems. A large proportion of the stakeholders in the target areas are indigenous people, from a range of ethnic groups. Over most of the area, indigenous peoples have confirmed de jure rights over the territories which they have traditionally occupied and managed; in practice, however, their lands are subject to widespread encroachment from outside actors, principally colonist farmers of a range of scales and types. The promotion by the project of sustainable, climate-resilient production systems , within a framework of landscape-wide planning and capacity development will help these indigenous peoples to assert their occupancy of their traditional lands; at the same time, they will generate concrete economic benefits from them, which will constitute a social benefit in its own right but will also help further to motivate them to manage and protect their forests and other natural resources, contributing in turn to their sociocultural coherence and stability.</p> <p><i>SO2 To improve the conditions of affected ecosystems:</i> The project will generate major benefits for the land degradation focal area through the promotion of sustainable, resilient production systems, such as sustainable ranching practices in high altitude camelid pastures, tree-rich agroforestry systems for annual crops and shade coffee. These benefits will consist of i) enhanced ecosystem functionality, including sustained hydrological and nutrient cycles and natural pest/control balances (for example in the case of coffee, requiring reduced inputs of polluting agricultural chemicals) and ii) enhanced ecosystem services, such as increased water infiltration due to the presence of the tree component, reduced rainfall impact and erosion of soils due to increased soil cover, and increased carbon sequestration (estimated at 253,000tC) in the large amounts of woody matter and healthy soils present in agroforestry systems.</p>		

	<p><i>SO3 To generate global benefits through effective implementation of the UNCCD:</i> The project will focus in particular on improving the resilience of BD to the effects of climate change. For example, PAs will be spatially configured and managed in order to allow ecosystems and species to respond to the effects of the altitudinal movement of isotherms due to CC, by establishing and managing zones into which ecosystems can migrate, and connectivity zones to compensate the fragmentation of mountain-top ecosystems. The strengthening of PA management and enforcement will help to ensure the existence of core refugia for vulnerable species to help them survive changes in conditions in the broader landscape due to climate change; at the same time investments in improving the BD-friendliness of the broader landscape will help species to adapt to changes in conditions in natural ecosystems, migrating between the remnants as necessary.</p>	
	<p><i>SO4 To mobilize resources to support implementation of the Convention through building effective partnerships between national and international actors</i></p>	
	<p>Select Operational Objective(s) from the UNCCD 10-year Strategy to be directly supported by the project and describe nature of support.</p>	

	<p><i>1. Advocacy, awareness raising and education</i></p>	<p>The project will raise awareness among national stakeholders regarding the integrated, inter-institutional and landscape-wide approach that is proposed, and assist them to work together on its implementation, and to develop and apply national, regional and local guidelines in this regard. This will result in concrete benefits in terms of the nature and magnitude of the impacts generated by these institutions at field level. This awareness raising is of fundamental importance given the novelty of the approach proposed, which contrasts with the sector-based and vertical approaches that have tended to dominate to date. The targets of this awareness-raising will include actors in the environmental sector (MINAM and its dependencies such as the Directorates of Land Use Planning, Climate Change and Biodiversity, and as well as the staff of conservation projects under its responsibility, and national and international environmental NGOs); production sector institutions (e.g. MINAGRI and rural development NGOs), and local and regional governments (given their responsibilities for spatial, sector and development planning, and for environmental management and conservation).</p>	
	<p><i>2. Policy framework</i></p>		
	<p><i>3. Science, technology and knowledge</i></p>		

	<p><i>4. Capacity building</i></p>	<p>The project will support the development of capacities and mechanisms for making information, on the biological importance, fragility and productive potential of ecosystems, now and under a range of CC scenarios, easily available in useful formats (including maps, databases portals and publications), through information management systems and Geographical Information Systems. The project will strengthen existing environmental risk warning systems, to enable them to adapt effectively to changes in the magnitudes, nature and spatial configuration of events such as floods and fires, as a result of climate change. The project will work strengthen the capacities of local communities and their participation mechanisms (including PA management committees, ECAs, and indigenous organizations and federations), enabling them to analyse in an objective and informed manner the proposals developed through the project, to channel the interests and opinions of local stakeholders, and to develop and present “counter proposals” as appropriate.</p>	
	<p><i>5. Financing and technology transfer</i></p>	<p>The project will support the development of integrated training and extension modules for producers and producer organizations, focusing on BD-friendly and CC-resilient production practices such as those presented above and on environmental considerations in more general terms. These modules will be tailored to the different sociocultural and productive circumstances of colonists and indigenous people. Rather than focusing solely on vertical “technology transfer”, the project will support the development of capacities among the producers themselves for technology generation (including participatory experimentation, innovation and</p>	

			validation, based on the farmer field school model originally developed by the FAO), and for horizontal farmer-to-farmer technology communication.	
ii. Improved GEF portfolio monitoring using new and adapted tools and methodologies	Indicate contributions to be made by the project on the following:			
<i>ii. Mejora del monitoreo del portafolio del FMAM utilizando herramientas y metodologías nuevas y adaptadas</i>	1. Knowledge management websites			Number
	2. Exchange workshops			Number
	3. Knowledge management networks			Number
	4. Monitoring tools/systems established for			
	a) <i>Land Degradation Trends</i>			Number
	b) <i>Environment and Development Benefits</i>			Number
2. Co-financing from sectors				
i. Agriculture		US\$		
ii. Livestock		US\$		
iii. Forestry		US\$		
iv. Water		US\$		
v. Energy (hydropower)		US\$		
vi. Climate change mitigation (biofuel, bionergy, carbon offsets)	1,216,000	US\$	\$478,000 UNDP, from the project "Biodiversity Finance (BIOFIN)" and \$738,000 from the UN-REDD project	
vii. Climate change adaptation	10,518,880	US\$	\$7275000 UNDP from the project "Integrated climate change management of communal reserves in the Amazon", \$910,000 UNDP from the project "Ecosystem based Adaptation in mountain ecosystems" and \$2,333,880 COSUDE/SIDA from the "Climate Change Adaptation Programme (PAC II)"	
3. Knowledge application				

a. Knowledge resources utilized from GEF-financed targeted research (describe)				
i. Data	N/A			
ii. Tools and Methodologies	N/A			
iii. Best Practices	N/A			
b. Knowledge resources contributed to focal area learning objectives (describe)				
i. Data	N/A			
ii. Tools and Methodologies	N/A			
iii. Best Practices	N/A			
4. Knowledge contribution as global public goods				
a. Knowledge resources and products (Describe and list under each category)				
i. Publications	Under Output 2.1, the project will support the development and implementation of information management systems and a communication strategy, which will include the production of relevant publications.			
ii. Tools and Methodologies	N/A			
iii. Best practice guidelines	N/A			
b. Knowledge dissemination (Describe)				
i. Websites	N/A			
ii. Workshops	N/A			
iii. Conferences and seminars	N/A			
iv. Networks	N/A			
5. SLM Learning				
<i>a. Describe how and what the project will contribute toward a framework and tools for linking the measurement of GEBs at project level to impacts across multiple scales.</i>				

The monitoring system of the project, featuring a diverse and complementary set of indicators, has the potential for portfolio-wide application.	
<i>b. Describe how the project will increase understanding of multiple benefits from integrated management of landscape mosaics, and mixed agricultural and forest ecosystems.</i>	
The project's indicators cover a wide range of environmental benefits covering BD, LD and SFM. Under Output 2.1a, the project will support information management systems regarding the multiple environmental benefits generated from the integrated management of landscape mosaics, and will develop and implement a communication strategy to systematize and communicate these benefits among diverse stakeholders.	



Guidance on Scores

Scores to be included into the LD PMAT (heading numbers refer to numbers for section on Outcomes and Adaptive Management)

PART II - PROJECT OUTCOMES AND ADAPTIVE MANAGEMENT

LD1 – Ecosystem services in production landscapes (agriculture, rangeland)

LD1.i Agriculture policy enhancement score		
Rating	Benchmark	Notes
1	no sector policy/regulation framework in place	Baseline assessment made during project design and planning phase and repeated annual assessments reported in PIRs
2	sector policy/regulation framework has been discussed and formally proposed	
3	sector policy/regulation framework have been formally proposed but not adopted	
4	sector policy/regulation framework formally adopted by the Government but weak enforcement mechanisms	
5	sector policy/regulation framework are enforced	

LD1.i Land tenure security of affected farmers / communities		
Rating	Benchmark	Notes
1	No land tenure arrangements and use rights in place	Baseline assessment made during project design and planning phase and repeated annual assessments reported in PIRs
2	Land tenure arrangements and use rights partially in place	
3	Land tenure arrangements and use rights in place	
4	Land tenure and use rights effectively in place	
5	Land tenure and use rights secured and protected over the long-term	

LD1.ii Sustained agricultural productivity score		
Rating	Benchmark	Notes
1	Yields of main crops / livestock productivity decreased	Available data on yields of main crops / livestock productivity will be
2	Yields of main crops / livestock productivity stable	
3	Yields of main crops / livestock productivity with annual increase	
4	Yields of main crops / livestock productivity with >2years increase during project lifetime	

	5	Yields of main crops / livestock productivity with increases that are sustained over the long-term	provided as baseline during project design and planning phase and repeated within the monitoring of the project and reported annually through PIRs
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LD1. ii. Rate local population's perception of the vulnerability of their livelihood (based on specific factor) - Community Vulnerability			Annual assessment (preferably from participatory household surveys disaggregated by gender)
	1	Extreme Vulnerability	
	2	High Vulnerability	
	3	Medium Vulnerability	
	4	Low Vulnerability	
	5	No Vulnerability	

LD2 - Ecosystem services in forest landscapes

LD2.i Forest policy enhancement score			
Rating	Benchmark		Notes
	1	no sector policy/regulation framework in place	Baseline assessment made during project design and planning phase and repeated annual assessments reported in PIRs
	2	sector policy/regulation framework has been discussed and formally proposed	
	3	sector policy/regulation framework have been formally proposed but not adopted	
	4	sector policy/regulation framework formally adopted by the Government but weak enforcement mechanisms	
	5	sector policy/regulation framework are enforced	

LD3 - SLM in wider landscapes (integrated management)

SLM en paisajes más amplios (gestión integrada)

LD3.i Framework strengthening INRM			
LD3.i Fortalecimiento del marco INRM			
Rating	Benchmark		Notes
	1	no INRM framework in place	Baseline assessment
	2	INRM framework has been discussed and formally proposed	

	3	INRM framework have been formally proposed but not adopted <i>El marco del INRM ha sido propuesto formalmente pero no ha sido adoptado</i>	made during project design and planning phase and repeated annual assessments reported in PIRs
	4	INRM framework formally adopted by stakeholders but weak enforcement mechanisms <i>Marco del INRM adoptado formalmente por las partes interesadas pero mecanismos de ejecución débiles</i>	
	5	INRM framework is enforced <i>El marco del INRM se aplica</i>	

LD3.i Capacity strengthening to enhance cross-sector enabling environment

LD3.i Fortalecimiento de la capacidad para mejorar el entorno transectorial

Rating	Benchmark	Notes	
	1	No capacity built	Baseline assessment made during project design and planning phase and repeated annual assessments reported in PIRs
	2	Initial awareness raised (e.g. workshops, seminars)	
	3	Cross-sectoral training courses addressing cross-sectoral issues are conducted	
	4	Knowledge effectively transferred (e.g. working groups tackle cross-sectoral issues)	
	5	Application of enhanced capacity demonstrated (framework, regulations, mechanism, structures for cross-sectoral management in place)	



ool for Biodiversity Projects in GEF-3, GEF-4, and GEF-5

Objective 1: Catalyzing Sustainability of Protected Area Systems

SECTION I

Objective: To measure progress in achieving the impacts and outcomes established at the portfolio level under the biodiversity focal area.

Rationale: Project data from the GEF-3, GEF-4, and GEF-5 project cohort will be aggregated for analysis of directional trends and patterns at a portfolio-wide level to inform the development of future GEF strategies and to report to GEF Council on portfolio-level performance in the biodiversity focal area.

Structure of Tracking Tool: Each tracking tool requests background and coverage information on the project and specific information required to track portfolio level indicators in the GEF-3, GEF-4, and GEF-5 strategy.

Guidance in Applying GEF Tracking Tools: GEF tracking tools are applied three times: at CEO endorsement, at project mid-term, and at project completion.

Submission: The finalized tracking tool will be cleared by the GEF Agencies as being correctly completed.

Important: Please read the Guidelines posted on the GEF website before entering your data

I. General Data	Please indicate your answer here	Notes
Project Title	Transforming Management of Protected Area/Landscape Complexes to Strengthen Ecosystem Resilience	
GEF Project ID	5050	
Agency Project ID	5152	
Implementing Agency	UNDP	
Project Type	FSP	FSP or MSP
Country	Peru	
Region	LCR	
Date of submission of the tracking tool	lunes, 21 de abril de 2014	Month DD, YYYY (e.g., May 12, 2010)
Name of reviewers completing tracking tool and completion date	Genaro Yarupaitán, et al. November 2013	Completion Date
Planned project duration	6	years
Actual project duration		years
Lead Project Executing Agency (ies)	MINAM	

Date of Council/CEO Approval		Month DD, YYYY (e.g., May 12, 2010)
GEF Grant (US\$)	8,991,434	
Cofinancing expected (US\$)	50,712,678	
II. Total Extent in hectares of protected areas targeted by the project by biome type		
Please indicate your answer here		
Please use the following biomes provided below and place the coverage data within these biomes		
Terrestrial (insert total hectares for terrestrial coverage and then provide coverage for each of the terrestrial biomes below)		
Total hectares	5,966,203	ha
Tropical and subtropical moist broadleaf forests (tropical and subtropical, humid)	5,946,291	ha
Tropical and subtropical dry broadleaf forests (tropical and subtropical, semi-humid)	0	ha
Tropical and subtropical coniferous forests (tropical and subtropical, semi-humid)	0	ha
Temperate broadleaf and mixed forests (temperate, humid)	0	ha
Temperate coniferous forests (temperate, humid to semi-humid)	0	ha
Boreal forests/taiga (subarctic, humid)	0	ha
Tropical and subtropical grasslands, savannas, and shrublands (tropical and subtropical, semi-arid)	19,912	ha
Temperate grasslands, savannas, and shrublands (temperate, semi-arid)	0	ha
Flooded grasslands and savannas (temperate to tropical, fresh or brackish water inundated)	12,775	ha
Mangroves	0	ha
Montane grasslands and shrublands (alpine or montane climate)	632,764	ha
Tundra (Arctic)	0	ha
Mediterranean forests, woodlands, and scrub or Sclerophyll forests (temperate warm, semi-humid to semi-arid with winter rainfall)	0	ha
Deserts and xeric shrublands (temperate to tropical, arid)	0	ha
Mangrove (subtropical and tropical, salt water inundated)	0	ha
Freshwater (insert total hectares for freshwater coverage and then provide coverage for each of the freshwater biomes below)		
Total hectares		ha
Large lakes		ha
Large river deltas		ha
Polar freshwaters		ha

Montane freshwaters	7,787,149	ha
Temperate coastal rivers		ha
Temperate floodplain rivers and wetlands		ha
Temperate upland rivers		ha
Tropical and subtropical coastal rivers		ha
Tropical and subtropical floodplain rivers and wetlands	3,346,720	ha
Tropical and subtropical upland rivers	5,937,317	ha
Xeric freshwaters and endorheic basins		ha
Oceanic islands		ha
Marine (insert total hectares for marine and then distinguish coverage between each of the following zones)		
Total hectares	0	ha
Coral reefs	0	ha
Estuaries	0	ha
Ocean (beyond EEZ)	0	ha
III. Please complete the table below for the protected areas that are the target of the GEF intervention and add new sections for each protected area if the project extends beyond four Pas. Use NA for not applicable.		
1. Protected Area		
Name of Protected Area	Yanachaga-Chemillén	
Is this a new protected area?	0	Yes = 1, No = 0
Area in Hectares	122,000	100% Tropical and subtropical moist broadleaf forests (tropical and subtropical, humid)
Global designation or priority lists	Forms part of the Oxapampa-Ashaninka-Yanesha Biosphere Reserve	(E.g., Biosphere Reserve, World Heritage site, Ramsar site, WWF Global 2000, etc.)
Local Designation of Protected Area	National Park	(E.g, indigenous reserve, private reserve, etc.)
IUCN Category	2	1: Strict Nature Reserve/Wilderness Area: managed mainly for science or wilderness protection 2: National Park: managed mainly for ecosystem protection and recreation 3: Natural Monument: managed mainly for conservation of specific natural features 4: Habitat/Species

		Management Area: managed mainly for conservation through management intervention 5: Protected Landscape/Seascape: managed mainly for landscape/seascape protection and recreation 6: Managed Resource Protected Area: managed mainly for the sustainable use of natural ecosystems
2. Protected Area		
Name of Protected Area	Yanesha Communal Reserve	
Is this a new protected area?	0	Yes = 1, No = 0
Area in Hectares	34,745	100% Tropical and subtropical moist broadleaf forests (tropical and subtropical, humid)
Global designation or priority lists	Forms part of the Oxapampa-Ashaninka-Yanesha Biosphere Reserve	(E.g., Biosphere Reserve, World Heritage site, Ramsar site, WWF Global 2000, etc.)
Local Designation of Protected Area	Communal Reserve	(E.g, indigenous reserve, private reserve, etc.)
IUCN Category	6	1: Strict Nature Reserve/Wilderness Area: managed mainly for science or wilderness protection 2: National Park: managed mainly for ecosystem protection and recreation 3: Natural Monument: managed mainly for conservation of specific natural features 4: Habitat/Species Management Area: managed mainly for conservation through management intervention 5: Protected Landscape/Seascape: managed mainly for landscape/seascape protection and recreation 6: Managed Resource Protected Area: managed

		mainly for the sustainable use of natural ecosystems
3. Protected Area		
Name of Protected Area	San Matías-San Carlos	
Is this a new protected area?	0	Yes = 1, No = 0
Area in Hectares	145,818	100% Tropical and subtropical moist broadleaf forests (tropical and subtropical, humid)
Global designation or priority lists	Forms part of the Oxapampa-Ashaninka-Yanesha Biosphere Reserve	(E.g., Biosphere Reserve, World Heritage site, Ramsar site, WWF Global 2000, etc.)
Local Designation of Protected Area	Protection Forest	(E.g, indigenous reserve, private reserve, etc.)
IUCN Category	6	1: Strict Nature Reserve/Wilderness Area: managed mainly for science or wilderness protection 2: National Park: managed mainly for ecosystem protection and recreation 3: Natural Monument: managed mainly for conservation of specific natural features 4: Habitat/Species Management Area: managed mainly for conservation through management intervention 5: Protected Landscape/Seascape: managed mainly for landscape/seascape protection and recreation 6: Managed Resource Protected Area: managed mainly for the sustainable use of natural ecosystems

4. Protected Area		
Name of Protected Area	El Sira	
Is this a new protected area?	0	Yes = 1, No = 0
Area in Hectares	616,413	100% Tropical and subtropical moist broadleaf forests (tropical and subtropical, humid)
Global designation or priority lists	Oxapampa-Ashaninka-Yanesha Biosphere Reserve	(E.g., Biosphere Reserve, World Heritage site, Ramsar site, WWF Global 2000, etc.)
Local Designation of Protected Area	Communal Reserve	(E.g, indigenous reserve, private reserve, etc.)
IUCN Category	6	<p>1: Strict Nature Reserve/Wilderness Area: managed mainly for science or wilderness protection</p> <p>2: National Park: managed mainly for ecosystem protection and recreation</p> <p>3: Natural Monument: managed mainly for conservation of specific natural features</p> <p>4: Habitat/Species Management Area: managed mainly for conservation through management intervention</p> <p>5: Protected Landscape/Seascape: managed mainly for landscape/seascape protection and recreation</p> <p>6: Managed Resource Protected Area: managed mainly for the sustainable use of natural ecosystems</p>
5. Protected Area		
Name of Protected Area	Manu National Park	
Is this a new protected area?	0	Yes = 1, No = 0
Area in Hectares	1,716,295	99% Tropical and subtropical moist broadleaf forests (tropical and subtropical, humid) 1% Tropical and subtropical grasslands, savannas, and shrublands (tropical and subtropical, semi-arid)

Global designation or priority lists	Forms part of the Manu Biosphere Reserve and the Vilcabamba-Amboró Conservation Corridor. World Heritage Site.	(E.g., Biosphere Reserve, World Heritage site, Ramsar site, WWF Global 2000, etc.)
Local Designation of Protected Area	National Park	(E.g, indigenous reserve, private reserve, etc.)
IUCN Category	2	<p>1: Strict Nature Reserve/Wilderness Area: managed mainly for science or wilderness protection</p> <p>2: National Park: managed mainly for ecosystem protection and recreation</p> <p>3: Natural Monument: managed mainly for conservation of specific natural features</p> <p>4: Habitat/Species Management Area: managed mainly for conservation through management intervention</p> <p>5: Protected Landscape/Seascape: managed mainly for landscape/seascape protection and recreation</p> <p>6: Managed Resource Protected Area: managed mainly for the sustainable use of natural ecosystems</p>
6. Protected Area		
Name of Protected Area	Alto Purús National Park	
Is this a new protected area?	0	Yes = 1, No = 0
Area in Hectares	2,510,694	100% Tropical and subtropical moist broadleaf forests (tropical and subtropical, humid)
Global designation or priority lists	Forms part of the Vilcabamba-Amboró Conservation Corridor	(E.g., Biosphere Reserve, World Heritage site, Ramsar site, WWF Global 2000, etc.)
Local Designation of Protected Area	National Park	(E.g, indigenous reserve, private reserve, etc.)
IUCN Category	2	1: Strict Nature Reserve/Wilderness Area:

		<p>managed mainly for science or wilderness protection</p> <p>2: National Park: managed mainly for ecosystem protection and recreation</p> <p>3: Natural Monument: managed mainly for conservation of specific natural features</p> <p>4: Habitat/Species Management Area: managed mainly for conservation through management intervention</p> <p>5: Protected Landscape/Seascape: managed mainly for landscape/seascape protection and recreation</p> <p>6: Managed Resource Protected Area: managed mainly for the sustainable use of natural ecosystems</p>
7. Protected Area		
Name of Protected Area	Purús Communal Reserve	
Is this a new protected area?	0	Yes = 1, No = 0
Area in Hectares	202,033	100% Tropical and subtropical moist broadleaf forests (tropical and subtropical, humid)
Global designation or priority lists	Forms part of the Vilcabamba-Amboró Conservation Corridor	(E.g., Biosphere Reserve, World Heritage site, Ramsar site, WWF Global 2000, etc.)
Local Designation of Protected Area	Communal Reserve	(E.g, indigenous reserve, private reserve, etc.)
IUCN Category	6	<p>1: Strict Nature Reserve/Wilderness Area: managed mainly for science or wilderness protection</p> <p>2: National Park: managed mainly for ecosystem protection and recreation</p> <p>3: Natural Monument: managed mainly for conservation of specific natural features</p> <p>4: Habitat/Species Management Area:</p>

		managed mainly for conservation through management intervention
		5: Protected Landscape/Seascape: managed mainly for landscape/seascape protection and recreation
		6: Managed Resource Protected Area: managed mainly for the sustainable use of natural ecosystems
8. Protected Area		
Name of Protected Area	Amarakaeri	
Is this a new protected area?	0	Yes = 1, No = 0
Area in Hectares	402,356	100% Tropical and subtropical moist broadleaf forests (tropical and subtropical, humid)
Global designation or priority lists	Forms part of the Vilcabamba-Amboró Conservation Corridor	(E.g., Biosphere Reserve, World Heritage site, Ramsar site, WWF Global 2000, etc.)
Local Designation of Protected Area	Communal Reserve	(E.g, indigenous reserve, private reserve, etc.)
IUCN Category	6	1: Strict Nature Reserve/Wilderness Area: managed mainly for science or wilderness protection
		2: National Park: managed mainly for ecosystem protection and recreation
		3: Natural Monument: managed mainly for conservation of specific natural features
		4: Habitat/Species Management Area: managed mainly for conservation through management intervention
		5: Protected Landscape/Seascape: managed mainly for landscape/seascape protection and recreation
		6: Managed Resource Protected Area: managed mainly for the sustainable use of natural ecosystems

9. Protected Area		
Name of Protected Area	Megantoni	
Is this a new protected area?	0	Yes = 1, No = 0
Area in Hectares	215,869	100% Tropical and subtropical moist broadleaf forests (tropical and subtropical, humid)
Global designation or priority lists	Forms part of the Vilcabamba-Amboró Conservation Corridor	(E.g., Biosphere Reserve, World Heritage site, Ramsar site, WWF Global 2000, etc.)
Local Designation of Protected Area	National Sanctuary	(E.g, indigenous reserve, private reserve, etc.)
IUCN Category	3	<p>1: Strict Nature Reserve/Wilderness Area: managed mainly for science or wilderness protection</p> <p>2: National Park: managed mainly for ecosystem protection and recreation</p> <p>3: Natural Monument: managed mainly for conservation of specific natural features</p> <p>4: Habitat/Species Management Area: managed mainly for conservation through management intervention</p> <p>5: Protected Landscape/Seascape: managed mainly for landscape/seascape protection and recreation</p> <p>6: Managed Resource Protected Area: managed mainly for the sustainable use of natural ecosystems</p>



Objective 1: Catalyzing Sustainability of Protected Area Systems

SECTION II: Management Effectiveness Tracking Tool for Protected Areas

Note: Please complete the management effectiveness tracking tool for **EACH** protected area that is the target of the GEF intervention and create a new worksheet for each.

Structure and content of the Tracking Tool - Objective 1. Section II:

The Tracking Tool has two main sections: datasheets and assessment form. Both sections should be completed.

1. Datasheets: the data sheet comprises of two separate sections:

ü Data sheet 1: records details of the assessment and some basic information about the site, such as name, size and location etc.

ü Data sheet 2: provides a generic list of threats which protected areas can face. On this data sheet the assessors are asked to identify threats and rank their impact on the protected area.

2. Assessment Form: the assessment is structured around 30 questions presented in table format which includes three columns for recording details of the assessment, all of which should be completed.

Important: Please read the Guidelines posted on the GEF website before entering your data

Data Sheet 1: Reporting Progress at Protected Area Sites	Please indicate your answer here	Notes
Name, affiliation and contact details for person responsible for completing the METT (email etc.)	Genaro Yarupaitán, Area Head gyarupaitan@sernanp.gob.pe	
Date assessment carried out	Nov 20, 2013	Month DD, YYYY (e.g., May 12, 2010)
Name of protected area	Yanachaga Chemillén National Park	

WDPA site code (these codes can be found on www.unep-wcmc.org/wdpa/)	-	
Designations(please choose 1-3)	3	1: National 2: IUCN Category 3: International (please complete lines 35-69 as necessary)
Country	Perú	
Location of protected area (province and if possible map reference)	Región Pasco, Provincia Oxapampa	
Date of establishment	1,986	
Ownership details (please choose 1-4)	1	1: State 2: Private 3: Community 4: Other
Management Authority	SERNANP	
Size of protected area (ha)	122,000	
Number of Permanent staff	19	
Number of Temporary staff	0	
Annual budget (US\$) for recurrent (operational) funds – excluding staff salary costs	55,859	Año 2014
Annual budget (US\$) for project or other supplementary funds – excluding staff salary costs	N/A	
What are the main values for which the area is designated	Conserves montane hydrological systems, biodiversity in unaltered zones of wet pajonal (grassland), cloud forest, hills and terraces, dwarf forests and podocarp stands	
List the two primary protected area management objectives in below:		

Management objective 1	To conserve ecosystems with great diversity of flora and wildlife, some in threat of extinction such as the otter (<i>Pteronura brasiliensis</i>) and other vulnerable, indeterminate or rare species.	
Management objective 2	To contribute to the protection of basins located in the slopes of the Yanachaga Mountain, assuring soil stability and the quantity and quality of waters	
No. of people involved in completing assessment	2	
Including: (please choose 1-8)	1	1: PA manager 2: PA staff 3: Other PA agency staff 4: Donors 5: NGOs 6: External experts 7: Local community 8: Other
Information on International Designations	Please indicate your answer here	
UNESCO World Heritage site (see: http://whc.unesco.org/en/list)		
Date Listed	0	

Site name	0	
Site area	0	
Geographical co-ordinates	0	
	0	
Criteria for designation	0	(i.e. criteria i to x)
Statement of Outstanding Universal Value	0	
	0	
Ramsar site (see: http://ramsar.wetlands.org)	0	
Date Listed	0	
Site name	0	
Site area	0	
Geographical number	0	
Reason for Designation (see Ramsar Information Sheet)	0	
	0	
UNESCO Man and Biosphere Reserves (see: http://www.unesco.org/new/en/natural-sciences/environment/ecological-sciences/man-and-biosphere-programme/)		
Date Listed	2010	
Site name	Oxapampa-Ashaninka-Yanesha Biosphere Reserve	
Site area	1867379 ha	Total, Core, Buffer, and Transition
Geographical co-ordinates	Long. 73°45'W - 76°15'W, Lat. 9°20'S - 11°05'S	
Criteria for designation	The Biosphere Reserve constitutes a very important conservation site due to the presence of indigenous cultures, sustainable crops and natural protected areas.	
Fulfillment of three functions of MAB	Yes	conservation, development and logistic support
	0	

Please list other designations (i.e. ASEAN Heritage, Natura 2000) and any supporting information below	0	
	0	Name
	0	Detail
	0	
	0	Name
	0	Detail
	0	
	0	Name
	0	Detail
Data Sheet 2: Protected Areas Threats (please complete a Data Sheet of threats and assessment for each protected area of the project).		
Please choose all relevant existing threats as either of high, medium or low significance. Threats ranked as of high significance are those which are seriously degrading values; medium are those threats having some negative impact and those characterised as low are threats which are present but not seriously impacting values or N/A where the threat is not present or not applicable in the protected area.		
1. Residential and commercial development within a protected area		
Threats from human settlements or other non-agricultural land uses with a substantial footprint		
1.1 Housing and settlement	0	0: N/A 1: Low 2: Medium 3: High
1.2 Commercial and industrial areas	0	0: N/A 1: Low 2: Medium 3: High
1.3 Tourism and recreation infrastructure	0	0: N/A 1: Low 2: Medium 3: High
2. Agriculture and aquaculture within a protected area		

Threats from farming and grazing as a result of agricultural expansion and intensification, including silviculture, mariculture and aquaculture		
2.1 Annual and perennial non-timber crop cultivation	1	0: N/A 1: Low 2: Medium 3: High
2.1a Drug cultivation	0	0: N/A 1: Low 2: Medium 3: High
2.2 Wood and pulp plantations	0	0: N/A 1: Low 2: Medium 3: High
2.3 Livestock farming and grazing	1	0: N/A 1: Low 2: Medium 3: High
2.4 Marine and freshwater aquaculture	0	0: N/A 1: Low 2: Medium 3: High
3. Energy production and mining within a protected area		
Threats from production of non-biological resources		
3.1 Oil and gas drilling	0	0: N/A 1: Low 2: Medium 3: High
3.2 Mining and quarrying	0	0: N/A 1: Low 2: Medium 3: High

3.3 Energy generation, including from hydropower dams	0	0: N/A 1: Low 2: Medium 3: High
4. Transportation and service corridors within a protected area		
Threats from long narrow transport corridors and the vehicles that use them including associated wildlife mortality		
4.1 Roads and railroads (include road-killed animals)	2	0: N/A 1: Low 2: Medium 3: High
4.2 Utility and service lines (e.g. electricity cables, telephone lines,)	0	0: N/A 1: Low 2: Medium 3: High
4.3 Shipping lanes and canals	0	0: N/A 1: Low 2: Medium 3: High
4.4 Flight paths	0	0: N/A 1: Low 2: Medium 3: High
5. Biological resource use and harm within a protected area		
Threats from consumptive use of "wild" biological resources including both deliberate and unintentional harvesting effects; also persecution or control of specific species (note this includes hunting and killing of animals)		
5.1 Hunting, killing and collecting terrestrial animals (including killing of animals as a result of human/wildlife conflict)	1	0: N/A 1: Low 2: Medium 3: High
5.2 Gathering terrestrial plants or plant products (non-timber)	1	0: N/A 1: Low 2: Medium 3: High

5.3 Logging and wood harvesting	0	0: N/A 1: Low 2: Medium 3: High
5.4 Fishing, killing and harvesting aquatic resources	1	0: N/A 1: Low 2: Medium 3: High
6. Human intrusions and disturbance within a protected area		
Threats from human activities that alter, destroy or disturb habitats and species associated with non-consumptive uses of biological resources		
6.1 Recreational activities and tourism	0	0: N/A 1: Low 2: Medium 3: High
6.2 War, civil unrest and military exercises	0	0: N/A 1: Low 2: Medium 3: High
6.3 Research, education and other work-related activities in protected areas	0	0: N/A 1: Low 2: Medium 3: High
6.4 Activities of protected area managers (e.g. construction or vehicle use, artificial watering points and dams)	0	0: N/A 1: Low 2: Medium 3: High
6.5 Deliberate vandalism, destructive activities or threats to protected area staff and visitors	0	0: N/A 1: Low 2: Medium 3: High
7. Natural system modifications		
Threats from other actions that convert or degrade habitat or change the way the ecosystem functions		

7.1 Fire and fire suppression (including arson)	0	0: N/A 1: Low 2: Medium 3: High
7.2 Dams, hydrological modification and water management/use	0	0: N/A 1: Low 2: Medium 3: High
7.3a Increased fragmentation within protected area	0	0: N/A 1: Low 2: Medium 3: High
7.3b Isolation from other natural habitat (e.g. deforestation, dams without effective aquatic wildlife passages)	0	0: N/A 1: Low 2: Medium 3: High
7.3c Other 'edge effects' on park values	0	0: N/A 1: Low 2: Medium 3: High
7.3d Loss of keystone species (e.g. top predators, pollinators etc)	0	0: N/A 1: Low 2: Medium 3: High
8. Invasive and other problematic species and genes		
Threats from terrestrial and aquatic non-native and native plants, animals, pathogens/microbes or genetic materials that have or are predicted to have harmful effects on biodiversity following introduction, spread and/or increase		
8.1 Invasive non-native/alien plants (weeds)	1	0: N/A 1: Low 2: Medium 3: High

8.1a Invasive non-native/alien animals	1	0: N/A 1: Low 2: Medium 3: High
8.1b Pathogens (non-native or native but creating new/increased problems)	1	0: N/A 1: Low 2: Medium 3: High
8.2 Introduced genetic material (e.g. genetically modified organisms)	1	0: N/A 1: Low 2: Medium 3: High
9. Pollution entering or generated within protected area		
Threats from introduction of exotic and/or excess materials or energy from point and non-point sources		
9.1 Household sewage and urban waste water	0	0: N/A 1: Low 2: Medium 3: High
9.1a Sewage and waste water from protected area facilities (e.g. toilets, hotels etc)	0	0: N/A 1: Low 2: Medium 3: High
9.2 Industrial, mining and military effluents and discharges (e.g. poor water quality discharge from dams, e.g. unnatural temperatures, de-oxygenated, other pollution)	0	0: N/A 1: Low 2: Medium 3: High
9.3 Agricultural and forestry effluents (e.g. excess fertilizers or pesticides)	0	0: N/A 1: Low 2: Medium 3: High

9.4 Garbage and solid waste	0	0: N/A 1: Low 2: Medium 3: High
9.5 Air-borne pollutants	0	0: N/A 1: Low 2: Medium 3: High
9.6 Excess energy (e.g. heat pollution, lights etc)	0	0: N/A 1: Low 2: Medium 3: High
10. Geological events		
Geological events may be part of natural disturbance regimes in many ecosystems. But they can be a threat if a species or habitat is damaged and has lost its resilience and is vulnerable to disturbance. Management capacity to respond to some of these changes may be limited.		
10.1 Volcanoes	0	0: N/A 1: Low 2: Medium 3: High
10.2 Earthquakes/Tsunamis	1	0: N/A 1: Low 2: Medium 3: High
10.3 Avalanches/ Landslides	1	0: N/A 1: Low 2: Medium 3: High

10.4 Erosion and siltation/ deposition (e.g. shoreline or riverbed changes)	0	0: N/A 1: Low 2: Medium 3: High
11. Climate change and severe weather		
Threats from long-term climatic changes which may be linked to global warming and other severe climatic/weather events outside of the natural range of variation		
11.1 Habitat shifting and alteration	2	0: N/A 1: Low 2: Medium 3: High
11.2 Droughts	1	0: N/A 1: Low 2: Medium 3: High
11.3 Temperature extremes	1	0: N/A 1: Low 2: Medium 3: High
11.4 Storms and flooding	1	0: N/A 1: Low 2: Medium 3: High
12. Specific cultural and social threats		
12.1 Loss of cultural links, traditional knowledge and/or management practices	1	0: N/A 1: Low 2: Medium 3: High
12.2 Natural deterioration of important cultural site values	0	0: N/A 1: Low 2: Medium 3: High

12.3 Destruction of cultural heritage buildings, gardens, sites etc	0	0: N/A 1: Low 2: Medium 3: High
Assessment Form		
1. Legal status: Does the protected area have legal status (or in the case of private reserves is covered by a covenant or similar)?	3	0: The protected area is not gazetted/covenanted 1: There is agreement that the protected area should be gazetted/covenanted but the process has not yet begun 2: The protected area is in the process of being gazetted/covenanted but the process is still incomplete (includes sites designated under international conventions, such as Ramsar, or local/traditional law such as community conserved areas, which do not yet have national legal status or covenant) 3: The protected area has been formally gazetted/covenanted
Comments and Next Steps	Established through Supreme Decree N° 068-86-AG of 29 August 1986	
2. Protected area regulations: Are appropriate regulations in place to control land use and activities (e.g. hunting)?	2	0: There are no regulations for controlling land use and activities in the protected area 1: Some regulations for controlling land use and activities in the protected area exist but these are major weaknesses 2: Regulations for controlling land use and activities in the protected area exist but there are some weaknesses or gaps 3: Regulations for controlling inappropriate land use and activities in the protected area exist and provide an excellent basis for management
Comments and Next Steps	Law of Protected Natural Areas and its Regulation and PA Zoning	

<p>3. Law Enforcement: Can staff (i.e. those with responsibility for managing the site) enforce protected area rules well enough?</p>	<p>2</p>	<p>0: The staff have no effective capacity/resources to enforce protected area legislation and regulations 1: There are major deficiencies in staff capacity/resources to enforce protected area legislation and regulations (e.g. lack of skills, no patrol budget, lack of institutional support) 2: The staff have acceptable capacity/resources to enforce protected area legislation and regulations but some deficiencies remain 3: The staff have excellent capacity/resources to enforce protected area legislation and regulations</p>
<p>Comments and Next Steps</p>	<p>The Park Guards are responsible for ensuring compliance with PA regulations</p>	
<p>4. Protected area objectives: Is management undertaken according to agreed objectives?</p>	<p>2</p>	<p>0: No firm objectives have been agreed for the protected area 1: The protected area has agreed objectives, but is not managed according to these objectives 2: The protected area has agreed objectives, but is only partially managed according to these objectives 3: The protected area has agreed objectives and is managed to meet these objectives</p>
<p>Comments and Next Steps</p>		

<p>5. Protected area design: Is the protected area the right size and shape to protect species, habitats, ecological processes and water catchments of key conservation concern?</p>	<p>2</p>	<p>0: Inadequacies in protected area design mean achieving the major objectives of the protected area is very difficult 1: Inadequacies in protected area design mean that achievement of major objectives is difficult but some mitigating actions are being taken (e.g. agreements with adjacent land owners for wildlife corridors or introduction of appropriate catchment management) 2: Protected area design is not significantly constraining achievement of objectives, but could be improved (e.g. with respect to larger scale ecological processes) 3: Protected area design helps achievement of objectives; it is appropriate for species and habitat conservation; and maintains ecological processes such as surface and groundwater flows at a catchment scale, natural disturbance patterns etc</p>
<p>Comments and Next Steps</p>		
<p>6. Protected area boundary demarcation: Is the boundary known and demarcated?</p>	<p>2</p>	<p>0: The boundary of the protected area is not known by the management authority or local residents/neighbouring land users 1: The boundary of the protected area is known by the management authority but is not known by local residents/neighbouring land users 2: The boundary of the protected area is known by both the management authority and local residents/neighbouring land users but is not appropriately demarcated 3: The boundary of the protected area is known by the management authority and local residents/neighbouring land users and is appropriately demarcated</p>
<p>Comments and Next Steps</p>		

7. Management plan: Is there a management plan and is it being implemented?	2	0: There is no management plan for the protected area 1: A management plan is being prepared or has been prepared but is not being implemented 2: A management plan exists but it is only being partially implemented because of funding constraints or other problems 3: A management plan exists and is being implemented
Comments and Next Steps	The last approved Master Plan was for the period 2005-2009. It is currently being updated.	
7.a Planning process: The planning process allows adequate opportunity for key stakeholders to influence the management plan	1	0: No 1: Yes
Comments and Next Steps	The Master Plans are generated through participatory processes	
7.b Planning process: There is an established schedule and process for periodic review and updating of the management plan	1	0: No 1: Yes
Comments and Next Steps	According to the PA Law, Master Plans should be updated every 5 years. In this case, there is a delay of 4 years.	
7.c Planning process: The results of monitoring, research and evaluation are routinely incorporated into planning	0	0: No 1: Yes
Comments and Next Steps	There is a subprogramme of research and a subprogramme of planning and monitoring in the 2005-2009 Master Plan, which are not being implemented due to budgetary shortages	
8. Regular work plan: Is there a regular work plan and is it being implemented	3	0: No regular work plan exists 1: A regular work plan exists but few of the activities are implemented 2: A regular work plan exists and many activities are implemented 3: A regular work plan exists and all activities are implemented
Comments and Next Steps	The 2013 Annual Plan of Operations is being implemented and the 2014 APO is being generated.	

<p>9. Resource inventory: Do you have enough information to manage the area?</p>	<p>2</p>	<p>0: There is little or no information available on the critical habitats, species and cultural values of the protected area 1: Information on the critical habitats, species, ecological processes and cultural values of the protected area is not sufficient to support planning and decision making 2: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient for most key areas of planning and decision making 3: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient to support all areas of planning and decision making</p>
<p>Comments and Next Steps</p>		
<p>10. Protection systems: Are systems in place to control access/resource use in the protected area?</p>	<p>2</p>	<p>0: Protection systems (patrols, permits etc) do not exist or are not effective in controlling access/resource use 1: Protection systems are only partially effective in controlling access/resource use 2: Protection systems are moderately effective in controlling access/resource use 3: Protection systems are largely or wholly effective in controlling access/ resource use</p>
<p>Comments and Next Steps</p>		
<p>11. Research: Is there a programme of management-orientated survey and research work?</p>	<p>1</p>	<p>0: There is no survey or research work taking place in the protected area 1: There is a small amount of survey and research work but it is not directed towards the needs of protected area management 2: There is considerable survey and research work but it is not directed towards the needs of protected area management</p>

		3: There is a comprehensive, integrated programme of survey and research work, which is relevant to management needs
Comments and Next Steps	The park has no funds for research. Some institutions are carrying out research, that does not necessarily correspond to the priorities of the area.	
12. Resource management: Is active resource management being undertaken?	0	0: Active resource management is not being undertaken 1: Very few of the requirements for active management of critical habitats, species, ecological processes and cultural values are being implemented 2: Many of the requirements for active management of critical habitats, species, ecological processes and, cultural values are being implemented but some key issues are not being addressed 3: Requirements for active management of critical habitats, species, ecological processes and, cultural values are being substantially or fully implemented
Comments and Next Steps		
13. Staff numbers: Are there enough people employed to manage the protected area?	2	0: There are no staff 1: Staff numbers are inadequate for critical management activities 2: Staff numbers are below optimum level for critical management activities 3: Staff numbers are adequate for the management needs of the protected area
Comments and Next Steps	The current staff consists of 1 chief, 2 specialists, 1 administrative assistant and 15 park guards	

14. Staff training: Are staff adequately trained to fulfill management objectives?	2	<p>0: Staff lack the skills needed for protected area management</p> <p>1: Staff training and skills are low relative to the needs of the protected area</p> <p>2: Staff training and skills are adequate, but could be further improved to fully achieve the objectives of management</p> <p>3: Staff training and skills are aligned with the management needs of the protected area</p>
Comments and Next Steps		
15. Current budget: Is the current budget sufficient?	2	<p>0: There is no budget for management of the protected area</p> <p>1: The available budget is inadequate for basic management needs and presents a serious constraint to the capacity to manage</p> <p>2: The available budget is acceptable but could be further improved to fully achieve effective management</p> <p>3: The available budget is sufficient and meets the full management needs of the protected area</p>
Comments and Next Steps		
16. Security of budget: Is the budget secure?	3	<p>0: There is no secure budget for the protected area and management is wholly reliant on outside or highly variable funding</p> <p>1: There is very little secure budget and the protected area could not function adequately without outside funding</p> <p>2: There is a reasonably secure core budget for regular operation of the protected area but many innovations and initiatives are reliant on outside funding</p> <p>3: There is a secure budget for the protected area and its management needs</p>
Comments and Next Steps		
SERNANP covers the annual budget		

17. Management of budget: Is the budget managed to meet critical management needs?	2	0: Budget management is very poor and significantly undermines effectiveness (e.g. late release of budget in financial year) 1: Budget management is poor and constrains effectiveness 2: Budget management is adequate but could be improved 3: Budget management is excellent and meets management needs
Comments and Next Steps		
18. Equipment: Is equipment sufficient for management needs?	2	0: There are little or no equipment and facilities for management needs 1: There are some equipment and facilities but these are inadequate for most management needs 2: There are equipment and facilities, but still some gaps that constrain management 3: There are adequate equipment and facilities
Comments and Next Steps	The current infrastructure and equipment consist of: 1 administrative base, 3 control posts, 2 pick ups, 9 motorcycles and field equipment (GPS, computers, cameras)	
19. Maintenance of equipment: Is equipment adequately maintained?	2	0: There is little or no maintenance of equipment and facilities 1: There is some ad hoc maintenance of equipment and facilities 2: There is basic maintenance of equipment and facilities 3: Equipment and facilities are well maintained
Comments and Next Steps		

20. Education and awareness: Is there a planned education programme linked to the objectives and needs?	2	<p>0: There is no education and awareness programme</p> <p>1: There is a limited and ad hoc education and awareness programme</p> <p>2: There is an education and awareness programme but it only partly meets needs and could be improved</p> <p>3: There is an appropriate and fully implemented education and awareness programme</p>
Comments and Next Steps	240 people are carrying out environmental education activities promoted by the park, in the Yanachaga Ecological Brigade, Vigilance Committees and Associations of Small Farmers.	
21. Planning for land and water use: Does land and water use planning recognise the protected area and aid the achievement of objectives?	1	<p>0: Adjacent land and water use planning does not take into account the needs of the protected area and activities/policies are detrimental to the survival of the area</p> <p>1: Adjacent land and water use planning does not take into account the long term needs of the protected area, but activities are not detrimental the area</p> <p>2: Adjacent land and water use planning partially takes into account the long term needs of the protected area</p> <p>3: Adjacent land and water use planning fully takes into account the long term needs of the protected area</p>
Comments and Next Steps		
21a. Land and water planning for habitat conservation: Planning and management in the catchment or landscape containing the protected area incorporates provision for adequate environmental conditions (e.g. volume, quality and timing of water flow, air pollution levels etc) to sustain relevant habitats.	0	<p>0: No</p> <p>1: Yes</p>
Comments and Next Steps		

21b. Land and water planning for habitat conservation: Management of corridors linking the protected area provides for wildlife passage to key habitats outside the protected area (e.g. to allow migratory fish to travel between freshwater spawning sites and the sea, or to allow animal migration).	1	0: No 1: Yes
Comments and Next Steps		
21c. Land and water planning for habitat conservation: "Planning addresses ecosystem-specific needs and/or the needs of particular species of concern at an ecosystem scale (e.g. volume, quality and timing of freshwater flow to sustain particular species, fire management to maintain savannah habitats etc.)"	0	0: No 1: Yes
Comments and Next Steps		
22. State and commercial neighbours: Is there co-operation with adjacent land and water users?	1	0: There is no contact between managers and neighbouring official or corporate land and water users 1: There is contact between managers and neighbouring official or corporate land and water users but little or no cooperation 2: There is contact between managers and neighbouring official or corporate land and water users, but only some co-operation 3: There is regular contact between managers and neighbouring official or corporate land and water users, and substantial co-operation on management
Comments and Next Steps		Neighbours participate through their representatives in the PA Management Committee

23. Indigenous people: Do indigenous and traditional peoples resident or regularly using the protected area have input to management decisions?	1	<p>0: Indigenous and traditional peoples have no input into decisions relating to the management of the protected area</p> <p>1: Indigenous and traditional peoples have some input into discussions relating to management but no direct role in management</p> <p>2: Indigenous and traditional peoples directly contribute to some relevant decisions relating to management but their involvement could be improved</p> <p>3: Indigenous and traditional peoples directly participate in all relevant decisions relating to management, e.g. co-management</p>
Comments and Next Steps	Indigenous people participate through their representatives in the PA Management Committee	
24. Local communities: Do local communities resident or near the protected area have input to management decisions?	1	<p>0: Local communities have no input into decisions relating to the management of the protected area</p> <p>1: Local communities have some input into discussions relating to management but no direct role in management</p> <p>2: Local communities directly contribute to some relevant decisions relating to management but their involvement could be improved</p> <p>3: Local communities directly participate in all relevant decisions relating to management, e.g. co-management</p>
Comments and Next Steps	Local communities participate through their representatives in the PA Management Committee	
24 a. Impact on communities: There is open communication and trust between local and/or indigenous people, stakeholders and protected area managers	0	<p>0: No</p> <p>1: Yes</p>
Comments and Next Steps		

24 b. Impact on communities: Programmes to enhance community welfare, while conserving protected area resources, are being implemented	1	0: No 1: Yes
Comments and Next Steps		
24 c. Impact on communities: Local and/or indigenous people actively support the protected area	0	0: No 1: Yes
Comments and Next Steps	Not all of the population supports the park. There are indigenous park guards.	
25. Economic benefit: Is the protected area providing economic benefits to local communities, e.g. income, employment, payment for environmental services?	1	0: The protected area does not deliver any economic benefits to local communities 1: Potential economic benefits are recognised and plans to realise these are being developed 2: There is some flow of economic benefits to local communities 3: There is a major flow of economic benefits to local communities from activities associated with the protected area
Comments and Next Steps	Environmental benefits include the capture and storage of carbon, the provision of water, the protection of slopes, preservation of genetic diversity, scenic beauty and others. The area contributes to the mitigation of CC and adaptation to CC.	
26. Monitoring and evaluation: Are management activities monitored against performance?	1	0: There is no monitoring and evaluation in the protected area 1: There is some ad hoc monitoring and evaluation, but no overall strategy and/or no regular collection of results 2: There is an agreed and implemented monitoring and evaluation system but results do not feed back into management 3: A good monitoring and evaluation system exists, is well implemented and used in adaptive management
Comments and Next Steps		

27. Visitor facilities: Are visitor facilities adequate?	2	<p>0: There are no visitor facilities and services despite an identified need</p> <p>1: Visitor facilities and services are inappropriate for current levels of visitation</p> <p>2: Visitor facilities and services are adequate for current levels of visitation but could be improved</p> <p>3: Visitor facilities and services are excellent for current levels of visitation</p>
Comments and Next Steps	There were 897 visitors in 2010 and 1,398 in 2011.	
28. Commercial tourism operators: Do commercial tour operators contribute to protected area management?	0	<p>0: There is little or no contact between managers and tourism operators using the protected area</p> <p>1: There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters</p> <p>2: There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values</p> <p>3: There is good co-operation between managers and tourism operators to enhance visitor experiences, and maintain protected area values</p>
Comments and Next Steps		
29. Fees: If fees (i.e. entry fees or fines) are applied, do they help protected area management?	1	<p>0: Although fees are theoretically applied, they are not collected</p> <p>1: Fees are collected, but make no contribution to the protected area or its environs</p> <p>2: Fees are collected, and make some contribution to the protected area and its environs</p> <p>3: Fees are collected and make a substantial contribution to the protected area and its environs</p>
Comments and Next Steps		

30. Condition of values: What is the condition of the important values of the protected area as compared to when it was first designated?	2	0: Many important biodiversity, ecological or cultural values are being severely degraded 1: Some biodiversity, ecological or cultural values are being severely degraded 2: Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted 3: Biodiversity, ecological and cultural values are predominantly intact
Comments and Next Steps	The Park maintains 86% of its vegetation cover	
30a: Condition of values: The assessment of the condition of values is based on research and/or monitoring	0	0: No 1: Yes
Comments and Next Steps		
30b: Condition of values Specific management programmes are being implemented to address threats to biodiversity, ecological and cultural values	0	0: No 1: Yes
Comments and Next Steps		
30c: Condition of values: Activities to maintain key biodiversity, ecological and cultural values are a routine part of park management	0	0: No 1: Yes
Comments and Next Steps		
TOTAL SCORE	55	Pls add up numbers from assessment form (questions 1 to 30)



ool for Biodiversity Projects in GEF-3, GEF-4, and GEF-5

Objective 1: Catalyzing Sustainability of Protected Area Systems

SECTION II: Management Effectiveness Tracking Tool for Protected Areas

Note: Please complete the management effectiveness tracking tool for **EACH** protected area that is the target of the GEF intervention and create a new worksheet for each.

Structure and content of the Tracking Tool - Objective 1. Section II:

The Tracking Tool has two main sections: datasheets and assessment form. Both sections should be completed.

1. Datasheets: the data sheet comprises of two separate sections:

ü Data sheet 1: records details of the assessment and some basic information about the site, such as name, size and location etc.

ü Data sheet 2: provides a generic list of threats which protected areas can face. On this data sheet the assessors are asked to identify threats and rank their impact on the protected area.

2. Assessment Form: the assessment is structured around 30 questions presented in table format which includes three columns for recording details of the assessment, all of which should be completed.

Important: Please read the Guidelines posted on the GEF website before entering your data

Data Sheet 1: Reporting Progress at Protected Area Sites	Please indicate your answer here	Notes
Name, affiliation and contact details for person responsible for completing the METT (email etc.)	Hermes Liviatic, Area Head hliviatic@sernanp.gob.pe	
Date assessment carried out	Nov 15, 2013	Month DD, YYYY (e.g., May 12, 2010)
Name of protected area	Yanesha Communal Reserve	
WDPA site code (these codes can be found on www.unep-wcmc.org/wdpa/)		
Designations(please choose 1-3)	3	1: National

		2: IUCN Category
		3: International (please complete lines 35-69 as necessary)
Country	Perú	
Location of protected area (province and if possible map reference)	Región Pasco, Provincia Oxapampa	
Date of establishment	1988	
Ownership details (please choose 1-4)	1	
		1: State
		2: Private
		3: Community
		4: Other
Management Authority	SERNANP	
Size of protected area (ha)	34,745	
Number of Permanent staff	11	
Number of Temporary staff	0	
Annual budget (US\$) for recurrent (operational) funds – excluding staff salary costs	41117	Año 2014
Annual budget (US\$) for project or other supplementary funds – excluding staff salary costs	0	
What are the main values for which the area is designated	Protects headwaters of catchments in the territorial lands of the Yanesha people	
List the two primary protected area management objectives in below:	-	
Management objective 1	To conserve wildlife in benefit of the neighbouring native communities of the Yanesha ethnic group who use it as a traditional food source	

Management objective 2	To maintain and develop cultural values of the Yanasha native communities located in the valley of the Palcazú river.	
No. of people involved in completing assessment	4	
Including: (please choose 1-8)	1	
		1: PA manager
		2: PA staff
		3: Other PA agency staff
		4: Donors
		5: NGOs
		6: External experts
		7: Local community
		8: Other
Information on International Designations	Please indicate your answer here	
	0	
UNESCO World Heritage site (see: http://whc.unesco.org/en/list)	0	
Date Listed	0	
Site name	0	
Site area	0	
Geographical co-ordinates	0	
	0	
Criteria for designation	0	(i.e. criteria i to x)
Statement of Outstanding Universal Value	0	
	0	
Ramsar site (see: http://ramsar.wetlands.org)	0	
Date Listed	0	
Site name	0	
Site area	0	

Geographical number	0	
Reason for Designation (see Ramsar Information Sheet)	0	
	0	
UNESCO Man and Biosphere Reserves (see: http://www.unesco.org/new/en/natural-sciences/environment/ecological-sciences/man-and-biosphere-programme/)	0	
Date Listed	2010	
Site name	Oxapampa-Ashaninka-Yanesha Biosphere Reserve	
Site area	1867379 ha	Total, Core, Buffer, and Transition
Geographical co-ordinates	Long. 73°45'W - 76°15'W Lat. 9°20'S - 11°05'S	
Criteria for designation	The Biosphere Reserve constitutes a very important conservation site due to the presence of indigenous cultures, sustainable crops and natural protected areas.	
Fulfilment of three functions of MAB	Sí	conservation, development and logistic support
	0	
Please list other designations (i.e. ASEAN Heritage, Natura 2000) and any supporting information below	0	
	0	Name
	0	Detail
	0	
	0	Name
	0	Detail
	0	
	0	Name

	0	Detail
Data Sheet 2: Protected Areas Threats (please complete a Data Sheet of threats and assessment for each protected area of the project).		
Please choose all relevant existing threats as either of high, medium or low significance. Threats ranked as of high significance are those which are seriously degrading values; medium are those threats having some negative impact and those characterised as low are threats which are present but not seriously impacting values or N/A where the threat is not present or not applicable in the protected area.		
1. Residential and commercial development within a protected area		
Threats from human settlements or other non-agricultural land uses with a substantial footprint		
1.1 Housing and settlement	2	0: N/A 1: Low 2: Medium 3: High
1.2 Commercial and industrial areas	0	0: N/A 1: Low 2: Medium 3: High
1.3 Tourism and recreation infrastructure	0	0: N/A 1: Low 2: Medium 3: High
2. Agriculture and aquaculture within a protected area		
Threats from farming and grazing as a result of agricultural expansion and intensification, including silviculture, mariculture and aquaculture		
2.1 Annual and perennial non-timber crop cultivation	1	0: N/A 1: Low 2: Medium 3: High
2.1a Drug cultivation	0	0: N/A 1: Low 2: Medium 3: High
2.2 Wood and pulp plantations	0	0: N/A 1: Low

		2: Medium
		3: High
2.3 Livestock farming and grazing	2	0: N/A
		1: Low
		2: Medium
		3: High
2.4 Marine and freshwater aquaculture	0	0: N/A
		1: Low
		2: Medium
		3: High
3. Energy production and mining within a protected area		
Threats from production of non-biological resources		
3.1 Oil and gas drilling	0	0: N/A
		1: Low
		2: Medium
		3: High
3.2 Mining and quarrying	0	0: N/A
		1: Low
		2: Medium
		3: High
3.3 Energy generation, including from hydropower dams	0	0: N/A
		1: Low
		2: Medium
		3: High
4. Transportation and service corridors within a protected area		
Threats from long narrow transport corridors and the vehicles that use them including associated wildlife mortality		
4.1 Roads and railroads (include road-killed animals)	0	0: N/A
		1: Low
		2: Medium
		3: High
4.2 Utility and service lines (e.g. electricity cables, telephone lines,)	0	0: N/A
		1: Low
		2: Medium

		3: High
4.3 Shipping lanes and canals	0	0: N/A
		1: Low
		2: Medium
		3: High
4.4 Flight paths	0	0: N/A
		1: Low
		2: Medium
		3: High
5. Biological resource use and harm within a protected area		
Threats from consumptive use of "wild" biological resources including both deliberate and unintentional harvesting effects; also persecution or control of specific species (note this includes hunting and killing of animals)		
5.1 Hunting, killing and collecting terrestrial animals (including killing of animals as a result of human/wildlife conflict)	1	0: N/A
		1: Low
		2: Medium
		3: High
5.2 Gathering terrestrial plants or plant products (non-timber)	1	0: N/A
		1: Low
		2: Medium
		3: High
5.3 Logging and wood harvesting	1	0: N/A
		1: Low
		2: Medium
		3: High
5.4 Fishing, killing and harvesting aquatic resources	1	0: N/A
		1: Low
		2: Medium
		3: High
6. Human intrusions and disturbance within a protected area		
Threats from human activities that alter, destroy or disturb habitats and species associated with non-consumptive uses of biological resources		
6.1 Recreational activities and tourism	0	0: N/A
		1: Low
		2: Medium

		3: High
6.2 War, civil unrest and military exercises	0	0: N/A
		1: Low
		2: Medium
		3: High
6.3 Research, education and other work-related activities in protected areas	0	0: N/A
		1: Low
		2: Medium
		3: High
6.4 Activities of protected area managers (e.g. construction or vehicle use, artificial watering points and dams)	0	0: N/A
		1: Low
		2: Medium
		3: High
6.5 Deliberate vandalism, destructive activities or threats to protected area staff and visitors	0	0: N/A
		1: Low
		2: Medium
		3: High
7. Natural system modifications		
Threats from other actions that convert or degrade habitat or change the way the ecosystem functions		
7.1 Fire and fire suppression (including arson)	0	0: N/A
		1: Low
		2: Medium
		3: High
7.2 Dams, hydrological modification and water management/use	0	0: N/A
		1: Low
		2: Medium
		3: High
7.3a Increased fragmentation within protected area	1	0: N/A
		1: Low
		2: Medium
		3: High
7.3b Isolation from other natural habitat (e.g. deforestation, dams without effective aquatic wildlife passages)	0	0: N/A
		1: Low

		2: Medium
		3: High
7.3c Other 'edge effects' on park values	1	0: N/A
		1: Low
		2: Medium
		3: High
7.3d Loss of keystone species (e.g. top predators, pollinators etc)	0	0: N/A
		1: Low
		2: Medium
		3: High
8. Invasive and other problematic species and genes		
Threats from terrestrial and aquatic non-native and native plants, animals, pathogens/microbes or genetic materials that have or are predicted to have harmful effects on biodiversity following introduction, spread and/or increase		
8.1 Invasive non-native/alien plants (weeds)	2	0: N/A
		1: Low
		2: Medium
		3: High
8.1a Invasive non-native/alien animals	1	0: N/A
		1: Low
		2: Medium
		3: High
8.1b Pathogens (non-native or native but creating new/increased problems)	1	0: N/A
		1: Low
		2: Medium
		3: High
8.2 Introduced genetic material (e.g. genetically modified organisms)	0	0: N/A
		1: Low
		2: Medium
		3: High
9. Pollution entering or generated within protected area		
Threats from introduction of exotic and/or excess materials or energy from point and non-point sources		
9.1 Household sewage and urban waste water	0	0: N/A
		1: Low

		2: Medium
		3: High
9.1a Sewage and waste water from protected area facilities (e.g. toilets, hotels etc)	0	0: N/A
		1: Low
		2: Medium
		3: High
9.2 Industrial, mining and military effluents and discharges (e.g. poor water quality discharge from dams, e.g. unnatural temperatures, de-oxygenated, other pollution)	0	0: N/A
		1: Low
		2: Medium
		3: High
9.3 Agricultural and forestry effluents (e.g. excess fertilizers or pesticides)	1	0: N/A
		1: Low
		2: Medium
		3: High
9.4 Garbage and solid waste	0	0: N/A
		1: Low
		2: Medium
		3: High
9.5 Air-borne pollutants	1	0: N/A
		1: Low
		2: Medium
		3: High
9.6 Excess energy (e.g. heat pollution, lights etc)	0	0: N/A
		1: Low
		2: Medium
		3: High
10. Geological events		
Geological events may be part of natural disturbance regimes in many ecosystems. But they can be a threat if a species or habitat is damaged and has lost its resilience and is vulnerable to disturbance. Management capacity to respond to some of these changes may be limited.		
10.1 Volcanoes	0	0: N/A
		1: Low
		2: Medium
		3: High

10.2 Earthquakes/Tsunamis	0	0: N/A
		1: Low
		2: Medium
		3: High
10.3 Avalanches/ Landslides	1	0: N/A
		1: Low
		2: Medium
10.4 Erosion and siltation/ deposition (e.g. shoreline or riverbed changes)	1	0: N/A
		1: Low
		2: Medium
		3: High
11. Climate change and severe weather		
Threats from long-term climatic changes which may be linked to global warming and other severe climatic/weather events outside of the natural range of variation		
11.1 Habitat shifting and alteration	1	0: N/A
		1: Low
		2: Medium
		3: High
11.2 Droughts	1	0: N/A
		1: Low
		2: Medium
		3: High
11.3 Temperature extremes	0	0: N/A
		1: Low
		2: Medium
		3: High
11.4 Storms and flooding	1	0: N/A
		1: Low
		2: Medium
		3: High
12. Specific cultural and social threats		
	1	0: N/A

12.1 Loss of cultural links, traditional knowledge and/or management practices		1: Low 2: Medium 3: High
12.2 Natural deterioration of important cultural site values	0	0: N/A 1: Low 2: Medium 3: High
12.3 Destruction of cultural heritage buildings, gardens, sites etc	0	0: N/A 1: Low 2: Medium 3: High
Assessment Form		
1. Legal status: Does the protected area have legal status (or in the case of private reserves is covered by a covenant or similar)?	3	0: The protected area is not gazetted/covenanted 1: There is agreement that the protected area should be gazetted/covenanted but the process has not yet begun 2: The protected area is in the process of being gazetted/covenanted but the process is still incomplete (includes sites designated under international conventions, such as Ramsar, or local/traditional law such as community conserved areas, which do not yet have national legal status or covenant) 3: The protected area has been formally gazetted/covenanted
Comments and Next Steps	Established through Supreme Resolution N° 193-88-AG/DGFF of 28th April 1988	
2. Protected area regulations: Are appropriate regulations in place to control land use and activities (e.g. hunting)?	3	0: There are no regulations for controlling land use and activities in the protected area 1: Some regulations for controlling land use and activities in the protected area exist but these are major weaknesses

		2: Regulations for controlling land use and activities in the protected area exist but there are some weaknesses or gaps
		3: Regulations for controlling inappropriate land use and activities in the protected area exist and provide an excellent basis for management
Comments and Next Steps	The Law of Natural Protected Areas, its Regulation and PA Zoning. It is necessary to produce natural resource use plans and/or implement those already existing	
3. Law	2	0: The staff have no effective capacity/resources to enforce protected area legislation and regulations
Enforcement: Can staff (i.e. those with responsibility for managing the site) enforce protected area rules well enough?		1: There are major deficiencies in staff capacity/resources to enforce protected area legislation and regulations (e.g. lack of skills, no patrol budget, lack of institutional support)
		2: The staff have acceptable capacity/resources to enforce protected area legislation and regulations but some deficiencies remain
		3: The staff have excellent capacity/resources to enforce protected area legislation and regulations
Comments and Next Steps	The Park Guards are responsible for ensuring compliance with PA norms	
4. Protected area objectives: Is management undertaken according to agreed objectives?	3	0: No firm objectives have been agreed for the protected area
		1: The protected area has agreed objectives, but is not managed according to these objectives
		2: The protected area has agreed objectives, but is only partially managed according to these objectives
		3: The protected area has agreed objectives and is managed to meet these objectives
Comments and Next Steps	In accordance with the provisions of the Master Plan	
5. Protected area design: Is the protected area the right size and shape to protect species, habitats, ecological processes and water catchments of key conservation concern?	3	0: Inadequacies in protected area design mean achieving the major objectives of the protected area is very difficult

		<p>1: Inadequacies in protected area design mean that achievement of major objectives is difficult but some mitigating actions are being taken (e.g. agreements with adjacent land owners for wildlife corridors or introduction of appropriate catchment management)</p> <p>2: Protected area design is not significantly constraining achievement of objectives, but could be improved (e.g. with respect to larger scale ecological processes)</p> <p>3: Protected area design helps achievement of objectives; it is appropriate for species and habitat conservation; and maintains ecological processes such as surface and groundwater flows at a catchment scale, natural disturbance patterns etc</p>
Comments and Next Steps		
6. Protected area boundary demarcation:	2	0: The boundary of the protected area is not known by the management authority or local residents/neighbouring land users
Is the boundary known and demarcated?		1: The boundary of the protected area is known by the management authority but is not known by local residents/neighbouring land users
		2: The boundary of the protected area is known by both the management authority and local residents/neighbouring land users but is not appropriately demarcated
		3: The boundary of the protected area is known by the management authority and local residents/neighbouring land users and is appropriately demarcated
Comments and Next Steps		
7. Management plan: Is there a management plan and is it being implemented?	2	0: There is no management plan for the protected area
		1: A management plan is being prepared or has been prepared but is not being implemented
		2: A management plan exists but it is only being partially implemented because of funding constraints or other problems

		3: A management plan exists and is being implemented
Comments and Next Steps	The current Master Plan covers the period 2011-2016	
7.a Planning process: The planning process allows adequate opportunity for key stakeholders to influence the management plan	1	0: No 1: Yes
Comments and Next Steps	The Master Plans are generated through participatory processes	
7.b Planning process: There is an established schedule and process for periodic review and updating of the management plan	1	0: No 1: Yes
Comments and Next Steps	According to the PA Law, the Master Plans should be updated every 5 years. The current plan runs to 2016.	
7.c Planning process: The results of monitoring, research and evaluation are routinely incorporated into planning	0	0: No 1: Yes
Comments and Next Steps		
8. Regular work plan: Is there a regular work plan and is it being implemented	2	0: No regular work plan exists
		1: A regular work plan exists but few of the activities are implemented
		2: A regular work plan exists and many activities are implemented
		3: A regular work plan exists and all activities are implemented
Comments and Next Steps	The 2013 Annual Plan of Operations is being implemented and the 2014 Plan is being prepared	
9. Resource inventory: Do you have enough information to manage the area?	1	0: There is little or no information available on the critical habitats, species and cultural values of the protected area
		1: Information on the critical habitats, species, ecological processes and cultural values of the protected area is not sufficient to support planning and decision making
		2: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient for most key areas of planning and decision making

		3: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient to support all areas of planning and decision making
Comments and Next Steps		
10. Protection systems:	2	0: Protection systems (patrols, permits etc) do not exist or are not effective in controlling access/resource use
Are systems in place to control access/resource use in the protected area?		1: Protection systems are only partially effective in controlling access/resource use
		2: Protection systems are moderately effective in controlling access/resource use
		3: Protection systems are largely or wholly effective in controlling access/ resource use
Comments and Next Steps	In 2014 it is proposed to carry out 17 routine patrols and 4 special patrols in the whole area	
11. Research: Is there a programme of management-orientated survey and research work?	1	0: There is no survey or research work taking place in the protected area
		1: There is a small amount of survey and research work but it is not directed towards the needs of protected area management
		2: There is considerable survey and research work but it is not directed towards the needs of protected area management
		3: There is a comprehensive, integrated programme of survey and research work, which is relevant to management needs
Comments and Next Steps		
12. Resource management: Is active resource management being undertaken?	0	0: Active resource management is not being undertaken
		1: Very few of the requirements for active management of critical habitats, species, ecological processes and cultural values are being implemented

		2: Many of the requirements for active management of critical habitats, species, ecological processes and, cultural values are being implemented but some key issues are not being addressed
		3: Requirements for active management of critical habitats, species, ecological processes and, cultural values are being substantially or fully implemented
Comments and Next Steps		
13. Staff numbers: Are there enough people employed to manage the protected area?	2	0: There are no staff
		1: Staff numbers are inadequate for critical management activities
		2: Staff numbers are below optimum level for critical management activities
		3: Staff numbers are adequate for the management needs of the protected area
Comments and Next Steps	Current staff: 1 chief, 1 specialist, 1 administrative assistant and 8 park guards	
14. Staff training: Are staff adequately trained to fulfill management objectives?	2	0: Staff lack the skills needed for protected area management
		1: Staff training and skills are low relative to the needs of the protected area
		2: Staff training and skills are adequate, but could be further improved to fully achieve the objectives of management
		3: Staff training and skills are aligned with the management needs of the protected area
Comments and Next Steps		
15. Current budget: Is the current budget sufficient?	2	0: There is no budget for management of the protected area
		1: The available budget is inadequate for basic management needs and presents a serious constraint to the capacity to manage
		2: The available budget is acceptable but could be further improved to fully achieve effective management

		3: The available budget is sufficient and meets the full management needs of the protected area
Comments and Next Steps		
16. Security of budget: Is the budget secure?	3	0: There is no secure budget for the protected area and management is wholly reliant on outside or highly variable funding 1: There is very little secure budget and the protected area could not function adequately without outside funding 2: There is a reasonably secure core budget for regular operation of the protected area but many innovations and initiatives are reliant on outside funding 3: There is a secure budget for the protected area and its management needs
Comments and Next Steps	SERNANP covers the annual budget	
17. Management of budget: Is the budget managed to meet critical management needs?	2	0: Budget management is very poor and significantly undermines effectiveness (e.g. late release of budget in financial year) 1: Budget management is poor and constrains effectiveness 2: Budget management is adequate but could be improved 3: Budget management is excellent and meets management needs
Comments and Next Steps		
18. Equipment: Is equipment sufficient for management needs?	2	0: There are little or no equipment and facilities for management needs 1: There are some equipment and facilities but these are inadequate for most management needs 2: There are equipment and facilities, but still some gaps that constrain management 3: There are adequate equipment and facilities
Comments and Next Steps		

19. Maintenance of equipment: Is equipment adequately maintained?	2	0: There is little or no maintenance of equipment and facilities
		1: There is some ad hoc maintenance of equipment and facilities
		2: There is basic maintenance of equipment and facilities
		3: Equipment and facilities are well maintained
Comments and Next Steps		
20. Education and awareness: Is there a planned education programme linked to the objectives and needs?	1	0: There is no education and awareness programme
		1: There is a limited and ad hoc education and awareness programme
		2: There is an education and awareness programme but it only partly meets needs and could be improved
		3: There is an appropriate and fully implemented education and awareness programme
Comments and Next Steps		
21. Planning for land and water use: Does land and water use planning recognise the protected area and aid the achievement of objectives?	2	0: Adjacent land and water use planning does not take into account the needs of the protected area and activities/policies are detrimental to the survival of the area
		1: Adjacent land and water use planning does not takes into account the long term needs of the protected area, but activities are not detrimental the area
		2: Adjacent land and water use planning partially takes into account the long term needs of the protected area
		3: Adjacent land and water use planning fully takes into account the long term needs of the protected area
Comments and Next Steps		
21a. Land and water planning for habitat conservation: Planning and management in the catchment or landscape containing the protected area incorporates provision for adequate environmental conditions (e.g. volume, quality and	0	0: No 1: Yes

timing of water flow, air pollution levels etc) to sustain relevant habitats.		
Comments and Next Steps		
21b. Land and water planning for habitat conservation: Management of corridors linking the protected area provides for wildlife passage to key habitats outside the protected area (e.g. to allow migratory fish to travel between freshwater spawning sites and the sea, or to allow animal migration).	0	0: No 1: Yes
Comments and Next Steps		
21c. Land and water planning for habitat conservation: "Planning addresses ecosystem-specific needs and/or the needs of particular species of concern at an ecosystem scale (e.g. volume, quality and timing of freshwater flow to sustain particular species, fire management to maintain savannah habitats etc.)"	0	0: No 1: Yes
Comments and Next Steps		
22. State and commercial neighbours: Is there co-operation with adjacent land and water users?	2	0: There is no contact between managers and neighbouring official or corporate land and water users 1: There is contact between managers and neighbouring official or corporate land and water users but little or no cooperation 2: There is contact between managers and neighbouring official or corporate land and water users, but only some co-operation 3: There is regular contact between managers and neighbouring official or corporate land and water users, and substantial co-operation on management
Comments and Next Steps	They participate through their representatives on the PA Management Committee	
23. Indigenous people: Do indigenous and traditional peoples resident or regularly using the protected area have input to management decisions?	3	0: Indigenous and traditional peoples have no input into decisions relating to the management of the protected area

		1: Indigenous and traditional peoples have some input into discussions relating to management but no direct role in management
		2: Indigenous and traditional peoples directly contribute to some relevant decisions relating to management but their involvement could be improved
		3: Indigenous and traditional peoples directly participate in all relevant decisions relating to management, e.g. co-management
Comments and Next Steps	The Communal Reserves have as one of their objectives the generation of benefits for neighbouring indigenous communities	
24. Local communities: Do local communities resident or near the protected area have input to management decisions?	2	0: Local communities have no input into decisions relating to the management of the protected area
		1: Local communities have some input into discussions relating to management but no direct role in management
		2: Local communities directly contribute to some relevant decisions relating to management but their involvement could be improved
		3: Local communities directly participate in all relevant decisions relating to management, e.g. co-management
Comments and Next Steps	The communities participate through an ECA, in this case AMARCY, which includes 10 native communities and 5 colonist sectors.	
24 a. Impact on communities: There is open communication and trust between local and/or indigenous people, stakeholders and protected area managers	1	0: No 1: Yes
Comments and Next Steps		
24 b. Impact on communities: Programmes to enhance community welfare, while conserving protected area resources, are being implemented	1	0: No 1: Yes
Comments and Next Steps		
24 c. Impact on communities: Local and/or indigenous people actively support the protected area	1	0: No 1: Yes

Comments and Next Steps		
25. Economic benefit: Is the protected area providing economic benefits to local communities, e.g. income, employment, payment for environmental services?	1	0: The protected area does not deliver any economic benefits to local communities
		1: Potential economic benefits are recognised and plans to realise these are being developed
		2: There is some flow of economic benefits to local communities
		3: There is a major flow of economic benefits to local communities from activities associated with the protected area
Comments and Next Steps		
26. Monitoring and evaluation: Are management activities monitored against performance?	1	0: There is no monitoring and evaluation in the protected area
		1: There is some ad hoc monitoring and evaluation, but no overall strategy and/or no regular collection of results
		2: There is an agreed and implemented monitoring and evaluation system but results do not feed back into management
		3: A good monitoring and evaluation system exists, is well implemented and used in adaptive management
Comments and Next Steps		
27. Visitor facilities: Are visitor facilities adequate?	0	0: There are no visitor facilities and services despite an identified need
		1: Visitor facilities and services are inappropriate for current levels of visitation
		2: Visitor facilities and services are adequate for current levels of visitation but could be improved
		3: Visitor facilities and services are excellent for current levels of visitation
Comments and Next Steps		
28. Commercial tourism operators: Do commercial tour operators contribute to protected area management?	0	0: There is little or no contact between managers and tourism operators using the protected area

		<p>1: There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters</p> <p>2: There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values</p> <p>3: There is good co-operation between managers and tourism operators to enhance visitor experiences, and maintain protected area values</p>
Comments and Next Steps		
29. Fees: If fees (i.e. entry fees or fines) are applied, do they help protected area management?	0	<p>0: Although fees are theoretically applied, they are not collected</p> <p>1: Fees are collected, but make no contribution to the protected area or its environs</p> <p>2: Fees are collected, and make some contribution to the protected area and its environs</p> <p>3: Fees are collected and make a substantial contribution to the protected area and its environs</p>
Comments and Next Steps		
30. Condition of values: What is the condition of the important values of the protected area as compared to when it was first designated?	2	<p>0: Many important biodiversity, ecological or cultural values are being severely degraded</p> <p>1: Some biodiversity, ecological or cultural values are being severely degraded</p> <p>2: Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted</p> <p>3: Biodiversity, ecological and cultural values are predominantly intact</p>
Comments and Next Steps		
30a: Condition of values: The assessment of the condition of values is based on research and/or monitoring	1	<p>0: No</p> <p>1: Yes</p>
Comments and Next Steps		

30b: Condition of values Specific management programmes are being implemented to address threats to biodiversity, ecological and cultural values	0	0: No 1: Yes
Comments and Next Steps	The Reserve maintains 94% of its vegetation cover	
30c: Condition of values: Activities to maintain key biodiversity, ecological and cultural values are a routine part of park management	1	0: No 1: Yes
Comments and Next Steps		
TOTAL SCORE	60	Pls add up numbers from assessment form (questions 1 to 30)



Tool for Biodiversity Projects in GEF-3, GEF-4, and GEF-5

Objective 1: Catalyzing Sustainability of Protected Area Systems

SECTION II: Management Effectiveness Tracking Tool for Protected Areas

Note: Please complete the management effectiveness tracking tool for **EACH** protected area that is the target of the GEF intervention and create a new worksheet for each.

Structure and content of the Tracking Tool - Objective 1. Section II:

The Tracking Tool has two main sections: datasheets and assessment form. Both sections should be completed.

1. Datasheets: the data sheet comprises of two separate sections:

ü Data sheet 1: records details of the assessment and some basic information about the site, such as name, size and location etc.

ü Data sheet 2: provides a generic list of threats which protected areas can face. On this data sheet the assessors are asked to identify threats and rank their impact on the protected area.

2. Assessment Form: the assessment is structured around 30 questions presented in table format which includes three columns for recording details of the assessment, all of which should be completed.

Important: Please read the Guidelines posted on the GEF website before entering your data

Data Sheet 1: Reporting Progress at Protected Area Sites	Please indicate your answer here	Notes
Name, affiliation and contact details for person responsible for completing the METT (email etc.)	Genaro Yarupaitán Area Chief gyarupaitan@sernanp.gob.pe	
Date assessment carried out	Nov 25, 2013	Month DD, YYYY (e.g., May 12, 2010)
Name of protected area	San Matías-San Carlos Protection Forest	

WDPA site code (these codes can be found on www.unep-wcmc.org/wdpa/)	0	
Designations(please choose 1-3)	3	1: National
		2: IUCN Category
		3: International (please complete lines 35-69 as necessary)
Country	Perú	
Location of protected area (province and if possible map reference)	Región Pasco, Provincia Oxapampa	
Date of establishment	1987	
Ownership details (please choose 1-4)	1	1: State
		2: Private
		3: Community
		4: Other
Management Authority	SERNANP	
Size of protected area (ha)	145818	
Number of Permanent staff	9	
Number of Temporary staff	0	
Annual budget (US\$) for recurrent (operational) funds – excluding staff salary costs	29739	Año 2014
Annual budget (US\$) for project or other supplementary funds – excluding staff salary costs	0	
What are the main values for which the area is designated	Watershed protection	

List the two primary protected area management objectives in below:	-	
Management objective 1	To conserve the upper part of the catchments of the Pichis and Palcazú rivers, to protect road and other infrastructure, against the destructive effects of water erosion, flash floods, storms and floods.	
Management objective 2	To regulate the water and climatic cycles in the zone, avoiding the sedimentation of rivers and maintaining the quality of navigation and aquatic ecosystems.	
No. of people involved in completing assessment	2	
Including: (please choose 1-8)	1	1: PA manager 2: PA staff 3: Other PA agency staff 4: Donors 5: NGOs 6: External experts 7: Local community 8: Other
Information on International Designations	Please indicate your answer here	

	-	
UNESCO World Heritage site (see: http://whc.unesco.org/en/list)	-	
Date Listed	-	
Site name	-	
Site area	-	
Geographical co-ordinates	-	
	-	
Criteria for designation	-	(i.e. criteria i to x)
Statement of Outstanding Universal Value	-	
	-	
Ramsar site (see: http://ramsar.wetlands.org)	-	
Date Listed	-	
Site name	-	
Site area	-	
Geographical number	-	
Reason for Designation (see Ramsar Information Sheet)	-	
	-	
UNESCO Man and Biosphere Reserves (see: http://www.unesco.org/new/en/natural-sciences/environment/ecological-sciences/man-and-biosphere-programme/)		
Date Listed	2010	

Site name	Oxapampa-Ashaninka-Yanesha Biosphere Reserve	
Site area	1867379 ha	Total, Core, Buffer, and Transition
Geographical co-ordinates	Long. 73°45'W - 76°15'W	Lat. 9°20'S - 11°05'S
Criteria for designation	The Biosphere Reserve constitutes a very important conservation site due to the presence of indigenous cultures, sustainable crops and natural protected areas.	
Fulfilment of three functions of MAB	Sí	conservation, development and logistic support
	-	
Please list other designations (i.e. ASEAN Heritage, Natura 2000) and any supporting information below	-	
	-	Name
	-	Detail
	-	
	-	Name
	-	Detail
	-	
	-	Name
	-	Detail
Data Sheet 2: Protected Areas Threats (please complete a Data Sheet of threats and assessment for each protected area of the project).		

Please choose all relevant existing threats as either of high, medium or low significance. Threats ranked as of high significance are those which are seriously degrading values; medium are those threats having some negative impact and those characterised as low are threats which are present but not seriously impacting values or N/A where the threat is not present or not applicable in the protected area.		
1. Residential and commercial development within a protected area		
Threats from human settlements or other non-agricultural land uses with a substantial footprint		
1.1 Housing and settlement	1	0: N/A 1: Low 2: Medium 3: High
1.2 Commercial and industrial areas	0	0: N/A 1: Low 2: Medium 3: High
1.3 Tourism and recreation infrastructure	0	0: N/A 1: Low 2: Medium 3: High
2. Agriculture and aquaculture within a protected area		
Threats from farming and grazing as a result of agricultural expansion and intensification, including silviculture, mariculture and aquaculture		
2.1 Annual and perennial non-timber crop cultivation	2	0: N/A 1: Low 2: Medium 3: High
2.1a Drug cultivation	1	0: N/A 1: Low 2: Medium 3: High
2.2 Wood and pulp plantations	0	0: N/A 1: Low 2: Medium 3: High
2.3 Livestock farming and grazing	2	0: N/A 1: Low

		2: Medium
		3: High
2.4 Marine and freshwater aquaculture	0	0: N/A
		1: Low
		2: Medium
		3: High
3. Energy production and mining within a protected area		
Threats from production of non-biological resources		
3.1 Oil and gas drilling	2	0: N/A
		1: Low
		2: Medium
		3: High
3.2 Mining and quarrying	0	0: N/A
		1: Low
		2: Medium
		3: High
3.3 Energy generation, including from hydropower dams	0	0: N/A
		1: Low
		2: Medium
		3: High
4. Transportation and service corridors within a protected area		
Threats from long narrow transport corridors and the vehicles that use them including associated wildlife mortality		
4.1 Roads and railroads (include road-killed animals)	3	0: N/A
		1: Low
		2: Medium
		3: High
4.2 Utility and service lines (e.g. electricity cables, telephone lines,)	0	0: N/A
		1: Low
		2: Medium
		3: High
4.3 Shipping lanes and canals	0	0: N/A
		1: Low
		2: Medium

		3: High
4.4 Flight paths	0	0: N/A
		1: Low
		2: Medium
		3: High
5. Biological resource use and harm within a protected area		
Threats from consumptive use of "wild" biological resources including both deliberate and unintentional harvesting effects; also persecution or control of specific species (note this includes hunting and killing of animals)		
5.1 Hunting, killing and collecting terrestrial animals (including killing of animals as a result of human/wildlife conflict)	2	0: N/A
		1: Low
		2: Medium
		3: High
5.2 Gathering terrestrial plants or plant products (non-timber)	2	0: N/A
		1: Low
		2: Medium
		3: High
5.3 Logging and wood harvesting	2	0: N/A
		1: Low
		2: Medium
		3: High
5.4 Fishing, killing and harvesting aquatic resources	2	0: N/A
		1: Low
		2: Medium
		3: High
6. Human intrusions and disturbance within a protected area		
Threats from human activities that alter, destroy or disturb habitats and species associated with non-consumptive uses of biological resources		
6.1 Recreational activities and tourism	0	0: N/A
		1: Low
		2: Medium
		3: High
6.2 War, civil unrest and military exercises	0	0: N/A
		1: Low
		2: Medium

		3: High
6.3 Research, education and other work-related activities in protected areas	0	0: N/A
		1: Low
		2: Medium
		3: High
6.4 Activities of protected area managers (e.g. construction or vehicle use, artificial watering points and dams)	0	0: N/A
		1: Low
		2: Medium
		3: High
6.5 Deliberate vandalism, destructive activities or threats to protected area staff and visitors	0	0: N/A
		1: Low
		2: Medium
		3: High
7. Natural system modifications		
Threats from other actions that convert or degrade habitat or change the way the ecosystem functions		
7.1 Fire and fire suppression (including arson)	1	0: N/A
		1: Low
		2: Medium
		3: High
7.2 Dams, hydrological modification and water management/use	0	0: N/A
		1: Low
		2: Medium
		3: High
7.3a Increased fragmentation within protected area	2	0: N/A
		1: Low
		2: Medium
		3: High
7.3b Isolation from other natural habitat (e.g. deforestation, dams without effective aquatic wildlife passages)	0	0: N/A
		1: Low
		2: Medium
		3: High
	2	0: N/A

7.3c Other 'edge effects' on park values		1: Low
		2: Medium
		3: High
7.3d Loss of keystone species (e.g. top predators, pollinators etc)	0	0: N/A
		1: Low
		2: Medium
		3: High
8. Invasive and other problematic species and genes		
Threats from terrestrial and aquatic non-native and native plants, animals, pathogens/microbes or genetic materials that have or are predicted to have harmful effects on biodiversity following introduction, spread and/or increase		
8.1 Invasive non-native/alien plants (weeds)	1	0: N/A
		1: Low
		2: Medium
		3: High
8.1a Invasive non-native/alien animals	1	0: N/A
		1: Low
		2: Medium
		3: High
8.1b Pathogens (non-native or native but creating new/increased problems)	1	0: N/A
		1: Low
		2: Medium
		3: High
8.2 Introduced genetic material (e.g. genetically modified organisms)	1	0: N/A
		1: Low
		2: Medium
		3: High
9. Pollution entering or generated within protected area		
Threats from introduction of exotic and/or excess materials or energy from point and non-point sources		
9.1 Household sewage and urban waste water	0	0: N/A
		1: Low
		2: Medium
		3: High
	0	0: N/A

9.1a Sewage and waste water from protected area facilities (e.g. toilets, hotels etc)		1: Low
		2: Medium
		3: High
9.2 Industrial, mining and military effluents and discharges (e.g. poor water quality discharge from dams, e.g. unnatural temperatures, de-oxygenated, other pollution)	0	0: N/A
		1: Low
		2: Medium
		3: High
9.3 Agricultural and forestry effluents (e.g. excess fertilizers or pesticides)	0	0: N/A
		1: Low
		2: Medium
		3: High
9.4 Garbage and solid waste	0	0: N/A
		1: Low
		2: Medium
		3: High
9.5 Air-borne pollutants	0	0: N/A
		1: Low
		2: Medium
		3: High
9.6 Excess energy (e.g. heat pollution, lights etc)	0	0: N/A
		1: Low
		2: Medium
		3: High
10. Geological events		
Geological events may be part of natural disturbance regimes in many ecosystems. But they can be a threat if a species or habitat is damaged and has lost its resilience and is vulnerable to disturbance. Management capacity to respond to some of these changes may be limited.		
10.1 Volcanoes	0	0: N/A
		1: Low
		2: Medium
		3: High

10.2 Earthquakes/Tsunamis	0	0: N/A
		1: Low
		2: Medium
		3: High
10.3 Avalanches/ Landslides	1	0: N/A
		1: Low
		2: Medium
		3: High
10.4 Erosion and siltation/ deposition (e.g. shoreline or riverbed changes)	1	0: N/A
		1: Low
		2: Medium
		3: High
11. Climate change and severe weather		
Threats from long-term climatic changes which may be linked to global warming and other severe climatic/weather events outside of the natural range of variation		
11.1 Habitat shifting and alteration	2	0: N/A
		1: Low
		2: Medium
		3: High
11.2 Droughts	0	0: N/A
		1: Low
		2: Medium
		3: High
11.3 Temperature extremes	2	0: N/A
		1: Low
		2: Medium
		3: High
11.4 Storms and flooding	2	0: N/A
		1: Low
		2: Medium
		3: High
12. Specific cultural and social threats		
	1	0: N/A

12.1 Loss of cultural links, traditional knowledge and/or management practices		1: Low 2: Medium 3: High
12.2 Natural deterioration of important cultural site values	1	0: N/A 1: Low 2: Medium 3: High
12.3 Destruction of cultural heritage buildings, gardens, sites etc	1	0: N/A 1: Low 2: Medium 3: High
Assessment Form		
1. Legal status: Does the protected area have legal status (or in the case of private reserves is covered by a covenant or similar)?	3	0: The protected area is not gazetted/covenanted 1: There is agreement that the protected area should be gazetted/covenanted but the process has not yet begun 2: The protected area is in the process of being gazetted/covenanted but the process is still incomplete (includes sites designated under international conventions, such as Ramsar, or local/traditional law such as community conserved areas, which do not yet

		<p>have national legal status or covenant)</p> <p>3: The protected area has been formally gazetted/covenanted</p>
Comments and Next Steps	Established by Supreme Resolution N° 101-87-AG/DGFF of 20th March 1987	
2. Protected area regulations: Are appropriate regulations in place to control land use and activities (e.g. hunting)?	1	0: There are no regulations for controlling land use and activities in the protected area
		1: Some regulations for controlling land use and activities in the protected area exist but these are major weaknesses
		2: Regulations for controlling land use and activities in the protected area exist but there are some weaknesses or gaps
		3: Regulations for controlling inappropriate land use and activities in the protected area exist and provide an excellent basis for management

Comments and Next Steps	Law of Protected Natural Areas, its Regulation and PA Zoning. Natural resource use plans need to be produced and/or the existing ones need to be implemented.	
3. Law	2	0: The staff have no effective capacity/resources to enforce protected area legislation and regulations
Enforcement: Can staff (i.e. those with responsibility for managing the site) enforce protected area rules well enough?		1: There are major deficiencies in staff capacity/resources to enforce protected area legislation and regulations (e.g. lack of skills, no patrol budget, lack of institutional support)
		2: The staff have acceptable capacity/resources to enforce protected area legislation and regulations but some deficiencies remain
		3: The staff have excellent capacity/resources to enforce protected area legislation and regulations
Comments and Next Steps	Los Guardaparques son los encargados de hacer cumplir la normatividad dentro del ANP	
4. Protected area objectives: Is management undertaken according to agreed objectives?	2	0: No firm objectives have been agreed for the protected area
		1: The protected area has agreed objectives, but is not managed according to these objectives

		2: The protected area has agreed objectives, but is only partially managed according to these objectives
		3: The protected area has agreed objectives and is managed to meet these objectives
Comments and Next Steps		
5. Protected area design: Is the protected area the right size and shape to protect species, habitats, ecological processes and water catchments of key conservation concern?	1	0: Inadequacies in protected area design mean achieving the major objectives of the protected area is very difficult
		1: Inadequacies in protected area design mean that achievement of major objectives is difficult but some mitigating actions are being taken (e.g. agreements with adjacent land owners for wildlife corridors or introduction of appropriate catchment management)
		2: Protected area design is not significantly constraining achievement of objectives, but could be improved (e.g. with respect to larger scale ecological processes)

		3: Protected area design helps achievement of objectives; it is appropriate for species and habitat conservation; and maintains ecological processes such as surface and groundwater flows at a catchment scale, natural disturbance patterns etc
Comments and Next Steps	The PA is very long and narrow, which is not favourable for conservation.	
6. Protected area boundary demarcation:	2	0: The boundary of the protected area is not known by the management authority or local residents/neighbouring land users
Is the boundary known and demarcated?		1: The boundary of the protected area is known by the management authority but is not known by local residents/neighbouring land users
		2: The boundary of the protected area is known by both the management authority and local residents/neighbouring land users but is not appropriately demarcated
		3: The boundary of the protected area is known by the management authority and local residents/neighbouring

		land users and is appropriately demarcated
Comments and Next Steps		
7. Management plan: Is there a management plan and is it being implemented?	0	<p>0: There is no management plan for the protected area</p> <p>1: A management plan is being prepared or has been prepared but is not being implemented</p> <p>2: A management plan exists but it is only being partially implemented because of funding constraints or other problems</p> <p>3: A management plan exists and is being implemented</p>
Comments and Next Steps	The production of the 2014-2108 Master Plan is in process.	
7.a Planning process: The planning process allows adequate opportunity for key stakeholders to influence the management plan	1	<p>0: No</p> <p>1: Yes</p>
Comments and Next Steps	The Master Plans are produced in a participatory manner.	
7.b Planning process: There is an established schedule and process for periodic review and updating of the management plan	1	<p>0: No</p> <p>1: Yes</p>
Comments and Next Steps	According to the PA Law, Master Plans should be updated every 5 years.	

7.c Planning process: The results of monitoring, research and evaluation are routinely incorporated into planning	0	0: No 1: Yes
Comments and Next Steps		
8. Regular work plan: Is there a regular work plan and is it being implemented	3	0: No regular work plan exists 1: A regular work plan exists but few of the activities are implemented 2: A regular work plan exists and many activities are implemented 3: A regular work plan exists and all activities are implemented
Comments and Next Steps		
The 2013 Annual Plan of Operations is being implemented and that for 2014 is being produced.		
9. Resource inventory: Do you have enough information to manage the area?	2	0: There is little or no information available on the critical habitats, species and cultural values of the protected area 1: Information on the critical habitats, species, ecological processes and cultural values of the protected area is not sufficient to support planning and decision making 2: Information on the critical habitats, species, ecological processes and cultural values of the protected area is

		sufficient for most key areas of planning and decision making
		3: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient to support all areas of planning and decision making
Comments and Next Steps		
10. Protection systems:	2	0: Protection systems (patrols, permits etc) do not exist or are not effective in controlling access/resource use
Are systems in place to control access/resource use in the protected area?		1: Protection systems are only partially effective in controlling access/resource use
		2: Protection systems are moderately effective in controlling access/resource use
		3: Protection systems are largely or wholly effective in controlling access/resource use
Comments and Next Steps		
11. Research: Is there a programme of management-orientated survey and research work?	0	0: There is no survey or research work taking place in the protected area

		<p>1: There is a small amount of survey and research work but it is not directed towards the needs of protected area management</p> <p>2: There is considerable survey and research work but it is not directed towards the needs of protected area management</p> <p>3: There is a comprehensive, integrated programme of survey and research work, which is relevant to management needs</p>
Comments and Next Steps		
12. Resource management: Is active resource management being undertaken?	0	<p>0: Active resource management is not being undertaken</p> <p>1: Very few of the requirements for active management of critical habitats, species, ecological processes and cultural values are being implemented</p> <p>2: Many of the requirements for active management of critical habitats, species, ecological processes and, cultural values are being implemented but some</p>

		key issues are not being addressed
		3: Requirements for active management of critical habitats, species, ecological processes and, cultural values are being substantially or fully implemented
Comments and Next Steps		
13. Staff numbers: Are there enough people employed to manage the protected area?	2	0: There are no staff
		1: Staff numbers are inadequate for critical management activities
		2: Staff numbers are below optimum level for critical management activities
		3: Staff numbers are adequate for the management needs of the protected area
Comments and Next Steps	Current staff: 1 chief, 1 administrative, 1 specialist and 6 park guards. For 2014 it is intended to add 2 further specialists and 4 park guards	
14. Staff training: Are staff adequately trained to fulfill management objectives?	2	0: Staff lack the skills needed for protected area management
		1: Staff training and skills are low relative to the needs of the protected area

		2: Staff training and skills are adequate, but could be further improved to fully achieve the objectives of management
		3: Staff training and skills are aligned with the management needs of the protected area
Comments and Next Steps		
15. Current budget: Is the current budget sufficient?	2	0: There is no budget for management of the protected area
		1: The available budget is inadequate for basic management needs and presents a serious constraint to the capacity to manage
		2: The available budget is acceptable but could be further improved to fully achieve effective management
		3: The available budget is sufficient and meets the full management needs of the protected area
Comments and Next Steps		
16. Security of budget: Is the budget secure?	3	0: There is no secure budget for the protected area and management is wholly reliant on outside or highly variable funding

		<p>1: There is very little secure budget and the protected area could not function adequately without outside funding</p> <p>2: There is a reasonably secure core budget for regular operation of the protected area but many innovations and initiatives are reliant on outside funding</p> <p>3: There is a secure budget for the protected area and its management needs</p>
Comments and Next Steps	SERNANP covers the annual budget	
17. Management of budget: Is the budget managed to meet critical management needs?	2	<p>0: Budget management is very poor and significantly undermines effectiveness (e.g. late release of budget in financial year)</p> <p>1: Budget management is poor and constrains effectiveness</p> <p>2: Budget management is adequate but could be improved</p> <p>3: Budget management is excellent and meets management needs</p>
Comments and Next Steps		
18. Equipment: Is equipment sufficient for management needs?	2	0: There are little or no equipment and facilities for management needs

		1: There are some equipment and facilities but these are inadequate for most management needs
		2: There are equipment and facilities, but still some gaps that constrain management
		3: There are adequate equipment and facilities
Comments and Next Steps	Current infrastructure and equipment: 1 administrative base, 2 control posts, 1 pickup, 6 motorcycles, field equipment (GPS, computers, cameras)	
19. Maintenance of equipment: Is equipment adequately maintained?	2	0: There is little or no maintenance of equipment and facilities
		1: There is some ad hoc maintenance of equipment and facilities
		2: There is basic maintenance of equipment and facilities
		3: Equipment and facilities are well maintained
Comments and Next Steps		
20. Education and awareness: Is there a planned education programme linked to the objectives and needs?	1	0: There is no education and awareness programme
		1: There is a limited and ad hoc education and awareness programme
		2: There is an education and awareness programme but it only partly meets needs and could be improved

		3: There is an appropriate and fully implemented education and awareness programme
Comments and Next Steps		
21. Planning for land and water use: Does land and water use planning recognise the protected area and aid the achievement of objectives?	1	<p>0: Adjacent land and water use planning does not take into account the needs of the protected area and activities/policies are detrimental to the survival of the area</p> <p>1: Adjacent land and water use planning does not takes into account the long term needs of the protected area, but activities are not detrimental the area</p> <p>2: Adjacent land and water use planning partially takes into account the long term needs of the protected area</p> <p>3: Adjacent land and water use planning fully takes into account the long term needs of the protected area</p>
Comments and Next Steps		
21a. Land and water planning for habitat conservation: Planning and management in the catchment or landscape	0	<p>0: No</p> <p>1: Yes</p>

containing the protected area incorporates provision for adequate environmental conditions (e.g. volume, quality and timing of water flow, air pollution levels etc) to sustain relevant habitats.		
Comments and Next Steps		
21b. Land and water planning for habitat conservation: Management of corridors linking the protected area provides for wildlife passage to key habitats outside the protected area (e.g. to allow migratory fish to travel between freshwater spawning sites and the sea, or to allow animal migration).	1	0: No 1: Yes
Comments and Next Steps		
21c. Land and water planning for habitat conservation: "Planning addresses ecosystem-specific needs and/or the needs of particular species of concern at an ecosystem scale (e.g. volume, quality and timing of freshwater flow to sustain particular species, fire management to maintain savannah habitats etc.)"	0	0: No 1: Yes
Comments and Next Steps		

<p>22. State and commercial neighbours: Is there co-operation with adjacent land and water users?</p>	<p>1</p>	<p>0: There is no contact between managers and neighbouring official or corporate land and water users</p> <p>1: There is contact between managers and neighbouring official or corporate land and water users but little or no cooperation</p> <p>2: There is contact between managers and neighbouring official or corporate land and water users, but only some co-operation</p> <p>3: There is regular contact between managers and neighbouring official or corporate land and water users, and substantial co-operation on management</p>
<p>Comments and Next Steps</p>	<p>They participate through their representatives in the PA Management Committee</p>	
<p>23. Indigenous people: Do indigenous and traditional peoples resident or regularly using the protected area have input to management decisions?</p>	<p>1</p>	<p>0: Indigenous and traditional peoples have no input into decisions relating to the management of the protected area</p> <p>1: Indigenous and traditional peoples have some input into discussions relating to</p>

		management but no direct role in management
		2: Indigenous and traditional peoples directly contribute to some relevant decisions relating to management but their involvement could be improved
		3: Indigenous and traditional peoples directly participate in all relevant decisions relating to management, e.g. co-management
Comments and Next Steps	They participate through their representatives in the PA Management Committee	
24. Local communities: Do local communities resident or near the protected area have input to management decisions?	1	0: Local communities have no input into decisions relating to the management of the protected area
		1: Local communities have some input into discussions relating to management but no direct role in management
		2: Local communities directly contribute to some relevant decisions relating to management but their involvement could be improved
		3: Local communities directly participate in all relevant decisions relating

		to management, e.g. co-management
Comments and Next Steps	They participate through their representatives in the PA Management Committee	
24 a. Impact on communities: There is open communication and trust between local and/or indigenous people, stakeholders and protected area managers	0	0: No 1: Yes
Comments and Next Steps		
24 b. Impact on communities: Programmes to enhance community welfare, while conserving protected area resources, are being implemented	1	0: No 1: Yes
Comments and Next Steps		
24 c. Impact on communities: Local and/or indigenous people actively support the protected area	0	0: No 1: Yes
Comments and Next Steps		
25. Economic benefit: Is the protected area providing economic benefits to local communities, e.g. income, employment, payment for environmental services?	1	0: The protected area does not deliver any economic benefits to local communities 1: Potential economic benefits are recognised and plans to realise these are being developed 2: There is some flow of economic benefits to local communities

		3: There is a major flow of economic benefits to local communities from activities associated with the protected area
Comments and Next Steps	Environmental benefits: watershed protection, carbon capture, water, landscape,	
26. Monitoring and evaluation: Are management activities monitored against performance?	1	0: There is no monitoring and evaluation in the protected area
		1: There is some ad hoc monitoring and evaluation, but no overall strategy and/or no regular collection of results
		2: There is an agreed and implemented monitoring and evaluation system but results do not feed back into management
		3: A good monitoring and evaluation system exists, is well implemented and used in adaptive management
Comments and Next Steps		
27. Visitor facilities: Are visitor facilities adequate?	2	0: There are no visitor facilities and services despite an identified need
		1: Visitor facilities and services are inappropriate for current levels of visitation
		2: Visitor facilities and services are adequate for current levels of visitation but could be improved

		3: Visitor facilities and services are excellent for current levels of visitation
Comments and Next Steps		
28. Commercial tourism operators: Do commercial tour operators contribute to protected area management?	0	<p>0: There is little or no contact between managers and tourism operators using the protected area</p> <p>1: There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters</p> <p>2: There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values</p> <p>3: There is good co-operation between managers and tourism operators to enhance visitor experiences, and maintain protected area values</p>
Comments and Next Steps		
29. Fees: If fees (i.e. entry fees or fines) are applied, do they help protected area management?	0	<p>0: Although fees are theoretically applied, they are not collected</p> <p>1: Fees are collected, but make no contribution to the protected area or its environs</p>

		2: Fees are collected, and make some contribution to the protected area and its environs
		3: Fees are collected and make a substantial contribution to the protected area and its environs
Comments and Next Steps		
30. Condition of values: What is the condition of the important values of the protected area as compared to when it was first designated?	1	0: Many important biodiversity, ecological or cultural values are being severely degraded
		1: Some biodiversity, ecological or cultural values are being severely degraded
		2: Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted
		3: Biodiversity, ecological and cultural values are predominantly intact
Comments and Next Steps	The Protection Forest retains 50% of its vegetation cover	
30a: Condition of values: The assessment of the condition of values is based on research and/or monitoring	0	0: No 1: Yes
Comments and Next Steps		

30b: Condition of values Specific management programmes are being implemented to address threats to biodiversity, ecological and cultural values	0	0: No 1: Yes
Comments and Next Steps		
30c: Condition of values: Activities to maintain key biodiversity, ecological and cultural values are a routine part of park management	0	0: No 1: Yes
Comments and Next Steps		
TOTAL SCORE	47	Pls add up numbers from assessment form (questions 1 to 30)



Tool for Biodiversity Projects in GEF-3, GEF-4, and GEF-5

Objective 1: Catalyzing Sustainability of Protected Area Systems

SECTION II: Management Effectiveness Tracking Tool for Protected Areas

Note: Please complete the management effectiveness tracking tool for **EACH** protected area that is the target of the GEF intervention and create a new worksheet for each.

Structure and content of the Tracking Tool - Objective 1. Section II:

The Tracking Tool has two main sections: datasheets and assessment form. Both sections should be completed.

1. Datasheets: the data sheet comprises of two separate sections:

ü Data sheet 1: records details of the assessment and some basic information about the site, such as name, size and location etc.

ü Data sheet 2: provides a generic list of threats which protected areas can face. On this data sheet the assessors are asked to identify threats and rank their impact on the protected area.

2. Assessment Form: the assessment is structured around 30 questions presented in table format which includes three columns for recording details of the assessment, all of which should be completed.

Important: Please read the Guidelines posted on the GEF website before entering your data

Data Sheet 1: Reporting Progress at Protected Area Sites	Please indicate your answer here	Notes
Name, affiliation and contact details for person responsible for completing the METT (email etc.)	Alfredo Neyra, Area Chief eneyra@sernanp.gob.pe	
Date assessment carried out	Nov 13, 2013	Month DD, YYYY (e.g., May 12, 2010)
Name of protected area	El Sira Communal Reserve	
WDPA site code (these codes can be found on www.unep-wcmc.org/wdpa/)	0	
Designations(please choose 1-3)	1	1: National 2: IUCN Category

		3: International (please complete lines 35-69 as necessary)
Country	Perú	
Location of protected area (province and if possible map reference)	Región Ucayali (Provincias Atalaya y Coronel Portillo), Región Pasco (Provincia Oxapampa) and Región Huánuco (Provincia Puerto Inca)	
Date of establishment	2001	
Ownership details (please choose 1-4)	1	
		1: State
		2: Private
		3: Community
		4: Other
Management Authority	SERNANP	
Size of protected area (ha)	616413	
Number of Permanent staff	24	
Number of Temporary staff	0	
Annual budget (US\$) for recurrent (operational) funds – excluding staff salary costs	63634	Año 2014
Annual budget (US\$) for project or other supplementary funds – excluding staff salary costs	No data	
What are the main values for which the area is designated	Conserves the biodiversity of the El Sira range, protects watersheds and resources used by ancestral indigenous inhabitants	
List the two primary protected area management objectives in below:		

Management objective 1	Conservation of biodiversity in benefit of the native communities belonging to the ashaninka, asheninka, yanesha and shipibo-conibo ethnic groups neighbouring the PA	
Management objective 2	Institutional strengthening of the Com-Management Unit: the RCS leadership and the ECA (ECOSIRA), as well as grassroots organisations of the zone to achieve the conservation objectives of the RCS.	
No. of people involved in completing assessment	4	
Including: (please choose 1-8)	1	1: PA manager 2: PA staff 3: Other PA agency staff 4: Donors 5: NGOs 6: External experts 7: Local community 8: Other
Information on International Designations	Please indicate your answer here	
	-	
UNESCO World Heritage site (see: http://whc.unesco.org/en/list)	no	

Date Listed	-	
Site name	-	
Site area	-	
Geographical co-ordinates	-	
	-	
Criteria for designation	-	(i.e. criteria i to x)
Statement of Outstanding Universal Value	-	
	-	
Ramsar site (see: http://ramsar.wetlands.org)	no	
Date Listed	-	
Site name	-	
Site area	-	
Geographical number	-	
Reason for Designation (see Ramsar Information Sheet)	-	
	-	
UNESCO Man and Biosphere Reserves (see: http://www.unesco.org/new/en/natural-sciences/environment/ecological-sciences/man-and-biosphere-programme/)	si	
Date Listed	2010	
Site name	Oxapampa-Ashaninka-Yanesha Biosphere Reserve	

Site area	1867379 ha	Total, Core, Buffer, and Transition
Geographical co-ordinates	Long. 73°45'W - 76°15'W Lat. 9°20'S - 11°05'S	
Criteria for designation	The Biosphere Reserve constitutes a very important conservation site due to the presence of indigenous cultures, sustainable crops and natural protected areas.	
Fulfilment of three functions of MAB	Yes	conservation, development and logistic support
Please list other designations (i.e. ASEAN Heritage, Natura 2000) and any supporting information below		
		Name
		Detail
		Name
		Detail
		Name
		Detail
Data Sheet 2: Protected Areas Threats (please complete a Data Sheet of threats and assessment for each protected area of the project).		
Please choose all relevant existing threats as either of high, medium or low significance. Threats ranked as of high significance are those which are seriously degrading values; medium are those threats having some negative impact and those characterised as low are threats which are present but not seriously impacting values or N/A where the threat is not present or not applicable in the protected area.		
1. Residential and commercial development within a protected area		
Threats from human settlements or other non-agricultural land uses with a substantial footprint		
1.1 Housing and settlement	2	0: N/A
		1: Low
		2: Medium

		3: High
1.2 Commercial and industrial areas	0	0: N/A
		1: Low
		2: Medium
		3: High
1.3 Tourism and recreation infrastructure	0	0: N/A
		1: Low
		2: Medium
		3: High
2. Agriculture and aquaculture within a protected area		
Threats from farming and grazing as a result of agricultural expansion and intensification, including silviculture, mariculture and aquaculture		
2.1 Annual and perennial non-timber crop cultivation	1	0: N/A
		1: Low
		2: Medium
		3: High
2.1a Drug cultivation	0	0: N/A
		1: Low
		2: Medium
		3: High
2.2 Wood and pulp plantations	0	0: N/A
		1: Low
		2: Medium
		3: High
2.3 Livestock farming and grazing	2	0: N/A
		1: Low
		2: Medium
		3: High
2.4 Marine and freshwater aquaculture	0	0: N/A
		1: Low
		2: Medium
		3: High
3. Energy production and mining within a protected area		
Threats from production of non-biological resources		

3.1 Oil and gas drilling	0	0: N/A
		1: Low
		2: Medium
		3: High
3.2 Mining and quarrying	2	0: N/A
		1: Low
		2: Medium
		3: High
3.3 Energy generation, including from hydropower dams	0	0: N/A
		1: Low
		2: Medium
		3: High
4. Transportation and service corridors within a protected area		
Threats from long narrow transport corridors and the vehicles that use them including associated wildlife mortality		
4.1 Roads and railroads (include road-killed animals)	1	0: N/A
		1: Low
		2: Medium
		3: High
4.2 Utility and service lines (e.g. electricity cables, telephone lines,)	0	0: N/A
		1: Low
		2: Medium
		3: High
4.3 Shipping lanes and canals	0	0: N/A
		1: Low
		2: Medium
		3: High
4.4 Flight paths	0	0: N/A
		1: Low
		2: Medium
		3: High
5. Biological resource use and harm within a protected area		
Threats from consumptive use of "wild" biological resources including both deliberate and unintentional harvesting effects; also persecution or control of specific species (note this includes hunting and killing of animals)		

5.1 Hunting, killing and collecting terrestrial animals (including killing of animals as a result of human/wildlife conflict)	1	0: N/A
		1: Low
		2: Medium
		3: High
5.2 Gathering terrestrial plants or plant products (non-timber)	1	0: N/A
		1: Low
		2: Medium
		3: High
5.3 Logging and wood harvesting	1	0: N/A
		1: Low
		2: Medium
		3: High
5.4 Fishing, killing and harvesting aquatic resources	1	0: N/A
		1: Low
		2: Medium
		3: High
6. Human intrusions and disturbance within a protected area		
Threats from human activities that alter, destroy or disturb habitats and species associated with non-consumptive uses of biological resources		
6.1 Recreational activities and tourism	0	0: N/A
		1: Low
		2: Medium
		3: High
6.2 War, civil unrest and military exercises	0	0: N/A
		1: Low
		2: Medium
		3: High
6.3 Research, education and other work-related activities in protected areas	1	0: N/A
		1: Low
		2: Medium
		3: High
6.4 Activities of protected area managers (e.g. construction or vehicle use, artificial watering points and dams)	0	0: N/A
		1: Low
		2: Medium

		3: High
6.5 Deliberate vandalism, destructive activities or threats to protected area staff and visitors	1	0: N/A
		1: Low
		2: Medium
		3: High
7. Natural system modifications		
Threats from other actions that convert or degrade habitat or change the way the ecosystem functions		
7.1 Fire and fire suppression (including arson)	1	0: N/A
		1: Low
		2: Medium
		3: High
7.2 Dams, hydrological modification and water management/use	0	0: N/A
		1: Low
		2: Medium
		3: High
7.3a Increased fragmentation within protected area	1	0: N/A
		1: Low
		2: Medium
		3: High
7.3b Isolation from other natural habitat (e.g. deforestation, dams without effective aquatic wildlife passages)	1	0: N/A
		1: Low
		2: Medium
		3: High
7.3c Other 'edge effects' on park values	0	0: N/A
		1: Low
		2: Medium
		3: High
7.3d Loss of keystone species (e.g. top predators, pollinators etc)	0	0: N/A
		1: Low
		2: Medium
		3: High
8. Invasive and other problematic species and genes		

Threats from terrestrial and aquatic non-native and native plants, animals, pathogens/microbes or genetic materials that have or are predicted to have harmful effects on biodiversity following introduction, spread and/or increase		
8.1 Invasive non-native/alien plants (weeds)	0	0: N/A
		1: Low
		2: Medium
		3: High
8.1a Invasive non-native/alien animals	0	0: N/A
		1: Low
		2: Medium
		3: High
8.1b Pathogens (non-native or native but creating new/increased problems)	0	0: N/A
		1: Low
		2: Medium
		3: High
8.2 Introduced genetic material (e.g. genetically modified organisms)	0	0: N/A
		1: Low
		2: Medium
		3: High
9. Pollution entering or generated within protected area		
Threats from introduction of exotic and/or excess materials or energy from point and non-point sources		
9.1 Household sewage and urban waste water	0	0: N/A
		1: Low
		2: Medium
		3: High
9.1a Sewage and waste water from protected area facilities (e.g. toilets, hotels etc)	0	0: N/A
		1: Low
		2: Medium
		3: High
9.2 Industrial, mining and military effluents and discharges (e.g. poor water quality discharge from dams, e.g. unnatural temperatures, de-oxygenated, other pollution)	0	0: N/A
		1: Low
		2: Medium
		3: High
	1	0: N/A

9.3 Agricultural and forestry effluents (e.g. excess fertilizers or pesticides)		1: Low
		2: Medium
		3: High
9.4 Garbage and solid waste	1	0: N/A
		1: Low
		2: Medium
9.5 Air-borne pollutants	0	3: High
		0: N/A
		1: Low
9.6 Excess energy (e.g. heat pollution, lights etc)	0	2: Medium
		1: Low
		0: N/A
10. Geological events		
Geological events may be part of natural disturbance regimes in many ecosystems. But they can be a threat if a species or habitat is damaged and has lost its resilience and is vulnerable to disturbance. Management capacity to respond to some of these changes may be limited.		
10.1 Volcanoes	0	0: N/A
		1: Low
		2: Medium
		3: High
10.2 Earthquakes/Tsunamis	0	0: N/A
		1: Low
		2: Medium
		3: High
10.3 Avalanches/ Landslides	0	0: N/A
		1: Low
		2: Medium
		3: High
10.4 Erosion and siltation/ deposition (e.g. shoreline or riverbed changes)	1	0: N/A
		1: Low
		2: Medium

		3: High
11. Climate change and severe weather		
Threats from long-term climatic changes which may be linked to global warming and other severe climatic/weather events outside of the natural range of variation		
11.1 Habitat shifting and alteration	1	0: N/A
		1: Low
		2: Medium
		3: High
11.2 Droughts	0	0: N/A
		1: Low
		2: Medium
		3: High
11.3 Temperature extremes	1	0: N/A
		1: Low
		2: Medium
		3: High
11.4 Storms and flooding	2	0: N/A
		1: Low
		2: Medium
		3: High
12. Specific cultural and social threats		
12.1 Loss of cultural links, traditional knowledge and/or management practices	1	0: N/A
		1: Low
		2: Medium
		3: High
12.2 Natural deterioration of important cultural site values	1	0: N/A
		1: Low
		2: Medium
		3: High
12.3 Destruction of cultural heritage buildings, gardens, sites etc	0	0: N/A
		1: Low
		2: Medium
		3: High

Assessment Form		
1. Legal status: Does the protected area have legal status (or in the case of private reserves is covered by a covenant or similar)?	3	0: The protected area is not gazetted/covenanted 1: There is agreement that the protected area should be gazetted/covenanted but the process has not yet begun 2: The protected area is in the process of being gazetted/covenanted but the process is still incomplete (includes sites designated under international conventions, such as Ramsar, or local/traditional law such as community conserved areas, which do not yet have national legal status or covenant) 3: The protected area has been formally gazetted/covenanted
Comments and Next Steps	Established by Supreme Decree N° 037-2001-AG of 22nd June 2001	
2. Protected area regulations: Are appropriate regulations in place to control land use and activities (e.g. hunting)?	3	0: There are no regulations for controlling land use and activities in the protected area 1: Some regulations for controlling land use and activities in the protected area exist but these are major weaknesses 2: Regulations for controlling land use and activities in the protected area exist but there are some weaknesses or gaps 3: Regulations for controlling inappropriate land use and activities in the protected area exist and provide an excellent basis for management
Comments and Next Steps	Law of Protected Natural Areas, its Regulation and PA Zoning. Natural resource use plans need to be produced and/or the existing ones need to be implemented.	
3. Law	1	0: The staff have no effective capacity/resources to enforce protected area legislation and regulations

Enforcement: Can staff (i.e. those with responsibility for managing the site) enforce protected area rules well enough?		1: There are major deficiencies in staff capacity/resources to enforce protected area legislation and regulations (e.g. lack of skills, no patrol budget, lack of institutional support)
		2: The staff have acceptable capacity/resources to enforce protected area legislation and regulations but some deficiencies remain
		3: The staff have excellent capacity/resources to enforce protected area legislation and regulations
Comments and Next Steps	The Park Guards are responsible for ensuring compliance with the PA norms, however shortage of economic resources is a major limiting factor.	
4. Protected area objectives: Is management undertaken according to agreed objectives?	2	0: No firm objectives have been agreed for the protected area
		1: The protected area has agreed objectives, but is not managed according to these objectives
		2: The protected area has agreed objectives, but is only partially managed according to these objectives
		3: The protected area has agreed objectives and is managed to meet these objectives
Comments and Next Steps		
5. Protected area design: Is the protected area the right size and shape to protect species, habitats, ecological processes and water catchments of key conservation concern?	2	0: Inadequacies in protected area design mean achieving the major objectives of the protected area is very difficult
		1: Inadequacies in protected area design mean that achievement of major objectives is difficult but some mitigating actions are being taken (e.g. agreements with adjacent land owners for wildlife corridors or introduction of appropriate catchment management)
		2: Protected area design is not significantly constraining achievement of objectives, but could be improved (e.g. with respect to larger scale ecological processes)
		3: Protected area design helps achievement of objectives; it is appropriate for species and habitat conservation; and maintains ecological processes

		such as surface and groundwater flows at a catchment scale, natural disturbance patterns etc
Comments and Next Steps		
6. Protected area boundary demarcation:	2	0: The boundary of the protected area is not known by the management authority or local residents/neighbouring land users
Is the boundary known and demarcated?		1: The boundary of the protected area is known by the management authority but is not known by local residents/neighbouring land users
		2: The boundary of the protected area is known by both the management authority and local residents/neighbouring land users but is not appropriately demarcated
		3: The boundary of the protected area is known by the management authority and local residents/neighbouring land users and is appropriately demarcated
Comments and Next Steps		
7. Management plan: Is there a management plan and is it being implemented?	2	0: There is no management plan for the protected area
		1: A management plan is being prepared or has been prepared but is not being implemented
		2: A management plan exists but it is only being partially implemented because of funding constraints or other problems
		3: A management plan exists and is being implemented
Comments and Next Steps		The 2009-2013 Master Plan is current: the 2014-2018 plan is being prepared
7.a Planning process: The planning process allows adequate opportunity for key stakeholders to influence the management plan	1	0: No 1: Yes
Comments and Next Steps		The Master Plans are prepared in a participatory manner

7.b Planning process: There is an established schedule and process for periodic review and updating of the management plan	1	0: No 1: Yes
Comments and Next Steps	According to the PA Law, Master Plans should be updated every 5 years	
7.c Planning process: The results of monitoring, research and evaluation are routinely incorporated into planning	1	0: No 1: Yes
Comments and Next Steps		
8. Regular work plan: Is there a regular work plan and is it being implemented	1	0: No regular work plan exists
		1: A regular work plan exists but few of the activities are implemented
		2: A regular work plan exists and many activities are implemented
		3: A regular work plan exists and all activities are implemented
Comments and Next Steps	The 2013 Annual Plan of Operations is being implemented and the 2014 plan is currently being prepared	
9. Resource inventory: Do you have enough information to manage the area?	1	0: There is little or no information available on the critical habitats, species and cultural values of the protected area
		1: Information on the critical habitats, species, ecological processes and cultural values of the protected area is not sufficient to support planning and decision making
		2: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient for most key areas of planning and decision making
		3: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient to support all areas of planning and decision making
Comments and Next Steps		
10. Protection systems:	2	0: Protection systems (patrols, permits etc) do not exist or are not effective in controlling access/resource use

Are systems in place to control access/resource use in the protected area?		1: Protection systems are only partially effective in controlling access/resource use
		2: Protection systems are moderately effective in controlling access/resource use
		3: Protection systems are largely or wholly effective in controlling access/ resource use
Comments and Next Steps	The 2013 Annual Plan of Operations proposes 30 routine patrols and 1 special patrol in the reserve	
11. Research: Is there a programme of management-orientated survey and research work?	2	0: There is no survey or research work taking place in the protected area
		1: There is a small amount of survey and research work but it is not directed towards the needs of protected area management
		2: There is considerable survey and research work but it is not directed towards the needs of protected area management
		3: There is a comprehensive, integrated programme of survey and research work, which is relevant to management needs
Comments and Next Steps	There is research and monitoring of flora, fauna and climate in the altitudinal transect	
12. Resource management: Is active resource management being undertaken?	0	0: Active resource management is not being undertaken
		1: Very few of the requirements for active management of critical habitats, species, ecological processes and cultural values are being implemented
		2: Many of the requirements for active management of critical habitats, species, ecological processes and, cultural values are being implemented but some key issues are not being addressed
		3: Requirements for active management of critical habitats, species, ecological processes and, cultural values are being substantially or fully implemented
Comments and Next Steps	There is active resource management by the population located in the buffer zone	

13. Staff numbers: Are there enough people employed to manage the protected area?	1	0: There are no staff
		1: Staff numbers are inadequate for critical management activities
		2: Staff numbers are below optimum level for critical management activities
		3: Staff numbers are adequate for the management needs of the protected area
Comments and Next Steps	Current staff: 1 chief, 2 specialists and 21 park guards	
14. Staff training: Are staff adequately trained to fulfill management objectives?	2	0: Staff lack the skills needed for protected area management
		1: Staff training and skills are low relative to the needs of the protected area
		2: Staff training and skills are adequate, but could be further improved to fully achieve the objectives of management
		3: Staff training and skills are aligned with the management needs of the protected area
Comments and Next Steps		
15. Current budget: Is the current budget sufficient?	1	0: There is no budget for management of the protected area
		1: The available budget is inadequate for basic management needs and presents a serious constraint to the capacity to manage
		2: The available budget is acceptable but could be further improved to fully achieve effective management
		3: The available budget is sufficient and meets the full management needs of the protected area
Comments and Next Steps		
16. Security of budget: Is the budget secure?	3	0: There is no secure budget for the protected area and management is wholly reliant on outside or highly variable funding
		1: There is very little secure budget and the protected area could not function adequately without outside funding

		2: There is a reasonably secure core budget for regular operation of the protected area but many innovations and initiatives are reliant on outside funding
		3: There is a secure budget for the protected area and its management needs
Comments and Next Steps	SERNANP covers the annual budget	
17. Management of budget: Is the budget managed to meet critical management needs?	2	0: Budget management is very poor and significantly undermines effectiveness (e.g. late release of budget in financial year)
		1: Budget management is poor and constrains effectiveness
		2: Budget management is adequate but could be improved
		3: Budget management is excellent and meets management needs
Comments and Next Steps		
18. Equipment: Is equipment sufficient for management needs?	2	0: There are little or no equipment and facilities for management needs
		1: There are some equipment and facilities but these are inadequate for most management needs
		2: There are equipment and facilities, but still some gaps that constrain management
		3: There are adequate equipment and facilities
Comments and Next Steps	1 administrative base, 2 sub-bases, 2 control posts, 2 pickups, 3 motorcycles, 5 outboard motors, 2 canoe motors	
19. Maintenance of equipment: Is equipment adequately maintained?	1	0: There is little or no maintenance of equipment and facilities
		1: There is some ad hoc maintenance of equipment and facilities
		2: There is basic maintenance of equipment and facilities
		3: Equipment and facilities are well maintained
Comments and Next Steps		
	1	0: There is no education and awareness programme

20. Education and awareness: Is there a planned education programme linked to the objectives and needs?		<p>1: There is a limited and ad hoc education and awareness programme</p> <p>2: There is an education and awareness programme but it only partly meets needs and could be improved</p> <p>3: There is an appropriate and fully implemented education and awareness programme</p>
Comments and Next Steps		
21. Planning for land and water use: Does land and water use planning recognise the protected area and aid the achievement of objectives?	1	<p>0: Adjacent land and water use planning does not take into account the needs of the protected area and activities/policies are detrimental to the survival of the area</p> <p>1: Adjacent land and water use planning does not takes into account the long term needs of the protected area, but activities are not detrimental the area</p> <p>2: Adjacent land and water use planning partially takes into account the long term needs of the protected area</p> <p>3: Adjacent land and water use planning fully takes into account the long term needs of the protected area</p>
Comments and Next Steps		
21a. Land and water planning for habitat conservation: Planning and management in the catchment or landscape containing the protected area incorporates provision for adequate environmental conditions (e.g. volume, quality and timing of water flow, air pollution levels etc) to sustain relevant habitats.	0	<p>0: No</p> <p>1: Yes</p>
Comments and Next Steps		
21b. Land and water planning for habitat conservation: Management of corridors linking the protected area provides for wildlife passage to key habitats outside the protected area (e.g. to allow migratory fish to travel between freshwater spawning sites and the sea, or to allow animal migration).	1	<p>0: No</p> <p>1: Yes</p>

Comments and Next Steps	Through the Yuyapichis altitudinal transect - biological connection between the buffer zone and El Sira Communal Reserve through the Pachitea sector	
21c. Land and water planning for habitat conservation: "Planning addresses ecosystem-specific needs and/or the needs of particular species of concern at an ecosystem scale (e.g. volume, quality and timing of freshwater flow to sustain particular species, fire management to maintain savannah habitats etc.)"	1	0: No 1: Yes
Comments and Next Steps	Monitoring of vegetation, tree growth, birds, amphibians and climate in the Yuyapichis altitudinal transect to evaluate the effects of climate change	
22. State and commercial neighbours: Is there co-operation with adjacent land and water users?	2	0: There is no contact between managers and neighbouring official or corporate land and water users
		1: There is contact between managers and neighbouring official or corporate land and water users but little or no cooperation
		2: There is contact between managers and neighbouring official or corporate land and water users, but only some co-operation
		3: There is regular contact between managers and neighbouring official or corporate land and water users, and substantial co-operation on management
Comments and Next Steps	They participate through their representatives on the PA management committee	
23. Indigenous people: Do indigenous and traditional peoples resident or regularly using the protected area have input to management decisions?	3	0: Indigenous and traditional peoples have no input into decisions relating to the management of the protected area
		1: Indigenous and traditional peoples have some input into discussions relating to management but no direct role in management
		2: Indigenous and traditional peoples directly contribute to some relevant decisions relating to management but their involvement could be improved

		3: Indigenous and traditional peoples directly participate in all relevant decisions relating to management, e.g. co-management
Comments and Next Steps	They participate through an ECA (ECOSIRA) that represents 69 native communities in the comanagement of the reserve. They also participate through their representatives on the PA Management Committee	
24. Local communities: Do local communities resident or near the protected area have input to management decisions?	3	0: Local communities have no input into decisions relating to the management of the protected area
		1: Local communities have some input into discussions relating to management but no direct role in management
		2: Local communities directly contribute to some relevant decisions relating to management but their involvement could be improved
		3: Local communities directly participate in all relevant decisions relating to management, e.g. co-management
Comments and Next Steps	They participate through an ECA (ECOSIRA) that represents 69 native communities in the comanagement of the reserve. They also participate through their representatives on the PA Management Committee	
24 a. Impact on communities: There is open communication and trust between local and/or indigenous people, stakeholders and protected area managers	1	0: No 1: Yes
Comments and Next Steps		
24 b. Impact on communities: Programmes to enhance community welfare, while conserving protected area resources, are being implemented	1	0: No 1: Yes
Comments and Next Steps		
24 c. Impact on communities: Local and/or indigenous people actively support the protected area	1	0: No 1: Yes
Comments and Next Steps		
25. Economic benefit: Is the protected area providing economic benefits to local communities, e.g. income, employment, payment for environmental services?	1	0: The protected area does not deliver any economic benefits to local communities
		1: Potential economic benefits are recognised and plans to realise these are being developed

		2: There is some flow of economic benefits to local communities
		3: There is a major flow of economic benefits to local communities from activities associated with the protected area
Comments and Next Steps		
26. Monitoring and evaluation: Are management activities monitored against performance?	1	0: There is no monitoring and evaluation in the protected area
		1: There is some ad hoc monitoring and evaluation, but no overall strategy and/or no regular collection of results
		2: There is an agreed and implemented monitoring and evaluation system but results do not feed back into management
		3: A good monitoring and evaluation system exists, is well implemented and used in adaptive management
Comments and Next Steps		
27. Visitor facilities: Are visitor facilities adequate?	0	0: There are no visitor facilities and services despite an identified need
		1: Visitor facilities and services are inappropriate for current levels of visitation
		2: Visitor facilities and services are adequate for current levels of visitation but could be improved
		3: Visitor facilities and services are excellent for current levels of visitation
Comments and Next Steps		
28. Commercial tourism operators: Do commercial tour operators contribute to protected area management?	0	0: There is little or no contact between managers and tourism operators using the protected area
		1: There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters
		2: There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values

		3: There is good co-operation between managers and tourism operators to enhance visitor experiences, and maintain protected area values
Comments and Next Steps		
29. Fees: If fees (i.e. entry fees or fines) are applied, do they help protected area management?	0	0: Although fees are theoretically applied, they are not collected 1: Fees are collected, but make no contribution to the protected area or its environs 2: Fees are collected, and make some contribution to the protected area and its environs 3: Fees are collected and make a substantial contribution to the protected area and its environs
Comments and Next Steps		
30. Condition of values: What is the condition of the important values of the protected area as compared to when it was first designated?	2	0: Many important biodiversity, ecological or cultural values are being severely degraded 1: Some biodiversity, ecological or cultural values are being severely degraded 2: Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted 3: Biodiversity, ecological and cultural values are predominantly intact
Comments and Next Steps	The northern zone of the reserve is under the greatest threats	
30a: Condition of values: The assessment of the condition of values is based on research and/or monitoring	1	0: No 1: Yes
Comments and Next Steps		
30b: Condition of values Specific management programmes are being implemented to address threats to biodiversity, ecological and cultural values	0	0: No 1: Yes
Comments and Next Steps	There is no specific management programme, but there are certain mechanisms that help to manage the threats affecting the PA	
30c: Condition of values: Activities to maintain key biodiversity, ecological and cultural values are a routine part of park management	1	0: No 1: Yes

Comments and Next Steps		
TOTAL SCORE	57	Pls add up numbers from assessment form (questions 1 to 30)



Tool for Biodiversity Projects in GEF-3, GEF-4, and GEF-5

Objective 1: Catalyzing Sustainability of Protected Area Systems

SECTION II: Management Effectiveness Tracking Tool for Protected Areas

Note: Please complete the management effectiveness tracking tool for **EACH** protected area that is the target of the GEF intervention and create a new worksheet for each.

Structure and content of the Tracking Tool - Objective 1. Section II:

The Tracking Tool has two main sections: datasheets and assessment form. Both sections should be completed.

1. Datasheets: the data sheet comprises of two separate sections:

ü Data sheet 1: records details of the assessment and some basic information about the site, such as name, size and location etc.

ü Data sheet 2: provides a generic list of threats which protected areas can face. On this data sheet the assessors are asked to identify threats and rank their impact on the protected area.

2. Assessment Form: the assessment is structured around 30 questions presented in table format which includes three columns for recording details of the assessment, all of which should be completed.

Important: Please read the Guidelines posted on the GEF website before entering your data

Data Sheet 1: Reporting Progress at Protected Area Sites	Please indicate your answer here	Notes
Name, affiliation and contact details for person responsible for completing the METT (email etc.)	José Carlos Nieto, Area Chief jnieto@sernanp.gob.pe	
Date assessment carried out	Nov 18, 2013	Month DD, YYYY (e.g., May 12, 2010)
Name of protected area	Manu National Park	
WDPA site code (these codes can be found on www.unep-wcmc.org/wdpa/)	-	
Designations(please choose 1-3)	3	1: National 2: IUCN Category

		3: International (please complete lines 35-69 as necessary)
Country	Perú	
Location of protected area (province and if possible map reference)	Región Cusco (Provincia Paucartambo) y Región Madre de Dios (Provincia Manu)	
Date of establishment	1973	
Ownership details (please choose 1-4)	1	1: State
		2: Private
		3: Community
		4: Other
Management Authority	SERNANP	
Size of protected area (ha)	1716295	
Number of Permanent staff	34	
Number of Temporary staff	5	Voluntary Park Guards
Annual budget (US\$) for recurrent (operational) funds – excluding staff salary costs	130207	2014
Annual budget (US\$) for project or other supplementary funds – excluding staff salary costs	53259	
What are the main values for which the area is designated	Conserves the rich biodiversity of montane forests and various ecosystems, from the Andes to the Amazon lowlands. Considered to be one of the most biodiverse places on the planet.	
List the two primary protected area management objectives in below:		

Management objective 1	To protect a representative sample of biodiversity, as well as lowland forest landscape, ceja de selva and Andes of southeast Peru.	
Management objective 2	To promote tourism and contribute to development in the park and its area of influence, based on ecological and cultural criteria	
No. of people involved in completing assessment	3	
Including: (please choose 1-8)	1	1: PA manager 2: PA staff 3: Other PA agency staff 4: Donors 5: NGOs 6: External experts 7: Local community 8: Other
Information on International Designations	Please indicate your answer here	
	-	
UNESCO World Heritage site (see: http://whc.unesco.org/en/list)	-	
Date Listed	1987	
Site name	1532806 ha	

Site area	Long. 71°10'W - 72°01'W Lat. 11°17'S - 13°11'S	
Geographical co-ordinates	-	
	-	
Criteria for designation	-	(i.e. criteria i to x)
Statement of Outstanding Universal Value	-	
	-	
Ramsar site (see: http://ramsar.wetlands.org)	-	
Date Listed	-	
Site name	-	
Site area	-	
Geographical number	-	
Reason for Designation (see Ramsar Information Sheet)	-	
	-	
UNESCO Man and Biosphere Reserves (see: http://www.unesco.org/new/en/natural-sciences/environment/ecological-sciences/man-and-biosphere-programme/)	Manu Man and the Biosphere Reserve	
Date Listed	1,977	
Site name	Total: 1,909,800 ha (1,532,806ha core zone; 257,000ha reserved zone and 120,000ha of transition or cultural zone)	
Site area	-	Total, Core, Buffer, and Transition
Geographical co-ordinates	Long. 70°45'W - 72°30'W Lat. 11°20'S - 13°15'S	
Criteria for designation	-	
Fulfilment of three functions of MAB	-	conservation, development and logistic support
	-	

Please list other designations (i.e. ASEAN Heritage, Natura 2000) and any supporting information below		
	Forms part of the Vilcabamba-Amboró Conservation Corridor	Name
	-	Detail
	-	
	-	Name
	-	Detail
	-	
	-	Name
	-	Detail
Data Sheet 2: Protected Areas Threats (please complete a Data Sheet of threats and assessment for each protected area of the project).		
Please choose all relevant existing threats as either of high, medium or low significance. Threats ranked as of high significance are those which are seriously degrading values; medium are those threats having some negative impact and those characterised as low are threats which are present but not seriously impacting values or N/A where the threat is not present or not applicable in the protected area.		
1. Residential and commercial development within a protected area		
Threats from human settlements or other non-agricultural land uses with a substantial footprint		
1.1 Housing and settlement	2	0: N/A
		1: Low
		2: Medium
		3: High
1.2 Commercial and industrial areas	0	0: N/A
		1: Low
		2: Medium
		3: High
1.3 Tourism and recreation infrastructure	1	0: N/A
		1: Low
		2: Medium
		3: High
2. Agriculture and aquaculture within a protected area		

Threats from farming and grazing as a result of agricultural expansion and intensification, including silviculture, mariculture and aquaculture		
2.1 Annual and perennial non-timber crop cultivation	1	0: N/A
		1: Low
		2: Medium
		3: High
2.1a Drug cultivation	0	0: N/A
		1: Low
		2: Medium
		3: High
2.2 Wood and pulp plantations	0	0: N/A
		1: Low
		2: Medium
		3: High
2.3 Livestock farming and grazing	2	0: N/A
		1: Low
		2: Medium
		3: High
2.4 Marine and freshwater aquaculture	0	0: N/A
		1: Low
		2: Medium
		3: High
3. Energy production and mining within a protected area		
Threats from production of non-biological resources		
3.1 Oil and gas drilling	0	0: N/A
		1: Low
		2: Medium
		3: High
3.2 Mining and quarrying	0	0: N/A
		1: Low
		2: Medium
		3: High
3.3 Energy generation, including from hydropower dams	0	0: N/A
		1: Low

		2: Medium
		3: High
4. Transportation and service corridors within a protected area		
Threats from long narrow transport corridors and the vehicles that use them including associated wildlife mortality		
4.1 Roads and railroads (include road-killed animals)	0	0: N/A
		1: Low
		2: Medium
		3: High
4.2 Utility and service lines (e.g. electricity cables, telephone lines,)	0	0: N/A
		1: Low
		2: Medium
		3: High
4.3 Shipping lanes and canals	1	0: N/A
		1: Low
		2: Medium
		3: High
4.4 Flight paths	1	0: N/A
		1: Low
		2: Medium
		3: High
5. Biological resource use and harm within a protected area		
Threats from consumptive use of "wild" biological resources including both deliberate and unintentional harvesting effects; also persecution or control of specific species (note this includes hunting and killing of animals)		
5.1 Hunting, killing and collecting terrestrial animals (including killing of animals as a result of human/wildlife conflict)	1	0: N/A
		1: Low
		2: Medium
		3: High
5.2 Gathering terrestrial plants or plant products (non-timber)	1	0: N/A
		1: Low
		2: Medium
		3: High
5.3 Logging and wood harvesting	2	0: N/A
		1: Low

		2: Medium
		3: High
5.4 Fishing, killing and harvesting aquatic resources	1	0: N/A
		1: Low
		2: Medium
		3: High
6. Human intrusions and disturbance within a protected area		
Threats from human activities that alter, destroy or disturb habitats and species associated with non-consumptive uses of biological resources		
6.1 Recreational activities and tourism	1	0: N/A
		1: Low
		2: Medium
		3: High
6.2 War, civil unrest and military exercises	0	0: N/A
		1: Low
		2: Medium
		3: High
6.3 Research, education and other work-related activities in protected areas	1	0: N/A
		1: Low
		2: Medium
		3: High
6.4 Activities of protected area managers (e.g. construction or vehicle use, artificial watering points and dams)	0	0: N/A
		1: Low
		2: Medium
		3: High
6.5 Deliberate vandalism, destructive activities or threats to protected area staff and visitors	0	0: N/A
		1: Low
		2: Medium
		3: High
7. Natural system modifications		
Threats from other actions that convert or degrade habitat or change the way the ecosystem functions		
7.1 Fire and fire suppression (including arson)	1	0: N/A
		1: Low
		2: Medium

		3: High
7.2 Dams, hydrological modification and water management/use	0	0: N/A
		1: Low
		2: Medium
		3: High
7.3a Increased fragmentation within protected area	0	0: N/A
		1: Low
		2: Medium
		3: High
7.3b Isolation from other natural habitat (e.g. deforestation, dams without effective aquatic wildlife passages)	0	0: N/A
		1: Low
		2: Medium
		3: High
7.3c Other 'edge effects' on park values	1	0: N/A
		1: Low
		2: Medium
		3: High
7.3d Loss of keystone species (e.g. top predators, pollinators etc)	0	0: N/A
		1: Low
		2: Medium
		3: High
8. Invasive and other problematic species and genes		
Threats from terrestrial and aquatic non-native and native plants, animals, pathogens/microbes or genetic materials that have or are predicted to have harmful effects on biodiversity following introduction, spread and/or increase		
8.1 Invasive non-native/alien plants (weeds)	0	0: N/A
		1: Low
		2: Medium
		3: High
8.1a Invasive non-native/alien animals	1	0: N/A
		1: Low
		2: Medium
		3: High
	0	0: N/A

8.1b Pathogens (non-native or native but creating new/increased problems)		1: Low
		2: Medium
		3: High
8.2 Introduced genetic material (e.g. genetically modified organisms)	0	0: N/A
		1: Low
		2: Medium
9. Pollution entering or generated within protected area		
Threats from introduction of exotic and/or excess materials or energy from point and non-point sources		
9.1 Household sewage and urban waste water	1	0: N/A
		1: Low
		2: Medium
		3: High
9.1a Sewage and waste water from protected area facilities (e.g. toilets, hotels etc)	1	0: N/A
		1: Low
		2: Medium
		3: High
9.2 Industrial, mining and military effluents and discharges (e.g. poor water quality discharge from dams, e.g. unnatural temperatures, de-oxygenated, other pollution)	0	0: N/A
		1: Low
		2: Medium
		3: High
9.3 Agricultural and forestry effluents (e.g. excess fertilizers or pesticides)	0	0: N/A
		1: Low
		2: Medium
		3: High
9.4 Garbage and solid waste	1	0: N/A
		1: Low
		2: Medium
		3: High
9.5 Air-borne pollutants	0	0: N/A
		1: Low
		2: Medium
		3: High

9.6 Excess energy (e.g. heat pollution, lights etc)	0	0: N/A
		1: Low
		2: Medium
		3: High
10. Geological events		
Geological events may be part of natural disturbance regimes in many ecosystems. But they can be a threat if a species or habitat is damaged and has lost its resilience and is vulnerable to disturbance. Management capacity to respond to some of these changes may be limited.		
10.1 Volcanoes	0	0: N/A
		1: Low
		2: Medium
		3: High
10.2 Earthquakes/Tsunamis	0	0: N/A
		1: Low
		2: Medium
		3: High
10.3 Avalanches/ Landslides	1	0: N/A
		1: Low
		2: Medium
		3: High
10.4 Erosion and siltation/ deposition (e.g. shoreline or riverbed changes)	0	0: N/A
		1: Low
		2: Medium
		3: High
11. Climate change and severe weather		
Threats from long-term climatic changes which may be linked to global warming and other severe climatic/weather events outside of the natural range of variation		
11.1 Habitat shifting and alteration	1	0: N/A
		1: Low
		2: Medium
		3: High
11.2 Droughts	1	0: N/A
		1: Low
		2: Medium

		3: High
11.3 Temperature extremes	1	0: N/A
		1: Low
		2: Medium
		3: High
11.4 Storms and flooding	1	0: N/A
		1: Low
		2: Medium
		3: High
12. Specific cultural and social threats		
12.1 Loss of cultural links, traditional knowledge and/or management practices	0	0: N/A
		1: Low
		2: Medium
		3: High
12.2 Natural deterioration of important cultural site values	0	0: N/A
		1: Low
		2: Medium
		3: High
12.3 Destruction of cultural heritage buildings, gardens, sites etc	0	0: N/A
		1: Low
		2: Medium
		3: High
Assessment Form		

1. Legal status: Does the protected area have legal status (or in the case of private reserves is covered by a covenant or similar)?	3	0: The protected area is not gazetted/covenanted 1: There is agreement that the protected area should be gazetted/covenanted but the process has not yet begun 2: The protected area is in the process of being gazetted/covenanted but the process is still incomplete (includes sites designated under international conventions, such as Ramsar, or local/traditional law such as community conserved areas, which do not yet have national legal status or covenant) 3: The protected area has been formally gazetted/covenanted
Comments and Next Steps	Established by Supreme Decree N° 644-73-AG of 29th May 1973	
2. Protected area regulations: Are appropriate regulations in place to control land use and activities (e.g. hunting)?	3	0: There are no regulations for controlling land use and activities in the protected area 1: Some regulations for controlling land use and activities in the protected area exist but these are major weaknesses 2: Regulations for controlling land use and activities in the protected area exist but there are some weaknesses or gaps 3: Regulations for controlling inappropriate land use and activities in the protected area exist and provide an excellent basis for management
Comments and Next Steps	Law of PAs, their Regulation and PA Zoning	
3. Law	2	0: The staff have no effective capacity/resources to enforce protected area legislation and regulations 1: There are major deficiencies in staff capacity/resources to enforce protected area legislation and regulations (e.g. lack of skills, no patrol budget, lack of institutional support) 2: The staff have acceptable capacity/resources to enforce protected area legislation and regulations but some deficiencies remain 3: The staff have excellent capacity/resources to enforce protected area legislation and regulations
Enforcement: Can staff (i.e. those with responsibility for managing the site) enforce protected area rules well enough?		
Comments and Next Steps	Park Guards are responsible for compliance with norms within PAs	

4. Protected area objectives: Is management undertaken according to agreed objectives?	3	<p>0: No firm objectives have been agreed for the protected area</p> <p>1: The protected area has agreed objectives, but is not managed according to these objectives</p> <p>2: The protected area has agreed objectives, but is only partially managed according to these objectives</p> <p>3: The protected area has agreed objectives and is managed to meet these objectives</p>
Comments and Next Steps		
5. Protected area design: Is the protected area the right size and shape to protect species, habitats, ecological processes and water catchments of key conservation concern?	3	<p>0: Inadequacies in protected area design mean achieving the major objectives of the protected area is very difficult</p> <p>1: Inadequacies in protected area design mean that achievement of major objectives is difficult but some mitigating actions are being taken (e.g. agreements with adjacent land owners for wildlife corridors or introduction of appropriate catchment management)</p> <p>2: Protected area design is not significantly constraining achievement of objectives, but could be improved (e.g. with respect to larger scale ecological processes)</p> <p>3: Protected area design helps achievement of objectives; it is appropriate for species and habitat conservation; and maintains ecological processes such as surface and groundwater flows at a catchment scale, natural disturbance patterns etc</p>
Comments and Next Steps		
6. Protected area boundary demarcation:	2	0: The boundary of the protected area is not known by the management authority or local residents/neighbouring land users
Is the boundary known and demarcated?		1: The boundary of the protected area is known by the management authority but is not known by local residents/neighbouring land users
		2: The boundary of the protected area is known by both the management authority and local residents/neighbouring land users but is not appropriately demarcated

		3: The boundary of the protected area is known by the management authority and local residents/neighbouring land users and is appropriately demarcated
Comments and Next Steps	It is necessary to adjust the delimitation of the Park in order to resolve problems of superposition with native communities: installation of markers.	
7. Management plan: Is there a management plan and is it being implemented?	2	0: There is no management plan for the protected area 1: A management plan is being prepared or has been prepared but is not being implemented 2: A management plan exists but it is only being partially implemented because of funding constraints or other problems 3: A management plan exists and is being implemented
Comments and Next Steps	The Master Plans are produced through participatory processes	
7.a Planning process: The planning process allows adequate opportunity for key stakeholders to influence the management plan	1	0: No 1: Yes
Comments and Next Steps		
7.b Planning process: There is an established schedule and process for periodic review and updating of the management plan	1	0: No 1: Yes
Comments and Next Steps	According to the PA Law, Master Plans should be updated every 5 years.	
7.c Planning process: The results of monitoring, research and evaluation are routinely incorporated into planning	1	0: No 1: Yes
Comments and Next Steps		
8. Regular work plan: Is there a regular work plan and is it being implemented	2	0: No regular work plan exists 1: A regular work plan exists but few of the activities are implemented 2: A regular work plan exists and many activities are implemented 3: A regular work plan exists and all activities are implemented
Comments and Next Steps	The 2013 Annual Plan of Operations is being implemented and that of 2014 is being produced	

9. Resource inventory: Do you have enough information to manage the area?	2	<p>0: There is little or no information available on the critical habitats, species and cultural values of the protected area</p> <p>1: Information on the critical habitats, species, ecological processes and cultural values of the protected area is not sufficient to support planning and decision making</p> <p>2: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient for most key areas of planning and decision making</p> <p>3: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient to support all areas of planning and decision making</p>
Comments and Next Steps		
10. Protection systems:	2	0: Protection systems (patrols, permits etc) do not exist or are not effective in controlling access/resource use
Are systems in place to control access/resource use in the protected area?		1: Protection systems are only partially effective in controlling access/resource use
		2: Protection systems are moderately effective in controlling access/resource use
		3: Protection systems are largely or wholly effective in controlling access/ resource use
Comments and Next Steps		
11. Research: Is there a programme of management-orientated survey and research work?	2	<p>0: There is no survey or research work taking place in the protected area</p> <p>1: There is a small amount of survey and research work but it is not directed towards the needs of protected area management</p> <p>2: There is considerable survey and research work but it is not directed towards the needs of protected area management</p>

		3: There is a comprehensive, integrated programme of survey and research work, which is relevant to management needs
Comments and Next Steps		
12. Resource management: Is active resource management being undertaken?	0	0: Active resource management is not being undertaken
		1: Very few of the requirements for active management of critical habitats, species, ecological processes and cultural values are being implemented
		2: Many of the requirements for active management of critical habitats, species, ecological processes and, cultural values are being implemented but some key issues are not being addressed
		3: Requirements for active management of critical habitats, species, ecological processes and, cultural values are being substantially or fully implemented
Comments and Next Steps		
13. Staff numbers: Are there enough people employed to manage the protected area?	2	0: There are no staff
		1: Staff numbers are inadequate for critical management activities
		2: Staff numbers are below optimum level for critical management activities
		3: Staff numbers are adequate for the management needs of the protected area
Comments and Next Steps	Current staff: 1 chief, 2 administrative, 3 specialists and 28 park guards	
14. Staff training: Are staff adequately trained to fulfill management objectives?	2	0: Staff lack the skills needed for protected area management
		1: Staff training and skills are low relative to the needs of the protected area
		2: Staff training and skills are adequate, but could be further improved to fully achieve the objectives of management
		3: Staff training and skills are aligned with the management needs of the protected area
Comments and Next Steps		

15. Current budget: Is the current budget sufficient?	2	<p>0: There is no budget for management of the protected area</p> <p>1: The available budget is inadequate for basic management needs and presents a serious constraint to the capacity to manage</p> <p>2: The available budget is acceptable but could be further improved to fully achieve effective management</p> <p>3: The available budget is sufficient and meets the full management needs of the protected area</p>
Comments and Next Steps		
16. Security of budget: Is the budget secure?	2	<p>0: There is no secure budget for the protected area and management is wholly reliant on outside or highly variable funding</p> <p>1: There is very little secure budget and the protected area could not function adequately without outside funding</p> <p>2: There is a reasonably secure core budget for regular operation of the protected area but many innovations and initiatives are reliant on outside funding</p> <p>3: There is a secure budget for the protected area and its management needs</p>
Comments and Next Steps		
17. Management of budget: Is the budget managed to meet critical management needs?	2	<p>0: Budget management is very poor and significantly undermines effectiveness (e.g. late release of budget in financial year)</p> <p>1: Budget management is poor and constrains effectiveness</p> <p>2: Budget management is adequate but could be improved</p> <p>3: Budget management is excellent and meets management needs</p>
Comments and Next Steps		
18. Equipment: Is equipment sufficient for management needs?	2	0: There are little or no equipment and facilities for management needs

		1: There are some equipment and facilities but these are inadequate for most management needs
		2: There are equipment and facilities, but still some gaps that constrain management
		3: There are adequate equipment and facilities
Comments and Next Steps	Principal infrastructure and equipment: 1 administrative base, 1 technical base, 2 interpretation centres, 7 control posts, 1 refuge, 7 pickups, 6 wooden boats, 8 outboard motors, 5 canoe motors	
19. Maintenance of equipment: Is equipment adequately maintained?	2	0: There is little or no maintenance of equipment and facilities
		1: There is some ad hoc maintenance of equipment and facilities
		2: There is basic maintenance of equipment and facilities
		3: Equipment and facilities are well maintained
Comments and Next Steps		
20. Education and awareness: Is there a planned education programme linked to the objectives and needs?	2	0: There is no education and awareness programme
		1: There is a limited and ad hoc education and awareness programme
		2: There is an education and awareness programme but it only partly meets needs and could be improved
		3: There is an appropriate and fully implemented education and awareness programme
Comments and Next Steps		
21. Planning for land and water use: Does land and water use planning recognise the protected area and aid the achievement of objectives?	2	0: Adjacent land and water use planning does not take into account the needs of the protected area and activities/policies are detrimental to the survival of the area
		1: Adjacent land and water use planning does not take into account the long term needs of the protected area, but activities are not detrimental the area
		2: Adjacent land and water use planning partially takes into account the long term needs of the protected area
		3: Adjacent land and water use planning fully takes into account the long term needs of the protected area

Comments and Next Steps		
21a. Land and water planning for habitat conservation: Planning and management in the catchment or landscape containing the protected area incorporates provision for adequate environmental conditions (e.g. volume, quality and timing of water flow, air pollution levels etc) to sustain relevant habitats.	0	0: No 1: Yes
Comments and Next Steps		
21b. Land and water planning for habitat conservation: Management of corridors linking the protected area provides for wildlife passage to key habitats outside the protected area (e.g. to allow migratory fish to travel between freshwater spawning sites and the sea, or to allow animal migration).	1	0: No 1: Yes
Comments and Next Steps		
21c. Land and water planning for habitat conservation: "Planning addresses ecosystem-specific needs and/or the needs of particular species of concern at an ecosystem scale (e.g. volume, quality and timing of freshwater flow to sustain particular species, fire management to maintain savannah habitats etc.)"	1	0: No 1: Yes
Comments and Next Steps		
22. State and commercial neighbours: Is there co-operation with adjacent land and water users?	2	0: There is no contact between managers and neighbouring official or corporate land and water users
		1: There is contact between managers and neighbouring official or corporate land and water users but little or no cooperation
		2: There is contact between managers and neighbouring official or corporate land and water users, but only some co-operation
		3: There is regular contact between managers and neighbouring official or corporate land and water users, and substantial co-operation on management
Comments and Next Steps		They participate through their representatives on the PA Management Committee

23. Indigenous people: Do indigenous and traditional peoples resident or regularly using the protected area have input to management decisions?	2	0: Indigenous and traditional peoples have no input into decisions relating to the management of the protected area
		1: Indigenous and traditional peoples have some input into discussions relating to management but no direct role in management
		2: Indigenous and traditional peoples directly contribute to some relevant decisions relating to management but their involvement could be improved
		3: Indigenous and traditional peoples directly participate in all relevant decisions relating to management, e.g. co-management
Comments and Next Steps	They participate through their representatives on the PA Management Committee	
24. Local communities: Do local communities resident or near the protected area have input to management decisions?	2	0: Local communities have no input into decisions relating to the management of the protected area
		1: Local communities have some input into discussions relating to management but no direct role in management
		2: Local communities directly contribute to some relevant decisions relating to management but their involvement could be improved
		3: Local communities directly participate in all relevant decisions relating to management, e.g. co-management
Comments and Next Steps	They participate through their representatives on the PA Management Committee	
24 a. Impact on communities: There is open communication and trust between local and/or indigenous people, stakeholders and protected area managers	1	0: No 1: Yes
Comments and Next Steps		
24 b. Impact on communities: Programmes to enhance community welfare, while conserving protected area resources, are being implemented	1	0: No 1: Yes
Comments and Next Steps		
24 c. Impact on communities: Local and/or indigenous people actively support the protected area	1	0: No 1: Yes

Comments and Next Steps		
25. Economic benefit: Is the protected area providing economic benefits to local communities, e.g. income, employment, payment for environmental services?	2	0: The protected area does not deliver any economic benefits to local communities
		1: Potential economic benefits are recognised and plans to realise these are being developed
		2: There is some flow of economic benefits to local communities
		3: There is a major flow of economic benefits to local communities from activities associated with the protected area
Comments and Next Steps		
26. Monitoring and evaluation: Are management activities monitored against performance?	2	0: There is no monitoring and evaluation in the protected area
		1: There is some ad hoc monitoring and evaluation, but no overall strategy and/or no regular collection of results
		2: There is an agreed and implemented monitoring and evaluation system but results do not feed back into management
		3: A good monitoring and evaluation system exists, is well implemented and used in adaptive management
Comments and Next Steps		
27. Visitor facilities: Are visitor facilities adequate?	2	0: There are no visitor facilities and services despite an identified need
		1: Visitor facilities and services are inappropriate for current levels of visitation
		2: Visitor facilities and services are adequate for current levels of visitation but could be improved
		3: Visitor facilities and services are excellent for current levels of visitation
Comments and Next Steps		
28. Commercial tourism operators: Do commercial tour operators contribute to protected area management?	3	0: There is little or no contact between managers and tourism operators using the protected area

		1: There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters
		2: There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values
		3: There is good co-operation between managers and tourism operators to enhance visitor experiences, and maintain protected area values
Comments and Next Steps		
29. Fees: If fees (i.e. entry fees or fines) are applied, do they help protected area management?	2	0: Although fees are theoretically applied, they are not collected
		1: Fees are collected, but make no contribution to the protected area or its environs
		2: Fees are collected, and make some contribution to the protected area and its environs
		3: Fees are collected and make a substantial contribution to the protected area and its environs
Comments and Next Steps		
30. Condition of values: What is the condition of the important values of the protected area as compared to when it was first designated?	3	0: Many important biodiversity, ecological or cultural values are being severely degraded
		1: Some biodiversity, ecological or cultural values are being severely degraded
		2: Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted
		3: Biodiversity, ecological and cultural values are predominantly intact
Comments and Next Steps		
30a: Condition of values: The assessment of the condition of values is based on research and/or monitoring	1	0: No 1: Yes
Comments and Next Steps		

30b: Condition of values Specific management programmes are being implemented to address threats to biodiversity, ecological and cultural values	1	0: No 1: Yes
Comments and Next Steps		
30c: Condition of values: Activities to maintain key biodiversity, ecological and cultural values are a routine part of park management	1	0: No 1: Yes
Comments and Next Steps		
TOTAL SCORE	75	Pls add up numbers from assessment form (questions 1 to 30)



Objective 1: Catalyzing Sustainability of Protected Area Systems

SECTION II: Management Effectiveness Tracking Tool for Protected Areas

Note: Please complete the management effectiveness tracking tool for **EACH** protected area that is the target of the GEF intervention and create a new worksheet for each.

Structure and content of the Tracking Tool - Objective 1. Section II:

The Tracking Tool has two main sections: datasheets and assessment form. Both sections should be completed.

1. Datasheets: the data sheet comprises of two separate sections:

ü Data sheet 1: records details of the assessment and some basic information about the site, such as name, size and location etc.

ü Data sheet 2: provides a generic list of threats which protected areas can face. On this data sheet the assessors are asked to identify threats and rank their impact on the protected area.

2. Assessment Form: the assessment is structured around 30 questions presented in table format which includes three columns for recording details of the assessment, all of which should be completed.

Important: Please read the Guidelines posted on the GEF website before entering your data

Data Sheet 1: Reporting Progress at Protected Area Sites	Please indicate your answer here	Notes
Name, affiliation and contact details for person responsible for completing the METT (email etc.)	Arsenio Calle, PA Chief acalle@sernanp.gob.pe	
Date assessment carried out	Nov 18, 2013	Month DD, YYYY (e.g., May 12, 2010)
Name of protected area	Alto Purús National Park	
WDPA site code (these codes can be found on www.unep-wcmc.org/wdpa/)	-	

Designations(please choose 1-3)	3	1: National
		2: IUCN Category
		3: International (please complete lines 35-69 as necessary)
Country	Perú	
Location of protected area (province and if possible map reference)	Región Ucayali (Provincia Purús) and Región Madre de Dios (Provincias Tahuamanu y Tambopata)	
Date of establishment	2004	
Ownership details (please choose 1-4)	1	1: State
		2: Private
		3: Community
		4: Other
Management Authority	SERNANP	
Size of protected area (ha)	2510694	
Number of Permanent staff	23	
Number of Temporary staff	0	
Annual budget (US\$) for recurrent (operational) funds – excluding staff salary costs	320580	2014
Annual budget (US\$) for project or other supplementary funds – excluding staff salary costs	285000	

What are the main values for which the area is designated	Constitutes one of the most important and best conserved refuges of tropical forests in South America, integrating one of the most important biological corridors of the region	
List the two primary protected area management objectives in below:	-	
Management objective 1	Conserves a representative sample of tropical moist forest and its transitional life zones, the evolutionary processes which develop in them, and endemic and threatened species of flora and fauna	
Management objective 2	To protect the area inhabited by indigenous people in voluntary isolation and/or in initial or sporadic contact in the interior of the PA, in order to guarantee their physical and cultural integrity.	
No. of people involved in completing assessment	2	
Including: (please choose 1-8)	1	1: PA manager 2: PA staff 3: Other PA agency staff

		4: Donors 5: NGOs 6: External experts 7: Local community 8: Other
Information on International Designations	Please indicate your answer here	
	-	
UNESCO World Heritage site (see: http://whc.unesco.org/en/list)	-	
Date Listed	-	
Site name	-	
Site area	-	
Geographical co-ordinates	-	
	-	
Criteria for designation	-	(i.e. criteria i to x)
Statement of Outstanding Universal Value	-	
	-	
Ramsar site (see: http://ramsar.wetlands.org)	Considered a corridor for migratory birds	
Date Listed	-	
Site name	-	
Site area	-	
Geographical number	-	
Reason for Designation (see Ramsar Information Sheet)	-	
	-	

UNESCO Man and Biosphere Reserves (see: http://www.unesco.org/new/en/natural-sciences/environment/ecological-sciences/man-and-biosphere-programme/)	-	
Date Listed	-	
Site name	-	
Site area	-	Total, Core, Buffer, and Transition
Geographical co-ordinates	-	
Criteria for designation	-	
Fulfilment of three functions of MAB	-	conservation, development and logistic support
	-	
Please list other designations (i.e. ASEAN Heritage, Natura 2000) and any supporting information below	-	
	Forms part of the Vilcabamba-Amoró Conservation Corridor	Name
	-	Detail
	-	
	-	Name
	-	Detail
	-	
	-	Name
	-	Detail
Data Sheet 2: Protected Areas Threats (please complete a Data Sheet of threats and assessment for each protected area of the project).		

Please choose all relevant existing threats as either of high, medium or low significance. Threats ranked as of high significance are those which are seriously degrading values; medium are those threats having some negative impact and those characterised as low are threats which are present but not seriously impacting values or N/A where the threat is not present or not applicable in the protected area.		
1. Residential and commercial development within a protected area		
Threats from human settlements or other non-agricultural land uses with a substantial footprint		
1.1 Housing and settlement	0	0: N/A 1: Low 2: Medium 3: High
1.2 Commercial and industrial areas	1	0: N/A 1: Low 2: Medium 3: High
1.3 Tourism and recreation infrastructure	0	0: N/A 1: Low 2: Medium 3: High
2. Agriculture and aquaculture within a protected area		
Threats from farming and grazing as a result of agricultural expansion and intensification, including silviculture, mariculture and aquaculture		
2.1 Annual and perennial non-timber crop cultivation	1	0: N/A 1: Low 2: Medium 3: High
2.1a Drug cultivation	0	0: N/A 1: Low 2: Medium 3: High
2.2 Wood and pulp plantations	0	0: N/A 1: Low 2: Medium 3: High
2.3 Livestock farming and grazing	0	0: N/A 1: Low

		2: Medium
		3: High
2.4 Marine and freshwater aquaculture	0	0: N/A
		1: Low
		2: Medium
		3: High
3. Energy production and mining within a protected area		
Threats from production of non-biological resources		
3.1 Oil and gas drilling	1	0: N/A
		1: Low
		2: Medium
		3: High
3.2 Mining and quarrying	0	0: N/A
		1: Low
		2: Medium
		3: High
3.3 Energy generation, including from hydropower dams	0	0: N/A
		1: Low
		2: Medium
		3: High
4. Transportation and service corridors within a protected area		
Threats from long narrow transport corridors and the vehicles that use them including associated wildlife mortality		
4.1 Roads and railroads (include road-killed animals)	3	0: N/A
		1: Low
		2: Medium
		3: High
4.2 Utility and service lines (e.g. electricity cables, telephone lines,)	0	0: N/A
		1: Low
		2: Medium
		3: High
4.3 Shipping lanes and canals	0	0: N/A
		1: Low
		2: Medium

		3: High
4.4 Flight paths	0	0: N/A
		1: Low
		2: Medium
		3: High
5. Biological resource use and harm within a protected area		
Threats from consumptive use of "wild" biological resources including both deliberate and unintentional harvesting effects; also persecution or control of specific species (note this includes hunting and killing of animals)		
5.1 Hunting, killing and collecting terrestrial animals (including killing of animals as a result of human/wildlife conflict)	1	0: N/A
		1: Low
		2: Medium
		3: High
5.2 Gathering terrestrial plants or plant products (non-timber)	0	0: N/A
		1: Low
		2: Medium
		3: High
5.3 Logging and wood harvesting	0	0: N/A
		1: Low
		2: Medium
		3: High
5.4 Fishing, killing and harvesting aquatic resources	1	0: N/A
		1: Low
		2: Medium
		3: High
6. Human intrusions and disturbance within a protected area		
Threats from human activities that alter, destroy or disturb habitats and species associated with non-consumptive uses of biological resources		
6.1 Recreational activities and tourism	0	0: N/A
		1: Low
		2: Medium
		3: High
6.2 War, civil unrest and military exercises	2	0: N/A
		1: Low
		2: Medium

		3: High
6.3 Research, education and other work-related activities in protected areas	0	0: N/A
		1: Low
		2: Medium
		3: High
6.4 Activities of protected area managers (e.g. construction or vehicle use, artificial watering points and dams)	0	0: N/A
		1: Low
		2: Medium
		3: High
6.5 Deliberate vandalism, destructive activities or threats to protected area staff and visitors	1	0: N/A
		1: Low
		2: Medium
		3: High
7. Natural system modifications		
Threats from other actions that convert or degrade habitat or change the way the ecosystem functions		
7.1 Fire and fire suppression (including arson)	1	0: N/A
		1: Low
		2: Medium
		3: High
7.2 Dams, hydrological modification and water management/use	0	0: N/A
		1: Low
		2: Medium
		3: High
7.3a Increased fragmentation within protected area	0	0: N/A
		1: Low
		2: Medium
		3: High
7.3b Isolation from other natural habitat (e.g. deforestation, dams without effective aquatic wildlife passages)	0	0: N/A
		1: Low
		2: Medium
		3: High
	0	0: N/A

7.3c Other 'edge effects' on park values		1: Low
		2: Medium
		3: High
7.3d Loss of keystone species (e.g. top predators, pollinators etc)	0	0: N/A
		1: Low
		2: Medium
		3: High
8. Invasive and other problematic species and genes		
Threats from terrestrial and aquatic non-native and native plants, animals, pathogens/microbes or genetic materials that have or are predicted to have harmful effects on biodiversity following introduction, spread and/or increase		
8.1 Invasive non-native/alien plants (weeds)	0	0: N/A
		1: Low
		2: Medium
		3: High
8.1a Invasive non-native/alien animals	0	0: N/A
		1: Low
		2: Medium
		3: High
8.1b Pathogens (non-native or native but creating new/increased problems)	0	0: N/A
		1: Low
		2: Medium
		3: High
8.2 Introduced genetic material (e.g. genetically modified organisms)	0	0: N/A
		1: Low
		2: Medium
		3: High
9. Pollution entering or generated within protected area		
Threats from introduction of exotic and/or excess materials or energy from point and non-point sources		
9.1 Household sewage and urban waste water	0	0: N/A
		1: Low
		2: Medium
		3: High
	0	0: N/A

9.1a Sewage and waste water from protected area facilities (e.g. toilets, hotels etc)		1: Low
		2: Medium
		3: High
9.2 Industrial, mining and military effluents and discharges (e.g. poor water quality discharge from dams, e.g. unnatural temperatures, de-oxygenated, other pollution)	0	0: N/A
		1: Low
		2: Medium
		3: High
9.3 Agricultural and forestry effluents (e.g. excess fertilizers or pesticides)	0	0: N/A
		1: Low
		2: Medium
		3: High
9.4 Garbage and solid waste	0	0: N/A
		1: Low
		2: Medium
		3: High
9.5 Air-borne pollutants	0	0: N/A
		1: Low
		2: Medium
		3: High
9.6 Excess energy (e.g. heat pollution, lights etc)	0	0: N/A
		1: Low
		2: Medium
		3: High
10. Geological events		
Geological events may be part of natural disturbance regimes in many ecosystems. But they can be a threat if a species or habitat is damaged and has lost its resilience and is vulnerable to disturbance. Management capacity to respond to some of these changes may be limited.		
10.1 Volcanoes	0	0: N/A
		1: Low
		2: Medium
		3: High

10.2 Earthquakes/Tsunamis	0	0: N/A
		1: Low
		2: Medium
		3: High
10.3 Avalanches/ Landslides	1	0: N/A
		1: Low
		2: Medium
		3: High
10.4 Erosion and siltation/ deposition (e.g. shoreline or riverbed changes)	1	0: N/A
		1: Low
		2: Medium
		3: High
11. Climate change and severe weather		
Threats from long-term climatic changes which may be linked to global warming and other severe climatic/weather events outside of the natural range of variation		
11.1 Habitat shifting and alteration	1	0: N/A
		1: Low
		2: Medium
		3: High
11.2 Droughts	1	0: N/A
		1: Low
		2: Medium
		3: High
11.3 Temperature extremes	1	0: N/A
		1: Low
		2: Medium
		3: High
11.4 Storms and flooding	1	0: N/A
		1: Low
		2: Medium
		3: High
12. Specific cultural and social threats		
	1	0: N/A

12.1 Loss of cultural links, traditional knowledge and/or management practices		1: Low 2: Medium 3: High
12.2 Natural deterioration of important cultural site values	0	0: N/A 1: Low 2: Medium 3: High
12.3 Destruction of cultural heritage buildings, gardens, sites etc	0	0: N/A 1: Low 2: Medium 3: High
Assessment Form		
1. Legal status: Does the protected area have legal status (or in the case of private reserves is covered by a covenant or similar)?	3	0: The protected area is not gazetted/covenanted 1: There is agreement that the protected area should be gazetted/covenanted but the process has not yet begun 2: The protected area is in the process of being gazetted/covenanted but the process is still incomplete (includes sites designated under international conventions, such as Ramsar, or local/traditional law such as community conserved areas, which do not yet have national legal status

		or covenant) 3: The protected area has been formally gazetted/covenanted
Comments and Next Steps	Establecido por Decreto Supremo N° 040-2004-AG del 18 de noviembre de 2004	
2. Protected area regulations: Are appropriate regulations in place to control land use and activities (e.g. hunting)?	2	0: There are no regulations for controlling land use and activities in the protected area 1: Some regulations for controlling land use and activities in the protected area exist but these are major weaknesses 2: Regulations for controlling land use and activities in the protected area exist but there are some weaknesses or gaps 3: Regulations for controlling inappropriate land use and activities in the protected area exist and provide an excellent basis for management
Comments and Next Steps	Ley de Áreas Naturales Protegidas, su Reglamento y la Zonificación del ANP	
3. Law	2	0: The staff have no effective capacity/resources to

		enforce protected area legislation and regulations
Enforcement: Can staff (i.e. those with responsibility for managing the site) enforce protected area rules well enough?		1: There are major deficiencies in staff capacity/resources to enforce protected area legislation and regulations (e.g. lack of skills, no patrol budget, lack of institutional support)
		2: The staff have acceptable capacity/resources to enforce protected area legislation and regulations but some deficiencies remain
		3: The staff have excellent capacity/resources to enforce protected area legislation and regulations
Comments and Next Steps	Los Guardaparques son los encargados de hacer cumplir la normatividad dentro del ANP	
4. Protected area objectives: Is management undertaken according to agreed objectives?	2	0: No firm objectives have been agreed for the protected area
		1: The protected area has agreed objectives, but is not managed according to these objectives
		2: The protected area has agreed objectives, but is only partially managed according to these objectives
		3: The protected area has agreed objectives and is

		managed to meet these objectives
Comments and Next Steps		
5. Protected area design: Is the protected area the right size and shape to protect species, habitats, ecological processes and water catchments of key conservation concern?	3	<p>0: Inadequacies in protected area design mean achieving the major objectives of the protected area is very difficult</p> <p>1: Inadequacies in protected area design mean that achievement of major objectives is difficult but some mitigating actions are being taken (e.g. agreements with adjacent land owners for wildlife corridors or introduction of appropriate catchment management)</p> <p>2: Protected area design is not significantly constraining achievement of objectives, but could be improved (e.g. with respect to larger scale ecological processes)</p> <p>3: Protected area design helps achievement of objectives; it is appropriate for species and habitat conservation; and maintains ecological processes such as surface and groundwater flows at a catchment</p>

		scale, natural disturbance patterns etc
Comments and Next Steps		
6. Protected area boundary demarcation:	2	0: The boundary of the protected area is not known by the management authority or local residents/neighbouring land users
Is the boundary known and demarcated?		1: The boundary of the protected area is known by the management authority but is not known by local residents/neighbouring land users
		2: The boundary of the protected area is known by both the management authority and local residents/neighbouring land users but is not appropriately demarcated
		3: The boundary of the protected area is known by the management authority and local residents/neighbouring land users and is appropriately demarcated
Comments and Next Steps		
7. Management plan: Is there a management plan	3	0: There is no management plan for the protected area

and is it being implemented?		1: A management plan is being prepared or has been prepared but is not being implemented 2: A management plan exists but it is only being partially implemented because of funding constraints or other problems 3: A management plan exists and is being implemented
Comments and Next Steps		
7.a Planning process: The planning process allows adequate opportunity for key stakeholders to influence the management plan	1	0: No 1: Yes
Comments and Next Steps	The Master Plans are produced through participatory processes	
7.b Planning process: There is an established schedule and process for periodic review and updating of the management plan	1	0: No 1: Yes
Comments and Next Steps	According to the PA Law, Master Plans should be updated every 5 years	
7.c Planning process: The results of monitoring, research and evaluation are routinely incorporated into planning	1	0: No 1: Yes
Comments and Next Steps		
	2	0: No regular work plan exists

8. Regular work plan: Is there a regular work plan and is it being implemented		<p>1: A regular work plan exists but few of the activities are implemented</p> <p>2: A regular work plan exists and many activities are implemented</p> <p>3: A regular work plan exists and all activities are implemented</p>
Comments and Next Steps	The 2013 Annual Operational Plan is being implemented and that for 2014 is being produced	
9. Resource inventory: Do you have enough information to manage the area?	2	<p>0: There is little or no information available on the critical habitats, species and cultural values of the protected area</p> <p>1: Information on the critical habitats, species, ecological processes and cultural values of the protected area is not sufficient to support planning and decision making</p> <p>2: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient for most key areas of planning and decision making</p> <p>3: Information on the critical habitats, species, ecological processes and cultural values of the protected area is</p>

		sufficient to support all areas of planning and decision making
Comments and Next Steps		
10. Protection systems:	2	0: Protection systems (patrols, permits etc) do not exist or are not effective in controlling access/resource use
Are systems in place to control access/resource use in the protected area?		1: Protection systems are only partially effective in controlling access/resource use
		2: Protection systems are moderately effective in controlling access/resource use
		3: Protection systems are largely or wholly effective in controlling access/resource use
Comments and Next Steps	110 routine patrols programmed for 2013	
11. Research: Is there a programme of management-orientated survey and research work?	0	0: There is no survey or research work taking place in the protected area
		1: There is a small amount of survey and research work but it is not directed towards the needs of protected area management
		2: There is considerable survey and research work but it is not directed towards the needs of

		protected area management
		3: There is a comprehensive, integrated programme of survey and research work, which is relevant to management needs
Comments and Next Steps		
12. Resource management: Is active resource management being undertaken?	1	0: Active resource management is not being undertaken
		1: Very few of the requirements for active management of critical habitats, species, ecological processes and cultural values are being implemented
		2: Many of the requirements for active management of critical habitats, species, ecological processes and, cultural values are being implemented but some key issues are not being addressed
		3: Requirements for active management of critical habitats, species, ecological processes and, cultural values are being substantially or fully implemented
Comments and Next Steps		
	2	0: There are no staff

13. Staff numbers: Are there enough people employed to manage the protected area?		<p>1: Staff numbers are inadequate for critical management activities</p> <p>2: Staff numbers are below optimum level for critical management activities</p> <p>3: Staff numbers are adequate for the management needs of the protected area</p>
Comments and Next Steps	Current staff: 1 chief, 1 specialist and 21 park guards	
14. Staff training: Are staff adequately trained to fulfill management objectives?	2	<p>0: Staff lack the skills needed for protected area management</p> <p>1: Staff training and skills are low relative to the needs of the protected area</p> <p>2: Staff training and skills are adequate, but could be further improved to fully achieve the objectives of management</p> <p>3: Staff training and skills are aligned with the management needs of the protected area</p>
Comments and Next Steps		
15. Current budget: Is the current budget sufficient?	1	<p>0: There is no budget for management of the protected area</p> <p>1: The available budget is inadequate for basic management needs and presents a serious</p>

		constraint to the capacity to manage
		2: The available budget is acceptable but could be further improved to fully achieve effective management
		3: The available budget is sufficient and meets the full management needs of the protected area
Comments and Next Steps		
16. Security of budget: Is the budget secure?	2	0: There is no secure budget for the protected area and management is wholly reliant on outside or highly variable funding
		1: There is very little secure budget and the protected area could not function adequately without outside funding
		2: There is a reasonably secure core budget for regular operation of the protected area but many innovations and initiatives are reliant on outside funding
		3: There is a secure budget for the protected area and its management needs
Comments and Next Steps	SERNANP covers the annual budget	
17. Management of budget: Is the budget managed to	1	0: Budget management is very poor and significantly undermines effectiveness

meet critical management needs?		(e.g. late release of budget in financial year)
		1: Budget management is poor and constrains effectiveness
		2: Budget management is adequate but could be improved
		3: Budget management is excellent and meets management needs
Comments and Next Steps		
18. Equipment: Is equipment sufficient for management needs?	2	0: There are little or no equipment and facilities for management needs
		1: There are some equipment and facilities but these are inadequate for most management needs
		2: There are equipment and facilities, but still some gaps that constrain management
		3: There are adequate equipment and facilities
Comments and Next Steps	8 9m aluminium boats arr urgently required	
19. Maintenance of equipment: Is equipment adequately maintained?	2	0: There is little or no maintenance of equipment and facilities
		1: There is some ad hoc maintenance of equipment and facilities
		2: There is basic maintenance of equipment and facilities

		3: Equipment and facilities are well maintained
Comments and Next Steps		
20. Education and awareness: Is there a planned education programme linked to the objectives and needs?	1	<p>0: There is no education and awareness programme</p> <p>1: There is a limited and ad hoc education and awareness programme</p> <p>2: There is an education and awareness programme but it only partly meets needs and could be improved</p> <p>3: There is an appropriate and fully implemented education and awareness programme</p>
Comments and Next Steps		
21. Planning for land and water use: Does land and water use planning recognise the protected area and aid the achievement of objectives?	1	<p>0: Adjacent land and water use planning does not take into account the needs of the protected area and activities/policies are detrimental to the survival of the area</p> <p>1: Adjacent land and water use planning does not takes into account the long term needs of the protected area, but activities are not detrimental the area</p> <p>2: Adjacent land and water use planning</p>

		partially takes into account the long term needs of the protected area
		3: Adjacent land and water use planning fully takes into account the long term needs of the protected area
Comments and Next Steps		
21a. Land and water planning for habitat conservation: Planning and management in the catchment or landscape containing the protected area incorporates provision for adequate environmental conditions (e.g. volume, quality and timing of water flow, air pollution levels etc) to sustain relevant habitats.	0	0: No 1: Yes
Comments and Next Steps		
21b. Land and water planning for habitat conservation: Management of corridors linking the protected area provides for wildlife passage to key habitats outside the protected area (e.g. to allow migratory fish to travel between freshwater spawning sites and the sea, or to allow animal migration).	1	0: No 1: Yes
Comments and Next Steps		

<p>21c. Land and water planning for habitat conservation: "Planning addresses ecosystem-specific needs and/or the needs of particular species of concern at an ecosystem scale (e.g. volume, quality and timing of freshwater flow to sustain particular species, fire management to maintain savannah habitats etc.)"</p>	<p>0</p>	<p>0: No 1: Yes</p>
<p>Comments and Next Steps</p>		
<p>22. State and commercial neighbours: Is there co-operation with adjacent land and water users?</p>	<p>3</p>	<p>0: There is no contact between managers and neighbouring official or corporate land and water users</p> <p>1: There is contact between managers and neighbouring official or corporate land and water users but little or no cooperation</p> <p>2: There is contact between managers and neighbouring official or corporate land and water users, but only some co-operation</p> <p>3: There is regular contact between managers and neighbouring official or corporate land and water users, and substantial co-operation on management</p>

Comments and Next Steps	They participate through their representatives on PA management committees	
23. Indigenous people: Do indigenous and traditional peoples resident or regularly using the protected area have input to management decisions?	2	0: Indigenous and traditional peoples have no input into decisions relating to the management of the protected area
		1: Indigenous and traditional peoples have some input into discussions relating to management but no direct role in management
		2: Indigenous and traditional peoples directly contribute to some relevant decisions relating to management but their involvement could be improved
		3: Indigenous and traditional peoples directly participate in all relevant decisions relating to management, e.g. co-management
Comments and Next Steps	They participate through their representatives on PA management committees. 85% of park guards are from the native communities	
24. Local communities: Do local communities resident or near the protected area have input to management decisions?	2	0: Local communities have no input into decisions relating to the management of the protected area
		1: Local communities have some input into discussions relating to

		management but no direct role in management
		2: Local communities directly contribute to some relevant decisions relating to management but their involvement could be improved
		3: Local communities directly participate in all relevant decisions relating to management, e.g. co-management
Comments and Next Steps	They participate through their representatives on PA management committees	
24 a. Impact on communities: There is open communication and trust between local and/or indigenous people, stakeholders and protected area managers	1	0: No 1: Yes
Comments and Next Steps		
24 b. Impact on communities: Programmes to enhance community welfare, while conserving protected area resources, are being implemented	1	0: No 1: Yes
Comments and Next Steps	Management of taricaya by organized producers	
24 c. Impact on communities: Local and/or indigenous people actively support the protected area	1	0: No 1: Yes
Comments and Next Steps	There are communal vigilance committees	
25. Economic benefit: Is the protected area providing	2	0: The protected area does not deliver any

economic benefits to local communities, e.g. income, employment, payment for environmental services?		economic benefits to local communities
		1: Potential economic benefits are recognised and plans to realise these are being developed
		2: There is some flow of economic benefits to local communities
		3: There is a major flow of economic benefits to local communities from activities associated with the protected area
Comments and Next Steps	An estimated 500 tonnes/year of native fish (catfish) harvested by local people	
26. Monitoring and evaluation: Are management activities monitored against performance?	2	0: There is no monitoring and evaluation in the protected area
		1: There is some ad hoc monitoring and evaluation, but no overall strategy and/or no regular collection of results
		2: There is an agreed and implemented monitoring and evaluation system but results do not feed back into management
		3: A good monitoring and evaluation system exists, is well implemented and used in adaptive management
Comments and Next Steps		
27. Visitor facilities: Are visitor facilities adequate?	0	0: There are no visitor facilities and services despite an identified need

		1: Visitor facilities and services are inappropriate for current levels of visitation
		2: Visitor facilities and services are adequate for current levels of visitation but could be improved
		3: Visitor facilities and services are excellent for current levels of visitation
Comments and Next Steps		
28. Commercial tourism operators: Do commercial tour operators contribute to protected area management?	0	0: There is little or no contact between managers and tourism operators using the protected area
		1: There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters
		2: There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values
		3: There is good co-operation between managers and tourism operators to enhance visitor experiences, and maintain protected area values

Comments and Next Steps		
29. Fees: If fees (i.e. entry fees or fines) are applied, do they help protected area management?	0	<p>0: Although fees are theoretically applied, they are not collected</p> <p>1: Fees are collected, but make no contribution to the protected area or its environs</p> <p>2: Fees are collected, and make some contribution to the protected area and its environs</p> <p>3: Fees are collected and make a substantial contribution to the protected area and its environs</p>
Comments and Next Steps		
30. Condition of values: What is the condition of the important values of the protected area as compared to when it was first designated?	3	<p>0: Many important biodiversity, ecological or cultural values are being severely degraded</p> <p>1: Some biodiversity, ecological or cultural values are being severely degraded</p> <p>2: Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted</p> <p>3: Biodiversity, ecological and cultural values are predominantly intact</p>
Comments and Next Steps		

30a: Condition of values: The assessment of the condition of values is based on research and/or monitoring	1	0: No 1: Yes
Comments and Next Steps		
30b: Condition of values Specific management programmes are being implemented to address threats to biodiversity, ecological and cultural values	1	0: No 1: Yes
Comments and Next Steps	Management programme for taricayas, anthropological plan, communications plan	
30c: Condition of values: Activities to maintain key biodiversity, ecological and cultural values are a routine part of park management	1	0: No 1: Yes
Comments and Next Steps		
TOTAL SCORE	62	Pls add up numbers from assessment form (questions 1 to 30)



Tool for Biodiversity Projects in GEF-3, GEF-4, and GEF-5

Objective 1: Catalyzing Sustainability of Protected Area Systems

SECTION II: Management Effectiveness Tracking Tool for Protected Areas

Note: Please complete the management effectiveness tracking tool for **EACH** protected area that is the target of the GEF intervention and create a new worksheet for each.

Structure and content of the Tracking Tool - Objective 1. Section II:

The Tracking Tool has two main sections: datasheets and assessment form. Both sections should be completed.

1. Datasheets: the data sheet comprises of two separate sections:

ü Data sheet 1: records details of the assessment and some basic information about the site, such as name, size and location etc.

ü Data sheet 2: provides a generic list of threats which protected areas can face. On this data sheet the assessors are asked to identify threats and rank their impact on the protected area.

2. Assessment Form: the assessment is structured around 30 questions presented in table format which includes three columns for recording details of the assessment, all of which should be completed.

Important: Please read the Guidelines posted on the GEF website before entering your data

Data Sheet 1: Reporting Progress at Protected Area Sites	Please indicate your answer here	Notes
Name, affiliation and contact details for person responsible for completing the METT (email etc.)	Rafael Pino, Area Chief, rpino@sernanp.gob.pe	
Date assessment carried out	Nov. 9, 2013	Month DD, YYYY (e.g., May 12, 2010)
Name of protected area	Purús Communal Reserve	
WDPA site code (these codes can be found on www.unep-wcmc.org/wdpa/)	-	
Designations(please choose 1-3)	3	1: National
		2: IUCN Category

		3: International (please complete lines 35-69 as necessary)
Country	Perú	
Location of protected area (province and if possible map reference)	1	
Date of establishment	2004	
Ownership details (please choose 1-4)	1	1: State
		2: Private
		3: Community
		4: Other
Management Authority	SERNANP	
Size of protected area (ha)	202033	
Number of Permanent staff	5	
Number of Temporary staff	25	Voluntary Park Guards
Annual budget (US\$) for recurrent (operational) funds – excluding staff salary costs	18429	Año 2014
Annual budget (US\$) for project or other supplementary funds – excluding staff salary costs	236797	
What are the main values for which the area is designated	Conserve a great variety of species of fauna and flora utilized by the native population as medicine, food, hunting and fish poison, building materials and other uses	
List the two primary protected area management objectives in below:	-	

Management objective 1	To conserve the biological diversity of the area and the sustainable management of the resources for the benefit of the local populations in its area of influence	
Management objective 2	To strengthen local capacities for the management of the area and for other actions leading to the conservation of the biodiversity in its interior and in the areas of neighbouring local populations	
No. of people involved in completing assessment	2	
Including: (please choose 1-8)	1	
		1: PA manager
		2: PA staff
		3: Other PA agency staff
		4: Donors
		5: NGOs
		6: External experts
		7: Local community
		8: Other
Information on International Designations	Please indicate your answer here	
	-	
UNESCO World Heritage site (see: http://whc.unesco.org/en/list)	-	
Date Listed	-	

Site name	-	
Site area	-	
Geographical co-ordinates	-	
	-	
Criteria for designation	-	(i.e. criteria i to x)
Statement of Outstanding Universal Value	-	
	-	
Ramsar site (see: http://ramsar.wetlands.org)	-	
Date Listed	-	
Site name	-	
Site area	-	
Geographical number	-	
Reason for Designation (see Ramsar Information Sheet)	-	
	-	
UNESCO Man and Biosphere Reserves (see: http://www.unesco.org/new/en/natural-sciences/environment/ecological-sciences/man-and-biosphere-programme/)	-	
Date Listed	-	
Site name	-	
Site area	-	Total, Core, Buffer, and Transition
Geographical co-ordinates	-	
Criteria for designation	-	
Fulfilment of three functions of MAB	-	conservation, development and logistic support
	-	
Please list other designations (i.e. ASEAN Heritage, Natura 2000) and any supporting information below	Forms part of the Vilcabamba-Amboró Conservation Corridor	
	-	Name
	-	Detail
	"Regalo para la tierra" prize from WWF Perú on 31st March 2005.	

	-	Name
	-	Detail
	-	
	-	Name
	-	Detail
Data Sheet 2: Protected Areas Threats (please complete a Data Sheet of threats and assessment for each protected area of the project).		
Please choose all relevant existing threats as either of high, medium or low significance. Threats ranked as of high significance are those which are seriously degrading values; medium are those threats having some negative impact and those characterised as low are threats which are present but not seriously impacting values or N/A where the threat is not present or not applicable in the protected area.		
1. Residential and commercial development within a protected area		
Threats from human settlements or other non-agricultural land uses with a substantial footprint		
1.1 Housing and settlement	0	0: N/A
		1: Low
		2: Medium
		3: High
1.2 Commercial and industrial areas	0	0: N/A
		1: Low
		2: Medium
		3: High
1.3 Tourism and recreation infrastructure	0	0: N/A
		1: Low
		2: Medium
		3: High
2. Agriculture and aquaculture within a protected area		
Threats from farming and grazing as a result of agricultural expansion and intensification, including silviculture, mariculture and aquaculture		
2.1 Annual and perennial non-timber crop cultivation	1	0: N/A
		1: Low
		2: Medium
		3: High
2.1a Drug cultivation	0	0: N/A
		1: Low

		2: Medium
		3: High
2.2 Wood and pulp plantations	0	0: N/A
		1: Low
		2: Medium
		3: High
2.3 Livestock farming and grazing	0	0: N/A
		1: Low
		2: Medium
		3: High
2.4 Marine and freshwater aquaculture	0	0: N/A
		1: Low
		2: Medium
		3: High
3. Energy production and mining within a protected area		
Threats from production of non-biological resources		
3.1 Oil and gas drilling	0	0: N/A
		1: Low
		2: Medium
		3: High
3.2 Mining and quarrying	0	0: N/A
		1: Low
		2: Medium
		3: High
3.3 Energy generation, including from hydropower dams	0	0: N/A
		1: Low
		2: Medium
		3: High
4. Transportation and service corridors within a protected area		
Threats from long narrow transport corridors and the vehicles that use them including associated wildlife mortality		
4.1 Roads and railroads (include road-killed animals)	0	0: N/A
		1: Low
		2: Medium

		3: High
4.2 Utility and service lines (e.g. electricity cables, telephone lines,)	0	0: N/A
		1: Low
		2: Medium
		3: High
4.3 Shipping lanes and canals	0	0: N/A
		1: Low
		2: Medium
		3: High
4.4 Flight paths	0	0: N/A
		1: Low
		2: Medium
		3: High
5. Biological resource use and harm within a protected area		
Threats from consumptive use of "wild" biological resources including both deliberate and unintentional harvesting effects; also persecution or control of specific species (note this includes hunting and killing of animals)		
5.1 Hunting, killing and collecting terrestrial animals (including killing of animals as a result of human/wildlife conflict)	2	0: N/A
		1: Low
		2: Medium
		3: High
5.2 Gathering terrestrial plants or plant products (non-timber)	0	0: N/A
		1: Low
		2: Medium
		3: High
5.3 Logging and wood harvesting	0	0: N/A
		1: Low
		2: Medium
		3: High
5.4 Fishing, killing and harvesting aquatic resources	3	0: N/A
		1: Low
		2: Medium
		3: High
6. Human intrusions and disturbance within a protected area		

Threats from human activities that alter, destroy or disturb habitats and species associated with non-consumptive uses of biological resources		
6.1 Recreational activities and tourism	0	0: N/A
		1: Low
		2: Medium
		3: High
6.2 War, civil unrest and military exercises	0	0: N/A
		1: Low
		2: Medium
		3: High
6.3 Research, education and other work-related activities in protected areas	0	0: N/A
		1: Low
		2: Medium
		3: High
6.4 Activities of protected area managers (e.g. construction or vehicle use, artificial watering points and dams)	0	0: N/A
		1: Low
		2: Medium
		3: High
6.5 Deliberate vandalism, destructive activities or threats to protected area staff and visitors	0	0: N/A
		1: Low
		2: Medium
		3: High
7. Natural system modifications		
Threats from other actions that convert or degrade habitat or change the way the ecosystem functions		
7.1 Fire and fire suppression (including arson)	0	0: N/A
		1: Low
		2: Medium
		3: High
7.2 Dams, hydrological modification and water management/use	0	0: N/A
		1: Low
		2: Medium
		3: High
7.3a Increased fragmentation within protected area	0	0: N/A
		1: Low

		2: Medium
		3: High
7.3b Isolation from other natural habitat (e.g. deforestation, dams without effective aquatic wildlife passages)	0	0: N/A
		1: Low
		2: Medium
		3: High
7.3c Other 'edge effects' on park values	0	0: N/A
		1: Low
		2: Medium
		3: High
7.3d Loss of keystone species (e.g. top predators, pollinators etc)	0	0: N/A
		1: Low
		2: Medium
		3: High
8. Invasive and other problematic species and genes		
Threats from terrestrial and aquatic non-native and native plants, animals, pathogens/microbes or genetic materials that have or are predicted to have harmful effects on biodiversity following introduction, spread and/or increase		
8.1 Invasive non-native/alien plants (weeds)	0	0: N/A
		1: Low
		2: Medium
		3: High
8.1a Invasive non-native/alien animals	0	0: N/A
		1: Low
		2: Medium
		3: High
8.1b Pathogens (non-native or native but creating new/increased problems)	0	0: N/A
		1: Low
		2: Medium
		3: High
8.2 Introduced genetic material (e.g. genetically modified organisms)	0	0: N/A
		1: Low
		2: Medium
		3: High

9. Pollution entering or generated within protected area		
Threats from introduction of exotic and/or excess materials or energy from point and non-point sources		
9.1 Household sewage and urban waste water	0	0: N/A 1: Low 2: Medium 3: High
9.1a Sewage and waste water from protected area facilities (e.g. toilets, hotels etc)	0	0: N/A 1: Low 2: Medium 3: High
9.2 Industrial, mining and military effluents and discharges (e.g. poor water quality discharge from dams, e.g. unnatural temperatures, de-oxygenated, other pollution)	0	0: N/A 1: Low 2: Medium 3: High
9.3 Agricultural and forestry effluents (e.g. excess fertilizers or pesticides)	0	0: N/A 1: Low 2: Medium 3: High
9.4 Garbage and solid waste	0	0: N/A 1: Low 2: Medium 3: High
9.5 Air-borne pollutants	0	0: N/A 1: Low 2: Medium 3: High
9.6 Excess energy (e.g. heat pollution, lights etc)	0	0: N/A 1: Low 2: Medium 3: High
10. Geological events		
Geological events may be part of natural disturbance regimes in many ecosystems. But they can be a threat if a species or habitat is damaged and has lost its resilience and is vulnerable to disturbance. Management capacity to respond to some of these changes may be limited.		

10.1 Volcanoes	0	0: N/A
		1: Low
		2: Medium
		3: High
10.2 Earthquakes/Tsunamis	0	0: N/A
		1: Low
		2: Medium
		3: High
10.3 Avalanches/ Landslides	0	0: N/A
		1: Low
		2: Medium
		3: High
10.4 Erosion and siltation/ deposition (e.g. shoreline or riverbed changes)	0	0: N/A
		1: Low
		2: Medium
		3: High
11. Climate change and severe weather		
Threats from long-term climatic changes which may be linked to global warming and other severe climatic/weather events outside of the natural range of variation		
11.1 Habitat shifting and alteration	0	0: N/A
		1: Low
		2: Medium
		3: High
11.2 Droughts	1	0: N/A
		1: Low
		2: Medium
		3: High
11.3 Temperature extremes	2	0: N/A
		1: Low
		2: Medium
		3: High
11.4 Storms and flooding	2	0: N/A
		1: Low

		2: Medium 3: High
12. Specific cultural and social threats		
12.1 Loss of cultural links, traditional knowledge and/or management practices	3	0: N/A 1: Low 2: Medium 3: High
12.2 Natural deterioration of important cultural site values	0	0: N/A 1: Low 2: Medium 3: High
12.3 Destruction of cultural heritage buildings, gardens, sites etc	0	0: N/A 1: Low 2: Medium 3: High
Assessment Form		
1. Legal status: Does the protected area have legal status (or in the case of private reserves is covered by a covenant or similar)?	3	0: The protected area is not gazetted/covenanted 1: There is agreement that the protected area should be gazetted/covenanted but the process has not yet begun 2: The protected area is in the process of being gazetted/covenanted but the process is still incomplete (includes sites designated under international conventions, such as Ramsar, or local/traditional law such as community conserved areas, which do not yet have national legal status or covenant) 3: The protected area has been formally gazetted/covenanted
Comments and Next Steps	Established by Supreme Decree N° 040-2004-AG of 18th November 2004	
2. Protected area regulations: Are appropriate regulations in place to control land use and activities (e.g. hunting)?	1	0: There are no regulations for controlling land use and activities in the protected area

		1: Some regulations for controlling land use and activities in the protected area exist but these are major weaknesses
		2: Regulations for controlling land use and activities in the protected area exist but there are some weaknesses or gaps
		3: Regulations for controlling inappropriate land use and activities in the protected area exist and provide an excellent basis for management
Comments and Next Steps	The Law of PAs, its Regulation and PA Zoning. It is necessary to produce natural resource use plans and/or implement those currently existing	
3. Law	2	0: The staff have no effective capacity/resources to enforce protected area legislation and regulations
Enforcement: Can staff (i.e. those with responsibility for managing the site) enforce protected area rules well enough?		1: There are major deficiencies in staff capacity/resources to enforce protected area legislation and regulations (e.g. lack of skills, no patrol budget, lack of institutional support)
		2: The staff have acceptable capacity/resources to enforce protected area legislation and regulations but some deficiencies remain
		3: The staff have excellent capacity/resources to enforce protected area legislation and regulations
Comments and Next Steps	Park Guards are responsible for ensuring compliance with PA norms	
4. Protected area objectives: Is management undertaken according to agreed objectives?	2	0: No firm objectives have been agreed for the protected area
		1: The protected area has agreed objectives, but is not managed according to these objectives
		2: The protected area has agreed objectives, but is only partially managed according to these objectives
		3: The protected area has agreed objectives and is managed to meet these objectives
Comments and Next Steps		
5. Protected area design: Is the protected area the right size and shape to protect species, habitats, ecological processes and water catchments of key conservation concern?	2	0: Inadequacies in protected area design mean achieving the major objectives of the protected area is very difficult

		<p>1: Inadequacies in protected area design mean that achievement of major objectives is difficult but some mitigating actions are being taken (e.g. agreements with adjacent land owners for wildlife corridors or introduction of appropriate catchment management)</p> <p>2: Protected area design is not significantly constraining achievement of objectives, but could be improved (e.g. with respect to larger scale ecological processes)</p> <p>3: Protected area design helps achievement of objectives; it is appropriate for species and habitat conservation; and maintains ecological processes such as surface and groundwater flows at a catchment scale, natural disturbance patterns etc</p>
Comments and Next Steps		
6. Protected area boundary demarcation:	2	0: The boundary of the protected area is not known by the management authority or local residents/neighbouring land users
Is the boundary known and demarcated?		1: The boundary of the protected area is known by the management authority but is not known by local residents/neighbouring land users
		2: The boundary of the protected area is known by both the management authority and local residents/neighbouring land users but is not appropriately demarcated
		3: The boundary of the protected area is known by the management authority and local residents/neighbouring land users and is appropriately demarcated
Comments and Next Steps		
7. Management plan: Is there a management plan and is it being implemented?	2	0: There is no management plan for the protected area
		1: A management plan is being prepared or has been prepared but is not being implemented
		2: A management plan exists but it is only being partially implemented because of funding constraints or other problems

		3: A management plan exists and is being implemented
Comments and Next Steps	There is a Master Plan for 2012-2017	
7.a Planning process: The planning process allows adequate opportunity for key stakeholders to influence the management plan	1	0: No 1: Yes
Comments and Next Steps	Master Plans are produced through participatory processes	
7.b Planning process: There is an established schedule and process for periodic review and updating of the management plan	1	0: No 1: Yes
Comments and Next Steps	According to the PA Law, Master Plans should be updated every 5 years	
7.c Planning process: The results of monitoring, research and evaluation are routinely incorporated into planning	1	0: No 1: Yes
Comments and Next Steps		
8. Regular work plan: Is there a regular work plan and is it being implemented	2	0: No regular work plan exists
		1: A regular work plan exists but few of the activities are implemented
		2: A regular work plan exists and many activities are implemented
		3: A regular work plan exists and all activities are implemented
Comments and Next Steps	The 2013 Annual Plan of Operations is being implemented and that of 2014 is being developed	
9. Resource inventory: Do you have enough information to manage the area?	1	0: There is little or no information available on the critical habitats, species and cultural values of the protected area
		1: Information on the critical habitats, species, ecological processes and cultural values of the protected area is not sufficient to support planning and decision making
		2: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient for most key areas of planning and decision making

		3: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient to support all areas of planning and decision making
Comments and Next Steps		
10. Protection systems:	1	0: Protection systems (patrols, permits etc) do not exist or are not effective in controlling access/resource use
Are systems in place to control access/resource use in the protected area?		1: Protection systems are only partially effective in controlling access/resource use
		2: Protection systems are moderately effective in controlling access/resource use
		3: Protection systems are largely or wholly effective in controlling access/ resource use
Comments and Next Steps	For 2014 12 routine patrols and 3 special patrols are foreseen	
11. Research: Is there a programme of management-orientated survey and research work?	1	0: There is no survey or research work taking place in the protected area
		1: There is a small amount of survey and research work but it is not directed towards the needs of protected area management
		2: There is considerable survey and research work but it is not directed towards the needs of protected area management
		3: There is a comprehensive, integrated programme of survey and research work, which is relevant to management needs
Comments and Next Steps		
12. Resource management: Is active resource management being undertaken?	1	0: Active resource management is not being undertaken
		1: Very few of the requirements for active management of critical habitats, species, ecological processes and cultural values are being implemented
		2: Many of the requirements for active management of critical habitats, species, ecological processes

		and, cultural values are being implemented but some key issues are not being addressed
		3: Requirements for active management of critical habitats, species, ecological processes and, cultural values are being substantially or fully implemented
Comments and Next Steps	A management plan for mahogany seed is being implemented	
13. Staff numbers: Are there enough people employed to manage the protected area?	1	0: There are no staff
		1: Staff numbers are inadequate for critical management activities
		2: Staff numbers are below optimum level for critical management activities
		3: Staff numbers are adequate for the management needs of the protected area
Comments and Next Steps	Current staff: 1 head, 1 articulator, 1 specialist and 2 park guards	
14. Staff training: Are staff adequately trained to fulfill management objectives?	2	0: Staff lack the skills needed for protected area management
		1: Staff training and skills are low relative to the needs of the protected area
		2: Staff training and skills are adequate, but could be further improved to fully achieve the objectives of management
		3: Staff training and skills are aligned with the management needs of the protected area
Comments and Next Steps		
15. Current budget: Is the current budget sufficient?	1	0: There is no budget for management of the protected area
		1: The available budget is inadequate for basic management needs and presents a serious constraint to the capacity to manage
		2: The available budget is acceptable but could be further improved to fully achieve effective management
		3: The available budget is sufficient and meets the full management needs of the protected area

Comments and Next Steps		
16. Security of budget: Is the budget secure?	3	<p>0: There is no secure budget for the protected area and management is wholly reliant on outside or highly variable funding</p> <p>1: There is very little secure budget and the protected area could not function adequately without outside funding</p> <p>2: There is a reasonably secure core budget for regular operation of the protected area but many innovations and initiatives are reliant on outside funding</p> <p>3: There is a secure budget for the protected area and its management needs</p>
Comments and Next Steps	SERNANP covers the annual budget	
17. Management of budget: Is the budget managed to meet critical management needs?	2	<p>0: Budget management is very poor and significantly undermines effectiveness (e.g. late release of budget in financial year)</p> <p>1: Budget management is poor and constrains effectiveness</p> <p>2: Budget management is adequate but could be improved</p> <p>3: Budget management is excellent and meets management needs</p>
Comments and Next Steps		
18. Equipment: Is equipment sufficient for management needs?	1	<p>0: There are little or no equipment and facilities for management needs</p> <p>1: There are some equipment and facilities but these are inadequate for most management needs</p> <p>2: There are equipment and facilities, but still some gaps that constrain management</p> <p>3: There are adequate equipment and facilities</p>
Comments and Next Steps	There is an administrative base and 4 control posts, 1 motorcycle, 1 boat with motor	
19. Maintenance of equipment: Is equipment adequately maintained?	2	0: There is little or no maintenance of equipment and facilities

		1: There is some ad hoc maintenance of equipment and facilities
		2: There is basic maintenance of equipment and facilities
		3: Equipment and facilities are well maintained
Comments and Next Steps		
20. Education and awareness: Is there a planned education programme linked to the objectives and needs?	1	0: There is no education and awareness programme
		1: There is a limited and ad hoc education and awareness programme
		2: There is an education and awareness programme but it only partly meets needs and could be improved
		3: There is an appropriate and fully implemented education and awareness programme
Comments and Next Steps		
21. Planning for land and water use: Does land and water use planning recognise the protected area and aid the achievement of objectives?	1	0: Adjacent land and water use planning does not take into account the needs of the protected area and activities/policies are detrimental to the survival of the area
		1: Adjacent land and water use planning does not takes into account the long term needs of the protected area, but activities are not detrimental the area
		2: Adjacent land and water use planning partially takes into account the long term needs of the protected area
		3: Adjacent land and water use planning fully takes into account the long term needs of the protected area
Comments and Next Steps		
21a. Land and water planning for habitat conservation: Planning and management in the catchment or landscape containing the protected area incorporates provision for adequate environmental conditions (e.g. volume, quality and timing of water flow, air pollution levels etc) to sustain relevant habitats.	0	0: No 1: Yes

Comments and Next Steps		
21b. Land and water planning for habitat conservation: Management of corridors linking the protected area provides for wildlife passage to key habitats outside the protected area (e.g. to allow migratory fish to travel between freshwater spawning sites and the sea, or to allow animal migration).	1	0: No 1: Yes
Comments and Next Steps		
21c. Land and water planning for habitat conservation: "Planning addresses ecosystem-specific needs and/or the needs of particular species of concern at an ecosystem scale (e.g. volume, quality and timing of freshwater flow to sustain particular species, fire management to maintain savannah habitats etc.)"	1	0: No 1: Yes
Comments and Next Steps		
22. State and commercial neighbours: Is there co-operation with adjacent land and water users?	1	0: There is no contact between managers and neighbouring official or corporate land and water users
		1: There is contact between managers and neighbouring official or corporate land and water users but little or no cooperation
		2: There is contact between managers and neighbouring official or corporate land and water users, but only some co-operation
		3: There is regular contact between managers and neighbouring official or corporate land and water users, and substantial co-operation on management
Comments and Next Steps		They participate through their representatives in the PA management committee
23. Indigenous people: Do indigenous and traditional peoples resident or regularly using the protected area have input to management decisions?	2	0: Indigenous and traditional peoples have no input into decisions relating to the management of the protected area
		1: Indigenous and traditional peoples have some input into discussions relating to management but no direct role in management

		2: Indigenous and traditional peoples directly contribute to some relevant decisions relating to management but their involvement could be improved
		3: Indigenous and traditional peoples directly participate in all relevant decisions relating to management, e.g. co-management
Comments and Next Steps	They participate in the comanagement of the reserve through an ECA, in this case ECOPURÚS, that represents 26 native communities. They also participate through their representatives in the PA management committee	
24. Local communities: Do local communities resident or near the protected area have input to management decisions?	2	0: Local communities have no input into decisions relating to the management of the protected area
		1: Local communities have some input into discussions relating to management but no direct role in management
		2: Local communities directly contribute to some relevant decisions relating to management but their involvement could be improved
		3: Local communities directly participate in all relevant decisions relating to management, e.g. co-management
Comments and Next Steps	They participate in the comanagement of the reserve through an ECA, in this case ECOPURÚS, that represents 26 native communities. They also participate through their representatives in the PA management committee	
24 a. Impact on communities: There is open communication and trust between local and/or indigenous people, stakeholders and protected area managers	1	0: No 1: Yes
Comments and Next Steps		
24 b. Impact on communities: Programmes to enhance community welfare, while conserving protected area resources, are being implemented	0	0: No 1: Yes
Comments and Next Steps		
24 c. Impact on communities: Local and/or indigenous people actively support the protected area	1	0: No 1: Yes
Comments and Next Steps		

25. Economic benefit: Is the protected area providing economic benefits to local communities, e.g. income, employment, payment for environmental services?	2	0: The protected area does not deliver any economic benefits to local communities
		1: Potential economic benefits are recognised and plans to realise these are being developed
		2: There is some flow of economic benefits to local communities
		3: There is a major flow of economic benefits to local communities from activities associated with the protected area
Comments and Next Steps	ECOPURÚS sells mahogany seed (it has a management plan)	
26. Monitoring and evaluation: Are management activities monitored against performance?	2	0: There is no monitoring and evaluation in the protected area
		1: There is some ad hoc monitoring and evaluation, but no overall strategy and/or no regular collection of results
		2: There is an agreed and implemented monitoring and evaluation system but results do not feed back into management
		3: A good monitoring and evaluation system exists, is well implemented and used in adaptive management
Comments and Next Steps		
27. Visitor facilities: Are visitor facilities adequate?	1	0: There are no visitor facilities and services despite an identified need
		1: Visitor facilities and services are inappropriate for current levels of visitation
		2: Visitor facilities and services are adequate for current levels of visitation but could be improved
		3: Visitor facilities and services are excellent for current levels of visitation
Comments and Next Steps		
28. Commercial tourism operators: Do commercial tour operators contribute to protected area management?	0	0: There is little or no contact between managers and tourism operators using the protected area

		1: There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters
		2: There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values
		3: There is good co-operation between managers and tourism operators to enhance visitor experiences, and maintain protected area values
Comments and Next Steps		
29. Fees: If fees (i.e. entry fees or fines) are applied, do they help protected area management?	0	0: Although fees are theoretically applied, they are not collected
		1: Fees are collected, but make no contribution to the protected area or its environs
		2: Fees are collected, and make some contribution to the protected area and its environs
		3: Fees are collected and make a substantial contribution to the protected area and its environs
Comments and Next Steps		
30. Condition of values: What is the condition of the important values of the protected area as compared to when it was first designated?	2	0: Many important biodiversity, ecological or cultural values are being severely degraded
		1: Some biodiversity, ecological or cultural values are being severely degraded
		2: Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted
		3: Biodiversity, ecological and cultural values are predominantly intact
Comments and Next Steps		
30a: Condition of values: The assessment of the condition of values is based on research and/or monitoring	1	0: No 1: Yes
Comments and Next Steps		

30b: Condition of values Specific management programmes are being implemented to address threats to biodiversity, ecological and cultural values	0	0: No 1: Yes
Comments and Next Steps		
30c: Condition of values: Activities to maintain key biodiversity, ecological and cultural values are a routine part of park management	1	0: No 1: Yes
Comments and Next Steps		
TOTAL SCORE	55	Pls add up numbers from assessment form (questions 1 to 30)



ool for Biodiversity Projects in GEF-3, GEF-4, and GEF-5

Objective 1: Catalyzing Sustainability of Protected Area Systems

SECTION II: Management Effectiveness Tracking Tool for Protected Areas

Note: Please complete the management effectiveness tracking tool for **EACH** protected area that is the target of the GEF intervention and create a new worksheet for each.

Structure and content of the Tracking Tool - Objective 1. Section II:

The Tracking Tool has two main sections: datasheets and assessment form. Both sections should be completed.

1. Datasheets: the data sheet comprises of two separate sections:

ü Data sheet 1: records details of the assessment and some basic information about the site, such as name, size and location etc.

ü Data sheet 2: provides a generic list of threats which protected areas can face. On this data sheet the assessors are asked to identify threats and rank their impact on the protected area.

2. Assessment Form: the assessment is structured around 30 questions presented in table format which includes three columns for recording details of the assessment, all of which should be completed.

Important: Please read the Guidelines posted on the GEF website before entering your data

Data Sheet 1: Reporting Progress at Protected Area Sites	Please indicate your answer here	Notes
Name, affiliation and contact details for person responsible for completing the METT (email etc.)	John Achicahuala, Area Chief jachicahuala@sernanp.gob.pe	
Date assessment carried out	Nov. 12, 2013	Month DD, YYYY (e.g., May 12, 2010)
Name of protected area	Amarakaeri Communal Reserve	
WDPA site code (these codes can be found on www.unep-wcmc.org/wdpa/)	-	
Designations(please choose 1-3)	1	1: National

		2: IUCN Category
		3: International (please complete lines 35-69 as necessary)
Country	Perú	
Location of protected area (province and if possible map reference)	Región Madre de Dios (Provincia Manu)	
Date of establishment	2,002	
Ownership details (please choose 1-4)	1	
		1: State
		2: Private
		3: Community
		4: Other
Management Authority	SERNANP	
Size of protected area (ha)	402,356	
Number of Permanent staff	14	
Number of Temporary staff	0	
Annual budget (US\$) for recurrent (operational) funds – excluding staff salary costs	57926	2014
Annual budget (US\$) for project or other supplementary funds – excluding staff salary costs	93,326	
What are the main values for which the area is designated	Contribute to the protection of the catchments of the Eori (Madre de Dios) and Karene (Colorado) rivers, ensuring the stability of soils and forests and maintaining the quality and quantity of water, ecological equilibrium and an adequate environment for the development of Harakmbut native communities	

List the two primary protected area management objectives in below:	-	
Management objective 1	To conserve the hydrological system, forests, aguajales (Mauritia flexuosa and other palms) and sacred sites in the ancestral territory of the Harakmbutt people	
Management objective 2	To maintain and develop the cultural values of the Harakmbut native communities.	
No. of people involved in completing assessment	2	
Including: (please choose 1-8)	1	
		1: PA manager
		2: PA staff
		3: Other PA agency staff
		4: Donors
		5: NGOs
		6: External experts
		7: Local community
		8: Other
Information on International Designations	Please indicate your answer here	
	-	
UNESCO World Heritage site (see: http://whc.unesco.org/en/list)	no	
Date Listed	-	
Site name	-	
Site area	-	
Geographical co-ordinates	-	
	-	

Criteria for designation	-	(i.e. criteria i to x)
Statement of Outstanding Universal Value	-	
	no	
Ramsar site (see: http://ramsar.wetlands.org)	-	
Date Listed	-	
Site name	-	
Site area	-	
Geographical number	-	
Reason for Designation (see Ramsar Information Sheet)	-	
	no	
UNESCO Man and Biosphere Reserves (see: http://www.unesco.org/new/en/natural-sciences/environment/ecological-sciences/man-and-biosphere-programme/)	-	
Date Listed	-	
Site name	-	
Site area	-	Total, Core, Buffer, and Transition
Geographical co-ordinates	-	
Criteria for designation	-	
Fulfilment of three functions of MAB	-	conservation, development and logistic support
	-	
Please list other designations (i.e. ASEAN Heritage, Natura 2000) and any supporting information below	Forms part of the Vilcabamba-Amboró conservation corridor	
	-	Name
	-	Detail
	-	
	-	Name
	-	Detail
	-	
	-	Name
	-	Detail

Data Sheet 2: Protected Areas Threats (please complete a Data Sheet of threats and assessment for each protected area of the project).		
Please choose all relevant existing threats as either of high, medium or low significance. Threats ranked as of high significance are those which are seriously degrading values; medium are those threats having some negative impact and those characterised as low are threats which are present but not seriously impacting values or N/A where the threat is not present or not applicable in the protected area.		
1. Residential and commercial development within a protected area		
Threats from human settlements or other non-agricultural land uses with a substantial footprint		
1.1 Housing and settlement	1	0: N/A 1: Low 2: Medium 3: High
1.2 Commercial and industrial areas	0	0: N/A 1: Low 2: Medium 3: High
1.3 Tourism and recreation infrastructure	0	0: N/A 1: Low 2: Medium 3: High
2. Agriculture and aquaculture within a protected area		
Threats from farming and grazing as a result of agricultural expansion and intensification, including silviculture, mariculture and aquaculture		
2.1 Annual and perennial non-timber crop cultivation	1	0: N/A 1: Low 2: Medium 3: High
2.1a Drug cultivation	0	0: N/A 1: Low 2: Medium 3: High
2.2 Wood and pulp plantations	0	0: N/A 1: Low 2: Medium 3: High

2.3 Livestock farming and grazing	0	0: N/A
		1: Low
		2: Medium
		3: High
2.4 Marine and freshwater aquaculture	0	0: N/A
		1: Low
		2: Medium
		3: High
3. Energy production and mining within a protected area		
Threats from production of non-biological resources		
3.1 Oil and gas drilling	0	0: N/A
		1: Low
		2: Medium
		3: High
3.2 Mining and quarrying	2	0: N/A
		1: Low
		2: Medium
		3: High
3.3 Energy generation, including from hydropower dams	0	0: N/A
		1: Low
		2: Medium
		3: High
4. Transportation and service corridors within a protected area		
Threats from long narrow transport corridors and the vehicles that use them including associated wildlife mortality		
4.1 Roads and railroads (include road-killed animals)	1	0: N/A
		1: Low
		2: Medium
		3: High
4.2 Utility and service lines (e.g. electricity cables, telephone lines,)	0	0: N/A
		1: Low
		2: Medium
		3: High
4.3 Shipping lanes and canals	0	0: N/A

		1: Low
		2: Medium
		3: High
4.4 Flight paths	0	0: N/A
		1: Low
		2: Medium
		3: High
5. Biological resource use and harm within a protected area		
Threats from consumptive use of "wild" biological resources including both deliberate and unintentional harvesting effects; also persecution or control of specific species (note this includes hunting and killing of animals)		
5.1 Hunting, killing and collecting terrestrial animals (including killing of animals as a result of human/wildlife conflict)	1	0: N/A
		1: Low
		2: Medium
		3: High
5.2 Gathering terrestrial plants or plant products (non-timber)	1	0: N/A
		1: Low
		2: Medium
		3: High
5.3 Logging and wood harvesting	2	0: N/A
		1: Low
		2: Medium
		3: High
5.4 Fishing, killing and harvesting aquatic resources	1	0: N/A
		1: Low
		2: Medium
		3: High
6. Human intrusions and disturbance within a protected area		
Threats from human activities that alter, destroy or disturb habitats and species associated with non-consumptive uses of biological resources		
6.1 Recreational activities and tourism	1	0: N/A
		1: Low
		2: Medium
		3: High
6.2 War, civil unrest and military exercises	0	0: N/A

		1: Low
		2: Medium
		3: High
6.3 Research, education and other work-related activities in protected areas	1	0: N/A
		1: Low
		2: Medium
		3: High
6.4 Activities of protected area managers (e.g. construction or vehicle use, artificial watering points and dams)	0	0: N/A
		1: Low
		2: Medium
		3: High
6.5 Deliberate vandalism, destructive activities or threats to protected area staff and visitors	1	0: N/A
		1: Low
		2: Medium
		3: High
7. Natural system modifications		
Threats from other actions that convert or degrade habitat or change the way the ecosystem functions		
7.1 Fire and fire suppression (including arson)	0	0: N/A
		1: Low
		2: Medium
		3: High
7.2 Dams, hydrological modification and water management/use	0	0: N/A
		1: Low
		2: Medium
		3: High
7.3a Increased fragmentation within protected area	0	0: N/A
		1: Low
		2: Medium
		3: High
7.3b Isolation from other natural habitat (e.g. deforestation, dams without effective aquatic wildlife passages)	1	0: N/A
		1: Low
		2: Medium
		3: High

7.3c Other 'edge effects' on park values	0	0: N/A
		1: Low
		2: Medium
		3: High
7.3d Loss of keystone species (e.g. top predators, pollinators etc)	0	0: N/A
		1: Low
		2: Medium
		3: High
8. Invasive and other problematic species and genes		
Threats from terrestrial and aquatic non-native and native plants, animals, pathogens/microbes or genetic materials that have or are predicted to have harmful effects on biodiversity following introduction, spread and/or increase		
8.1 Invasive non-native/alien plants (weeds)	1	0: N/A
		1: Low
		2: Medium
		3: High
8.1a Invasive non-native/alien animals	1	0: N/A
		1: Low
		2: Medium
		3: High
8.1b Pathogens (non-native or native but creating new/increased problems)	0	0: N/A
		1: Low
		2: Medium
		3: High
8.2 Introduced genetic material (e.g. genetically modified organisms)	0	0: N/A
		1: Low
		2: Medium
		3: High
1		
0		
9.1 Household sewage and urban waste water	0	0: N/A
		1: Low
		2: Medium
		3: High

9.1a Sewage and waste water from protected area facilities (e.g. toilets, hotels etc)	0	0: N/A
		1: Low
		2: Medium
		3: High
9.2 Industrial, mining and military effluents and discharges (e.g. poor water quality discharge from dams, e.g. unnatural temperatures, de-oxygenated, other pollution)	1	0: N/A
		1: Low
		2: Medium
		3: High
9.3 Agricultural and forestry effluents (e.g. excess fertilizers or pesticides)	1	0: N/A
		1: Low
		2: Medium
		3: High
9.4 Garbage and solid waste	1	0: N/A
		1: Low
		2: Medium
		3: High
9.5 Air-borne pollutants	0	0: N/A
		1: Low
		2: Medium
		3: High
9.6 Excess energy (e.g. heat pollution, lights etc)	0	0: N/A
		1: Low
		2: Medium
		3: High
10. Geological events		
Geological events may be part of natural disturbance regimes in many ecosystems. But they can be a threat if a species or habitat is damaged and has lost its resilience and is vulnerable to disturbance. Management capacity to respond to some of these changes may be limited.		
10.1 Volcanoes	0	0: N/A
		1: Low
		2: Medium
		3: High
10.2 Earthquakes/Tsunamis	0	0: N/A
		1: Low

		2: Medium
		3: High
10.3 Avalanches/ Landslides	0	0: N/A
		1: Low
		2: Medium
		3: High
10.4 Erosion and siltation/ deposition (e.g. shoreline or riverbed changes)	0	0: N/A
		1: Low
		2: Medium
		3: High
11. Climate change and severe weather		
Threats from long-term climatic changes which may be linked to global warming and other severe climatic/weather events outside of the natural range of variation		
11.1 Habitat shifting and alteration	1	0: N/A
		1: Low
		2: Medium
		3: High
11.2 Droughts	0	0: N/A
		1: Low
		2: Medium
		3: High
11.3 Temperature extremes	0	0: N/A
		1: Low
		2: Medium
		3: High
11.4 Storms and flooding	0	0: N/A
		1: Low
		2: Medium
		3: High
12. Specific cultural and social threats		
12.1 Loss of cultural links, traditional knowledge and/or management practices	3	0: N/A
		1: Low
		2: Medium

		3: High
12.2 Natural deterioration of important cultural site values	0	0: N/A 1: Low 2: Medium 3: High
12.3 Destruction of cultural heritage buildings, gardens, sites etc	0	0: N/A 1: Low 2: Medium 3: High
Assessment Form		
1. Legal status: Does the protected area have legal status (or in the case of private reserves is covered by a covenant or similar)?	3	0: The protected area is not gazetted/covenanted 1: There is agreement that the protected area should be gazetted/covenanted but the process has not yet begun 2: The protected area is in the process of being gazetted/covenanted but the process is still incomplete (includes sites designated under international conventions, such as Ramsar, or local/traditional law such as community conserved areas, which do not yet have national legal status or covenant) 3: The protected area has been formally gazetted/covenanted
Comments and Next Steps	Established by Supreme Decree N° 031-2002-AG of 9th May 2002	
2. Protected area regulations: Are appropriate regulations in place to control land use and activities (e.g. hunting)?	3	0: There are no regulations for controlling land use and activities in the protected area 1: Some regulations for controlling land use and activities in the protected area exist but these are major weaknesses 2: Regulations for controlling land use and activities in the protected area exist but there are some weaknesses or gaps

		3: Regulations for controlling inappropriate land use and activities in the protected area exist and provide an excellent basis for management
Comments and Next Steps	Law of PAs, its Regulation and PA Zoning. It is necessary to produce natural resource use plans and/or implement the existing ones.	
3. Law	1	0: The staff have no effective capacity/resources to enforce protected area legislation and regulations
Enforcement: Can staff (i.e. those with responsibility for managing the site) enforce protected area rules well enough?		1: There are major deficiencies in staff capacity/resources to enforce protected area legislation and regulations (e.g. lack of skills, no patrol budget, lack of institutional support)
		2: The staff have acceptable capacity/resources to enforce protected area legislation and regulations but some deficiencies remain
		3: The staff have excellent capacity/resources to enforce protected area legislation and regulations
Comments and Next Steps	Park Guards are responsible for ensuring compliance with PA norms	
4. Protected area objectives: Is management undertaken according to agreed objectives?	2	0: No firm objectives have been agreed for the protected area
		1: The protected area has agreed objectives, but is not managed according to these objectives
		2: The protected area has agreed objectives, but is only partially managed according to these objectives
		3: The protected area has agreed objectives and is managed to meet these objectives
Comments and Next Steps	The management objectives will be improved in the next updating of the PA Master Plan	
5. Protected area design: Is the protected area the right size and shape to protect species, habitats, ecological processes and water catchments of key conservation concern?	2	0: Inadequacies in protected area design mean achieving the major objectives of the protected area is very difficult
		1: Inadequacies in protected area design mean that achievement of major objectives is difficult but some mitigating actions are being taken (e.g. agreements with adjacent land owners for wildlife corridors or introduction of appropriate catchment management)

		2: Protected area design is not significantly constraining achievement of objectives, but could be improved (e.g. with respect to larger scale ecological processes)
		3: Protected area design helps achievement of objectives; it is appropriate for species and habitat conservation; and maintains ecological processes such as surface and groundwater flows at a catchment scale, natural disturbance patterns etc
Comments and Next Steps	There is a proposal to increase the area of the reserve with the inclusion of lands abandoned by illegal mining	
6. Protected area boundary demarcation:	1	0: The boundary of the protected area is not known by the management authority or local residents/neighbouring land users
Is the boundary known and demarcated?		1: The boundary of the protected area is known by the management authority but is not known by local residents/neighbouring land users
		2: The boundary of the protected area is known by both the management authority and local residents/neighbouring land users but is not appropriately demarcated
		3: The boundary of the protected area is known by the management authority and local residents/neighbouring land users and is appropriately demarcated
Comments and Next Steps	The demarcation of the reserve and the communal lands is still to be completed	
7. Management plan: Is there a management plan and is it being implemented?	2	0: There is no management plan for the protected area
		1: A management plan is being prepared or has been prepared but is not being implemented
		2: A management plan exists but it is only being partially implemented because of funding constraints or other problems
		3: A management plan exists and is being implemented
Comments and Next Steps	The 2008-20012 Master Plan is yet to be updated	

7.a Planning process: The planning process allows adequate opportunity for key stakeholders to influence the management plan	1	0: No 1: Yes
Comments and Next Steps	The Master Plans are produced through participatory processes	
7.b Planning process: There is an established schedule and process for periodic review and updating of the management plan	1	0: No 1: Yes
Comments and Next Steps	According to the PA Law, Master Plans should be updated every 5 years.	
7.c Planning process: The results of monitoring, research and evaluation are routinely incorporated into planning	0	0: No 1: Yes
Comments and Next Steps		
8. Regular work plan: Is there a regular work plan and is it being implemented	1	0: No regular work plan exists 1: A regular work plan exists but few of the activities are implemented 2: A regular work plan exists and many activities are implemented 3: A regular work plan exists and all activities are implemented
Comments and Next Steps	The 2013 Annual Plan of Operations is being implemented and the 2014 Plan is being developed	
9. Resource inventory: Do you have enough information to manage the area?	2	0: There is little or no information available on the critical habitats, species and cultural values of the protected area 1: Information on the critical habitats, species, ecological processes and cultural values of the protected area is not sufficient to support planning and decision making 2: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient for most key areas of planning and decision making 3: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient to support all areas of planning and decision making
Comments and Next Steps		

10. Protection systems:	2	0: Protection systems (patrols, permits etc) do not exist or are not effective in controlling access/resource use
Are systems in place to control access/resource use in the protected area?		1: Protection systems are only partially effective in controlling access/resource use
		2: Protection systems are moderately effective in controlling access/resource use
		3: Protection systems are largely or wholly effective in controlling access/ resource use
Comments and Next Steps	In 2014 it is planned to carry out 120 routine patrols and 5 special patrols. The PA protection system needs strengthening with more financial and human resources	
11. Research: Is there a programme of management-orientated survey and research work?	1	0: There is no survey or research work taking place in the protected area
		1: There is a small amount of survey and research work but it is not directed towards the needs of protected area management
		2: There is considerable survey and research work but it is not directed towards the needs of protected area management
		3: There is a comprehensive, integrated programme of survey and research work, which is relevant to management needs
Comments and Next Steps	El Plan de Investigación está en proceso de elaboración para el ANP	
12. Resource management: Is active resource management being undertaken?	0	0: Active resource management is not being undertaken
		1: Very few of the requirements for active management of critical habitats, species, ecological processes and cultural values are being implemented
		2: Many of the requirements for active management of critical habitats, species, ecological processes and, cultural values are being implemented but some key issues are not being addressed

		3: Requirements for active management of critical habitats, species, ecological processes and, cultural values are being substantially or fully implemented
Comments and Next Steps	There is illegal timber harvesting by some members of the local population	
13. Staff numbers: Are there enough people employed to manage the protected area?	1	0: There are no staff 1: Staff numbers are inadequate for critical management activities 2: Staff numbers are below optimum level for critical management activities 3: Staff numbers are adequate for the management needs of the protected area
Comments and Next Steps	The current staff consists of 1 chief, 1 administrator, 3 specialists and 9 park guards. Additional budget is needed to take on more personnel	
14. Staff training: Are staff adequately trained to fulfill management objectives?	1	0: Staff lack the skills needed for protected area management 1: Staff training and skills are low relative to the needs of the protected area 2: Staff training and skills are adequate, but could be further improved to fully achieve the objectives of management 3: Staff training and skills are aligned with the management needs of the protected area
Comments and Next Steps	The training process has been discontinued by the PA and the central office.	
15. Current budget: Is the current budget sufficient?	1	0: There is no budget for management of the protected area 1: The available budget is inadequate for basic management needs and presents a serious constraint to the capacity to manage 2: The available budget is acceptable but could be further improved to fully achieve effective management 3: The available budget is sufficient and meets the full management needs of the protected area
Comments and Next Steps		

16. Security of budget: Is the budget secure?	2	0: There is no secure budget for the protected area and management is wholly reliant on outside or highly variable funding
		1: There is very little secure budget and the protected area could not function adequately without outside funding
		2: There is a reasonably secure core budget for regular operation of the protected area but many innovations and initiatives are reliant on outside funding
		3: There is a secure budget for the protected area and its management needs
Comments and Next Steps	SERNANP covers annual budgets	
17. Management of budget: Is the budget managed to meet critical management needs?	2	0: Budget management is very poor and significantly undermines effectiveness (e.g. late release of budget in financial year)
		1: Budget management is poor and constrains effectiveness
		2: Budget management is adequate but could be improved
		3: Budget management is excellent and meets management needs
Comments and Next Steps		
18. Equipment: Is equipment sufficient for management needs?	2	0: There are little or no equipment and facilities for management needs
		1: There are some equipment and facilities but these are inadequate for most management needs
		2: There are equipment and facilities, but still some gaps that constrain management
		3: There are adequate equipment and facilities
Comments and Next Steps	There is an administrative base, 3 control posts, 1 pickup, 1 boat, motors, cameras and solar panels	
19. Maintenance of equipment: Is equipment adequately maintained?	2	0: There is little or no maintenance of equipment and facilities
		1: There is some ad hoc maintenance of equipment and facilities

		2: There is basic maintenance of equipment and facilities
		3: Equipment and facilities are well maintained
Comments and Next Steps		
20. Education and awareness: Is there a planned education programme linked to the objectives and needs?	1	0: There is no education and awareness programme
		1: There is a limited and ad hoc education and awareness programme
		2: There is an education and awareness programme but it only partly meets needs and could be improved
		3: There is an appropriate and fully implemented education and awareness programme
Comments and Next Steps	Advantage is taken of routine patrols	
21. Planning for land and water use: Does land and water use planning recognise the protected area and aid the achievement of objectives?	0	0: Adjacent land and water use planning does not take into account the needs of the protected area and activities/policies are detrimental to the survival of the area
		1: Adjacent land and water use planning does not takes into account the long term needs of the protected area, but activities are not detrimental the area
		2: Adjacent land and water use planning partially takes into account the long term needs of the protected area
		3: Adjacent land and water use planning fully takes into account the long term needs of the protected area
Comments and Next Steps	Local governments and other state institutions promote activities that in the future will threaten the integrity of the PA	
21a. Land and water planning for habitat conservation: Planning and management in the catchment or landscape containing the protected area incorporates provision for adequate environmental conditions (e.g. volume, quality and timing of water flow, air pollution levels etc) to sustain relevant habitats.	0	0: No 1: Yes
Comments and Next Steps		

21b. Land and water planning for habitat conservation: Management of corridors linking the protected area provides for wildlife passage to key habitats outside the protected area (e.g. to allow migratory fish to travel between freshwater spawning sites and the sea, or to allow animal migration).	0	0: No 1: Yes
Comments and Next Steps		
21c. Land and water planning for habitat conservation: "Planning addresses ecosystem-specific needs and/or the needs of particular species of concern at an ecosystem scale (e.g. volume, quality and timing of freshwater flow to sustain particular species, fire management to maintain savannah habitats etc.)"	0	0: No 1: Yes
Comments and Next Steps		
22. State and commercial neighbours: Is there co-operation with adjacent land and water users?	1	0: There is no contact between managers and neighbouring official or corporate land and water users 1: There is contact between managers and neighbouring official or corporate land and water users but little or no cooperation 2: There is contact between managers and neighbouring official or corporate land and water users, but only some co-operation 3: There is regular contact between managers and neighbouring official or corporate land and water users, and substantial co-operation on management
Comments and Next Steps	The Management Committee is in the process of being formed.	
23. Indigenous people: Do indigenous and traditional peoples resident or regularly using the protected area have input to management decisions?	2	0: Indigenous and traditional peoples have no input into decisions relating to the management of the protected area 1: Indigenous and traditional peoples have some input into discussions relating to management but no direct role in management 2: Indigenous and traditional peoples directly contribute to some relevant decisions relating to management but their involvement could be improved

		3: Indigenous and traditional peoples directly participate in all relevant decisions relating to management, e.g. co-management
Comments and Next Steps	They participate through an ECA (Amarakaeri) that includes 10 native communities	
24. Local communities: Do local communities resident or near the protected area have input to management decisions?	2	0: Local communities have no input into decisions relating to the management of the protected area
		1: Local communities have some input into discussions relating to management but no direct role in management
		2: Local communities directly contribute to some relevant decisions relating to management but their involvement could be improved
		3: Local communities directly participate in all relevant decisions relating to management, e.g. co-management
Comments and Next Steps	The Management Committee is in the process of being formed.	
24 a. Impact on communities: There is open communication and trust between local and/or indigenous people, stakeholders and protected area managers	0	0: No 1: Yes
Comments and Next Steps	It is necessary to improve communications and trust with the local population	
24 b. Impact on communities: Programmes to enhance community welfare, while conserving protected area resources, are being implemented	0	0: No 1: Yes
Comments and Next Steps	Lack of other State institutions that attend the needs of the local population	
24 c. Impact on communities: Local and/or indigenous people actively support the protected area	0	0: No 1: Yes
Comments and Next Steps	Certain members of the indigenous population carry out illicit activities in the interior of the PA	
25. Economic benefit: Is the protected area providing economic benefits to local communities, e.g. income, employment, payment for environmental services?	1	0: The protected area does not deliver any economic benefits to local communities
		1: Potential economic benefits are recognised and plans to realise these are being developed
		2: There is some flow of economic benefits to local communities

		3: There is a major flow of economic benefits to local communities from activities associated with the protected area
Comments and Next Steps	The indigenous and colonist population obtains economic income from illegal activities in the interior of the PA and from a small informal tourism sector	
26. Monitoring and evaluation: Are management activities monitored against performance?	0	0: There is no monitoring and evaluation in the protected area 1: There is some ad hoc monitoring and evaluation, but no overall strategy and/or no regular collection of results 2: There is an agreed and implemented monitoring and evaluation system but results do not feed back into management 3: A good monitoring and evaluation system exists, is well implemented and used in adaptive management
Comments and Next Steps		
27. Visitor facilities: Are visitor facilities adequate?	0	0: There are no visitor facilities and services despite an identified need 1: Visitor facilities and services are inappropriate for current levels of visitation 2: Visitor facilities and services are adequate for current levels of visitation but could be improved 3: Visitor facilities and services are excellent for current levels of visitation
Comments and Next Steps		
28. Commercial tourism operators: Do commercial tour operators contribute to protected area management?	0	0: There is little or no contact between managers and tourism operators using the protected area 1: There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters 2: There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values

		3: There is good co-operation between managers and tourism operators to enhance visitor experiences, and maintain protected area values
Comments and Next Steps		
29. Fees: If fees (i.e. entry fees or fines) are applied, do they help protected area management?	0	0: Although fees are theoretically applied, they are not collected 1: Fees are collected, but make no contribution to the protected area or its environs 2: Fees are collected, and make some contribution to the protected area and its environs 3: Fees are collected and make a substantial contribution to the protected area and its environs
Comments and Next Steps	The tourism activity is not formalized, therefore the fees established by the PA administration institution are not levied	
30. Condition of values: What is the condition of the important values of the protected area as compared to when it was first designated?	1	0: Many important biodiversity, ecological or cultural values are being severely degraded 1: Some biodiversity, ecological or cultural values are being severely degraded 2: Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted 3: Biodiversity, ecological and cultural values are predominantly intact
Comments and Next Steps		
30a: Condition of values: The assessment of the condition of values is based on research and/or monitoring	1	0: No 1: Yes
Comments and Next Steps	Principally through the monitoring and reporting carried out through patrols	
30b: Condition of values Specific management programmes are being implemented to address threats to biodiversity, ecological and cultural values	1	0: No 1: Yes
Comments and Next Steps	Updated Control Plans and training in management of socioenvironmental conflicts in the PA	
30c: Condition of values: Activities to maintain key biodiversity, ecological and cultural values are a routine part of park management	1	0: No 1: Yes

Comments and Next Steps		
TOTAL SCORE	44	Pls add up numbers from assessment form (questions 1 to 30)



Objective 1: Catalyzing Sustainability of Protected Area Systems

SECTION II: Management Effectiveness Tracking Tool for Protected Areas

Note: Please complete the management effectiveness tracking tool for **EACH** protected area that is the target of the GEF intervention and create a new worksheet for each.

Structure and content of the Tracking Tool - Objective 1. Section II:

The Tracking Tool has two main sections: datasheets and assessment form. Both sections should be completed.

1. Datasheets: the data sheet comprises of two separate sections:

ü Data sheet 1: records details of the assessment and some basic information about the site, such as name, size and location etc.

ü Data sheet 2: provides a generic list of threats which protected areas can face. On this data sheet the assessors are asked to identify threats and rank their impact on the protected area.

2. Assessment Form: the assessment is structured around 30 questions presented in table format which includes three columns for recording details of the assessment, all of which should be completed.

Important: Please read the Guidelines posted on the GEF website before entering your data

Data Sheet 1: Reporting Progress at Protected Area Sites	Please indicate your answer here	Notes
Name, affiliation and contact details for person responsible for completing the METT (email etc.)	Vladimir Ramírez, Area Chief vramirez@sernanp.gob.pe	
Date assessment carried out	Nov. 13 2013	Month DD, YYYY (e.g., May 12, 2010)
Name of protected area	Megantoni National Sanctuary	
WDPA site code (these codes can be found on www.unep-wcmc.org/wdpa/)	-	
Designations(please choose 1-3)	2	1: National 2: IUCN Category

		3: International (please complete lines 35-69 as necessary)
Country	Perú	
Location of protected area (province and if possible map reference)	Región Cusco (Provincia La Convención)	
Date of establishment	2004	
Ownership details (please choose 1-4)	1	
		1: State
		2: Private
		3: Community
		4: Other
Management Authority	SERNANP	
Size of protected area (ha)	215869	
Number of Permanent staff	11	
Number of Temporary staff	2	Voluntary Park Guards
Annual budget (US\$) for recurrent (operational) funds – excluding staff salary costs	8374	
Annual budget (US\$) for project or other supplementary funds – excluding staff salary costs	78278	Financiamiento de TGP (Transportadora de Gas del Perú)
What are the main values for which the area is designated	It conserves samples of ten life zones that include intact forests, catchment headwaters and sacred sites for the Machiguenga people, maintaining connectivity between Manu NP and Vilcabamba PA Complex	
List the two primary protected area management objectives in below:	-	

Management objective 1	To conserve untouched the ecosystems that are developed in the Megantoni mountains	
Management objective 2	To protect the area inhabited by voluntarily isolated indigenous people, for their exclusive use, safeguarding their rights including their ancestral territories.	
No. of people involved in completing assessment	3	
Including: (please choose 1-8)	1	1: PA manager 2: PA staff 3: Other PA agency staff 4: Donors 5: NGOs 6: External experts 7: Local community 8: Other
Information on International Designations	Please indicate your answer here	
	-	
UNESCO World Heritage site (see: http://whc.unesco.org/en/list)	-	
Date Listed	-	
Site name	-	
Site area	-	
Geographical co-ordinates	-	
	-	
Criteria for designation	-	(i.e. criteria i to x)

Statement of Outstanding Universal Value	-	
	-	
Ramsar site (see: http://ramsar.wetlands.org)	-	
Date Listed	-	
Site name	-	
Site area	-	
Geographical number	-	
Reason for Designation (see Ramsar Information Sheet)	-	
	-	
UNESCO Man and Biosphere Reserves (see: http://www.unesco.org/new/en/natural-sciences/environment/ecological-sciences/man-and-biosphere-programme/)	-	
Date Listed	-	
Site name	-	
Site area	-	Total, Core, Buffer, and Transition
Geographical co-ordinates	-	
Criteria for designation	-	
Fulfilment of three functions of MAB	-	conservation, development and logistic support
	-	
Please list other designations (i.e. ASEAN Heritage, Natura 2000) and any supporting information below	-	
	Forms part of the Vilcabamba-Amboró Conservation Corridor	Name
	-	Detail

	There is an initiative to elaborate a proposal to establish the Megantoni Biosphere Reserve	
	-	Name
	-	Detail
	-	
	-	Name
		Detail
Data Sheet 2: Protected Areas Threats (please complete a Data Sheet of threats and assessment for each protected area of the project).		
Please choose all relevant existing threats as either of high, medium or low significance. Threats ranked as of high significance are those which are seriously degrading values; medium are those threats having some negative impact and those characterised as low are threats which are present but not seriously impacting values or N/A where the threat is not present or not applicable in the protected area.		
1. Residential and commercial development within a protected area		
Threats from human settlements or other non-agricultural land uses with a substantial footprint		
1.1 Housing and settlement	1	0: N/A
		1: Low
		2: Medium
		3: High
1.2 Commercial and industrial areas	0	0: N/A
		1: Low
		2: Medium
		3: High
1.3 Tourism and recreation infrastructure	0	0: N/A
		1: Low
		2: Medium
		3: High
2. Agriculture and aquaculture within a protected area		
Threats from farming and grazing as a result of agricultural expansion and intensification, including silviculture, mariculture and aquaculture		
2.1 Annual and perennial non-timber crop cultivation	1	0: N/A
		1: Low

		2: Medium
		3: High
2.1a Drug cultivation	0	0: N/A
		1: Low
		2: Medium
		3: High
2.2 Wood and pulp plantations	0	0: N/A
		1: Low
		2: Medium
		3: High
2.3 Livestock farming and grazing	2	0: N/A
		1: Low
		2: Medium
		3: High
2.4 Marine and freshwater aquaculture	0	0: N/A
		1: Low
		2: Medium
		3: High
3. Energy production and mining within a protected area		
Threats from production of non-biological resources		
3.1 Oil and gas drilling	0	0: N/A
		1: Low
		2: Medium
		3: High
3.2 Mining and quarrying	0	0: N/A
		1: Low
		2: Medium
		3: High
3.3 Energy generation, including from hydropower dams	0	0: N/A
		1: Low
		2: Medium
		3: High
4. Transportation and service corridors within a protected area		

Threats from long narrow transport corridors and the vehicles that use them including associated wildlife mortality		
4.1 Roads and railroads (include road-killed animals)	2	0: N/A
		1: Low
		2: Medium
		3: High
4.2 Utility and service lines (e.g. electricity cables, telephone lines,)	0	0: N/A
		1: Low
		2: Medium
		3: High
4.3 Shipping lanes and canals	0	0: N/A
		1: Low
		2: Medium
		3: High
4.4 Flight paths	0	0: N/A
		1: Low
		2: Medium
		3: High
5. Biological resource use and harm within a protected area		
Threats from consumptive use of "wild" biological resources including both deliberate and unintentional harvesting effects; also persecution or control of specific species (note this includes hunting and killing of animals)		
5.1 Hunting, killing and collecting terrestrial animals (including killing of animals as a result of human/wildlife conflict)	1	0: N/A
		1: Low
		2: Medium
		3: High
5.2 Gathering terrestrial plants or plant products (non-timber)	0	0: N/A
		1: Low
		2: Medium
		3: High
5.3 Logging and wood harvesting	1	0: N/A
		1: Low
		2: Medium
		3: High
	1	0: N/A

5.4 Fishing, killing and harvesting aquatic resources		1: Low
		2: Medium
		3: High
6. Human intrusions and disturbance within a protected area		
Threats from human activities that alter, destroy or disturb habitats and species associated with non-consumptive uses of biological resources		
6.1 Recreational activities and tourism	0	0: N/A
		1: Low
		2: Medium
		3: High
6.2 War, civil unrest and military exercises	0	0: N/A
		1: Low
		2: Medium
		3: High
6.3 Research, education and other work-related activities in protected areas	0	0: N/A
		1: Low
		2: Medium
		3: High
6.4 Activities of protected area managers (e.g. construction or vehicle use, artificial watering points and dams)	0	0: N/A
		1: Low
		2: Medium
		3: High
6.5 Deliberate vandalism, destructive activities or threats to protected area staff and visitors	0	0: N/A
		1: Low
		2: Medium
		3: High
7. Natural system modifications		
Threats from other actions that convert or degrade habitat or change the way the ecosystem functions		
7.1 Fire and fire suppression (including arson)	1	0: N/A
		1: Low
		2: Medium
		3: High
7.2 Dams, hydrological modification and water management/use	0	0: N/A
		1: Low

		2: Medium
		3: High
7.3a Increased fragmentation within protected area	0	0: N/A
		1: Low
		2: Medium
		3: High
7.3b Isolation from other natural habitat (e.g. deforestation, dams without effective aquatic wildlife passages)	0	0: N/A
		1: Low
		2: Medium
		3: High
7.3c Other 'edge effects' on park values	1	0: N/A
		1: Low
		2: Medium
		3: High
7.3d Loss of keystone species (e.g. top predators, pollinators etc)	0	0: N/A
		1: Low
		2: Medium
		3: High
8. Invasive and other problematic species and genes		
Threats from terrestrial and aquatic non-native and native plants, animals, pathogens/microbes or genetic materials that have or are predicted to have harmful effects on biodiversity following introduction, spread and/or increase		
8.1 Invasive non-native/alien plants (weeds)	1	0: N/A
		1: Low
		2: Medium
		3: High
8.1a Invasive non-native/alien animals	1	0: N/A
		1: Low
		2: Medium
		3: High
8.1b Pathogens (non-native or native but creating new/increased problems)	0	0: N/A
		1: Low
		2: Medium
		3: High

8.2 Introduced genetic material (e.g. genetically modified organisms)	0	0: N/A
		1: Low
		2: Medium
		3: High
9. Pollution entering or generated within protected area		
Threats from introduction of exotic and/or excess materials or energy from point and non-point sources		
9.1 Household sewage and urban waste water	0	0: N/A
		1: Low
		2: Medium
		3: High
9.1a Sewage and waste water from protected area facilities (e.g. toilets, hotels etc)	0	0: N/A
		1: Low
		2: Medium
		3: High
9.2 Industrial, mining and military effluents and discharges (e.g. poor water quality discharge from dams, e.g. unnatural temperatures, de-oxygenated, other pollution)	0	0: N/A
		1: Low
		2: Medium
		3: High
9.3 Agricultural and forestry effluents (e.g. excess fertilizers or pesticides)	0	0: N/A
		1: Low
		2: Medium
		3: High
9.4 Garbage and solid waste	0	0: N/A
		1: Low
		2: Medium
		3: High
9.5 Air-borne pollutants	0	0: N/A
		1: Low
		2: Medium
		3: High
9.6 Excess energy (e.g. heat pollution, lights etc)	0	0: N/A
		1: Low
		2: Medium

		3: High
10. Geological events		
Geological events may be part of natural disturbance regimes in many ecosystems. But they can be a threat if a species or habitat is damaged and has lost its resilience and is vulnerable to disturbance. Management capacity to respond to some of these changes may be limited.		
10.1 Volcanoes	0	0: N/A 1: Low 2: Medium 3: High
10.2 Earthquakes/Tsunamis	0	0: N/A 1: Low 2: Medium 3: High
10.3 Avalanches/ Landslides	0	0: N/A 1: Low 2: Medium 3: High
10.4 Erosion and siltation/ deposition (e.g. shoreline or riverbed changes)	1	0: N/A 1: Low 2: Medium 3: High
11. Climate change and severe weather		
Threats from long-term climatic changes which may be linked to global warming and other severe climatic/weather events outside of the natural range of variation		
11.1 Habitat shifting and alteration	1	0: N/A 1: Low 2: Medium 3: High
11.2 Droughts	1	0: N/A 1: Low 2: Medium 3: High
11.3 Temperature extremes	1	0: N/A 1: Low

		2: Medium
		3: High
11.4 Storms and flooding	1	0: N/A
		1: Low
		2: Medium
		3: High
12. Specific cultural and social threats		
12.1 Loss of cultural links, traditional knowledge and/or management practices	0	0: N/A
		1: Low
		2: Medium
		3: High
12.2 Natural deterioration of important cultural site values	0	0: N/A
		1: Low
		2: Medium
		3: High
12.3 Destruction of cultural heritage buildings, gardens, sites etc	0	0: N/A
		1: Low
		2: Medium
		3: High
Assessment Form		
1. Legal status: Does the protected area have legal status (or in the case of private reserves is covered by a covenant or similar)?	3	0: The protected area is not gazetted/covenanted 1: There is agreement that the protected area should be gazetted/covenanted but the process has not yet begun 2: The protected area is in the process of being gazetted/covenanted but the process is still incomplete (includes sites designated under international conventions, such as Ramsar, or local/traditional law such as community conserved areas, which do not yet have

		national legal status or covenant) 3: The protected area has been formally gazetted/covenanted
Comments and Next Steps	Established by Supreme Decree N° 030-2004-AG of 17th August 2004	
2. Protected area regulations: Are appropriate regulations in place to control land use and activities (e.g. hunting)?	3	0: There are no regulations for controlling land use and activities in the protected area
		1: Some regulations for controlling land use and activities in the protected area exist but these are major weaknesses
		2: Regulations for controlling land use and activities in the protected area exist but there are some weaknesses or gaps
		3: Regulations for controlling inappropriate land use and activities in the protected area exist and provide an excellent basis for management
Comments and Next Steps	Law of PAs, its Regulation and PA Zoning.	
3. Law	2	0: The staff have no effective capacity/resources to enforce protected area legislation and regulations
Enforcement: Can staff (i.e. those with responsibility for managing the site) enforce protected area rules well enough?		1: There are major deficiencies in staff capacity/resources to enforce protected area legislation and regulations (e.g. lack of skills, no patrol budget, lack of institutional support)
		2: The staff have acceptable capacity/resources to enforce protected area legislation and regulations but some deficiencies remain
		3: The staff have excellent capacity/resources to enforce protected area legislation and regulations

Comments and Next Steps	Park Guards are responsible for ensuring compliance with PA norms	
4. Protected area objectives: Is management undertaken according to agreed objectives?	3	<p>0: No firm objectives have been agreed for the protected area</p> <p>1: The protected area has agreed objectives, but is not managed according to these objectives</p> <p>2: The protected area has agreed objectives, but is only partially managed according to these objectives</p> <p>3: The protected area has agreed objectives and is managed to meet these objectives</p>
Comments and Next Steps		
5. Protected area design: Is the protected area the right size and shape to protect species, habitats, ecological processes and water catchments of key conservation concern?	2	<p>0: Inadequacies in protected area design mean achieving the major objectives of the protected area is very difficult</p> <p>1: Inadequacies in protected area design mean that achievement of major objectives is difficult but some mitigating actions are being taken (e.g. agreements with adjacent land owners for wildlife corridors or introduction of appropriate catchment management)</p> <p>2: Protected area design is not significantly constraining achievement of objectives, but could be improved (e.g. with respect to larger scale ecological processes)</p> <p>3: Protected area design helps achievement of objectives; it is appropriate for species and habitat conservation; and maintains ecological processes such as surface and groundwater flows at a catchment scale, natural disturbance patterns etc</p>
Comments and Next Steps	The western sector of the Sanctuary is narrower and therefore more vulnerable to threats from uncontrolled hunting, fishing and agriculture	
6. Protected area boundary demarcation:	2	0: The boundary of the protected area is not known by the management authority or local residents/neighbouring land users

Is the boundary known and demarcated?		1: The boundary of the protected area is known by the management authority but is not known by local residents/neighbouring land users
		2: The boundary of the protected area is known by both the management authority and local residents/neighbouring land users but is not appropriately demarcated
		3: The boundary of the protected area is known by the management authority and local residents/neighbouring land users and is appropriately demarcated
Comments and Next Steps		
7. Management plan: Is there a management plan and is it being implemented?	2	0: There is no management plan for the protected area
		1: A management plan is being prepared or has been prepared but is not being implemented
		2: A management plan exists but it is only being partially implemented because of funding constraints or other problems
		3: A management plan exists and is being implemented
Comments and Next Steps		
7.a Planning process: The planning process allows adequate opportunity for key stakeholders to influence the management plan	1	0: No 1: Yes
Comments and Next Steps	The Master Plans are produced through participatory processes	
7.b Planning process: There is an established schedule and process for periodic review and updating of the management plan	1	0: No 1: Yes
Comments and Next Steps	According to PA Law, Master Plans should be updated every 5 years.	
7.c Planning process: The results of monitoring, research and evaluation are routinely incorporated into planning	1	0: No 1: Yes
Comments and Next Steps		

8. Regular work plan: Is there a regular work plan and is it being implemented	2	0: No regular work plan exists 1: A regular work plan exists but few of the activities are implemented 2: A regular work plan exists and many activities are implemented 3: A regular work plan exists and all activities are implemented
Comments and Next Steps	The 2013 Annual Plan of Operations is being implemented and the 2014 Plan has been produced.	
9. Resource inventory: Do you have enough information to manage the area?	1	0: There is little or no information available on the critical habitats, species and cultural values of the protected area 1: Information on the critical habitats, species, ecological processes and cultural values of the protected area is not sufficient to support planning and decision making 2: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient for most key areas of planning and decision making 3: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient to support all areas of planning and decision making
Comments and Next Steps		
10. Protection systems:	2	0: Protection systems (patrols, permits etc) do not exist or are not effective in controlling access/resource use
Are systems in place to control access/resource use in the protected area?		1: Protection systems are only partially effective in controlling access/resource use
		2: Protection systems are moderately effective in controlling access/resource use
		3: Protection systems are largely or wholly effective in controlling access/ resource use
Comments and Next Steps	In 2014 it is proposed to carry out 24 routine patrols and 4 special patrols	

11. Research: Is there a programme of management-orientated survey and research work?	1	0: There is no survey or research work taking place in the protected area
		1: There is a small amount of survey and research work but it is not directed towards the needs of protected area management
		2: There is considerable survey and research work but it is not directed towards the needs of protected area management
		3: There is a comprehensive, integrated programme of survey and research work, which is relevant to management needs
Comments and Next Steps		
12. Resource management: Is active resource management being undertaken?	0	0: Active resource management is not being undertaken
		1: Very few of the requirements for active management of critical habitats, species, ecological processes and cultural values are being implemented
		2: Many of the requirements for active management of critical habitats, species, ecological processes and, cultural values are being implemented but some key issues are not being addressed
		3: Requirements for active management of critical habitats, species, ecological processes and, cultural values are being substantially or fully implemented
Comments and Next Steps		
13. Staff numbers: Are there enough people employed to manage the protected area?	1	0: There are no staff
		1: Staff numbers are inadequate for critical management activities
		2: Staff numbers are below optimum level for critical management activities
		3: Staff numbers are adequate for the management needs of the protected area
Comments and Next Steps		Current staff: 1 chief, 1 administrator, 2 specialists and 7 Park Guards

14. Staff training: Are staff adequately trained to fulfill management objectives?	2	0: Staff lack the skills needed for protected area management
		1: Staff training and skills are low relative to the needs of the protected area
		2: Staff training and skills are adequate, but could be further improved to fully achieve the objectives of management
		3: Staff training and skills are aligned with the management needs of the protected area
Comments and Next Steps		
15. Current budget: Is the current budget sufficient?	2	0: There is no budget for management of the protected area
		1: The available budget is inadequate for basic management needs and presents a serious constraint to the capacity to manage
		2: The available budget is acceptable but could be further improved to fully achieve effective management
		3: The available budget is sufficient and meets the full management needs of the protected area
Comments and Next Steps		
16. Security of budget: Is the budget secure?	3	0: There is no secure budget for the protected area and management is wholly reliant on outside or highly variable funding
		1: There is very little secure budget and the protected area could not function adequately without outside funding
		2: There is a reasonably secure core budget for regular operation of the protected area but many innovations and initiatives are reliant on outside funding
		3: There is a secure budget for the protected area and its management needs
Comments and Next Steps		SERNANP covers annual budgets

17. Management of budget: Is the budget managed to meet critical management needs?	2	0: Budget management is very poor and significantly undermines effectiveness (e.g. late release of budget in financial year) 1: Budget management is poor and constrains effectiveness 2: Budget management is adequate but could be improved 3: Budget management is excellent and meets management needs
Comments and Next Steps		
18. Equipment: Is equipment sufficient for management needs?	2	0: There are little or no equipment and facilities for management needs 1: There are some equipment and facilities but these are inadequate for most management needs 2: There are equipment and facilities, but still some gaps that constrain management 3: There are adequate equipment and facilities
Comments and Next Steps	The Sanctuary has a technical and administrative base and 3 control posts, and 1 pickup	
19. Maintenance of equipment: Is equipment adequately maintained?	2	0: There is little or no maintenance of equipment and facilities 1: There is some ad hoc maintenance of equipment and facilities 2: There is basic maintenance of equipment and facilities 3: Equipment and facilities are well maintained
Comments and Next Steps		
20. Education and awareness: Is there a planned education programme linked to the objectives and needs?	2	0: There is no education and awareness programme 1: There is a limited and ad hoc education and awareness programme 2: There is an education and awareness programme but it only partly meets needs and could be improved

		3: There is an appropriate and fully implemented education and awareness programme
Comments and Next Steps		
21. Planning for land and water use: Does land and water use planning recognise the protected area and aid the achievement of objectives?	1	0: Adjacent land and water use planning does not take into account the needs of the protected area and activities/policies are detrimental to the survival of the area 1: Adjacent land and water use planning does not take into account the long term needs of the protected area, but activities are not detrimental the area 2: Adjacent land and water use planning partially takes into account the long term needs of the protected area 3: Adjacent land and water use planning fully takes into account the long term needs of the protected area
Comments and Next Steps		
21a. Land and water planning for habitat conservation: Planning and management in the catchment or landscape containing the protected area incorporates provision for adequate environmental conditions (e.g. volume, quality and timing of water flow, air pollution levels etc) to sustain relevant habitats.	0	0: No 1: Yes
Comments and Next Steps		
21b. Land and water planning for habitat conservation: Management of corridors linking the protected area provides for wildlife passage to key habitats outside the protected area (e.g. to allow migratory fish to travel between freshwater spawning sites and the sea, or to allow animal migration).	1	0: No 1: Yes
Comments and Next Steps		

21c. Land and water planning for habitat conservation: "Planning addresses ecosystem-specific needs and/or the needs of particular species of concern at an ecosystem scale (e.g. volume, quality and timing of freshwater flow to sustain particular species, fire management to maintain savannah habitats etc.)"	0	0: No 1: Yes
Comments and Next Steps		
22. State and commercial neighbours: Is there co-operation with adjacent land and water users?	1	0: There is no contact between managers and neighbouring official or corporate land and water users 1: There is contact between managers and neighbouring official or corporate land and water users but little or no cooperation 2: There is contact between managers and neighbouring official or corporate land and water users, but only some co-operation 3: There is regular contact between managers and neighbouring official or corporate land and water users, and substantial co-operation on management
Comments and Next Steps		
23. Indigenous people: Do indigenous and traditional peoples resident or regularly using the protected area have input to management decisions?	2	0: Indigenous and traditional peoples have no input into decisions relating to the management of the protected area 1: Indigenous and traditional peoples have some input into discussions relating to management but no direct role in management 2: Indigenous and traditional peoples directly contribute to some relevant decisions relating to management but their involvement could be improved 3: Indigenous and traditional peoples directly participate in all relevant decisions relating to management, e.g. co-management
Comments and Next Steps		
They participate through their representatives on the Management Committee.		

24. Local communities: Do local communities resident or near the protected area have input to management decisions?	2	0: Local communities have no input into decisions relating to the management of the protected area
		1: Local communities have some input into discussions relating to management but no direct role in management
		2: Local communities directly contribute to some relevant decisions relating to management but their involvement could be improved
		3: Local communities directly participate in all relevant decisions relating to management, e.g. co-management
Comments and Next Steps	They participate through their representatives on the Management Committee.	
24 a. Impact on communities: There is open communication and trust between local and/or indigenous people, stakeholders and protected area managers	1	0: No 1: Yes
Comments and Next Steps		
24 b. Impact on communities: Programmes to enhance community welfare, while conserving protected area resources, are being implemented	1	0: No 1: Yes
Comments and Next Steps		
24 c. Impact on communities: Local and/or indigenous people actively support the protected area	0	0: No 1: Yes
Comments and Next Steps		
25. Economic benefit: Is the protected area providing economic benefits to local communities, e.g. income, employment, payment for environmental services?	0	0: The protected area does not deliver any economic benefits to local communities
		1: Potential economic benefits are recognised and plans to realise these are being developed
		2: There is some flow of economic benefits to local communities

		3: There is a major flow of economic benefits to local communities from activities associated with the protected area
Comments and Next Steps		
26. Monitoring and evaluation: Are management activities monitored against performance?	2	0: There is no monitoring and evaluation in the protected area 1: There is some ad hoc monitoring and evaluation, but no overall strategy and/or no regular collection of results 2: There is an agreed and implemented monitoring and evaluation system but results do not feed back into management 3: A good monitoring and evaluation system exists, is well implemented and used in adaptive management
Comments and Next Steps		
27. Visitor facilities: Are visitor facilities adequate?	0	0: There are no visitor facilities and services despite an identified need 1: Visitor facilities and services are inappropriate for current levels of visitation 2: Visitor facilities and services are adequate for current levels of visitation but could be improved 3: Visitor facilities and services are excellent for current levels of visitation
Comments and Next Steps		
28. Commercial tourism operators: Do commercial tour operators contribute to protected area management?	1	0: There is little or no contact between managers and tourism operators using the protected area 1: There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters 2: There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values

		3: There is good co-operation between managers and tourism operators to enhance visitor experiences, and maintain protected area values
Comments and Next Steps		
29. Fees: If fees (i.e. entry fees or fines) are applied, do they help protected area management?	0	0: Although fees are theoretically applied, they are not collected 1: Fees are collected, but make no contribution to the protected area or its environs 2: Fees are collected, and make some contribution to the protected area and its environs 3: Fees are collected and make a substantial contribution to the protected area and its environs
Comments and Next Steps		
30. Condition of values: What is the condition of the important values of the protected area as compared to when it was first designated?	3	0: Many important biodiversity, ecological or cultural values are being severely degraded 1: Some biodiversity, ecological or cultural values are being severely degraded 2: Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted 3: Biodiversity, ecological and cultural values are predominantly intact
Comments and Next Steps	The current state of conservation is 99.41% (2014 Annual Plan of Operations)	
30a: Condition of values: The assessment of the condition of values is based on research and/or monitoring	1	0: No 1: Yes
Comments and Next Steps		
30b: Condition of values Specific management programmes are being implemented to address threats to biodiversity, ecological and cultural values	1	0: No 1: Yes

Comments and Next Steps		
30c: Condition of values: Activities to maintain key biodiversity, ecological and cultural values are a routine part of park management	1	0: No 1: Yes
Comments and Next Steps		
TOTAL SCORE	60	Pls add up numbers from assessment form (questions 1 to 30)

Tracking Tool for SFM/REDD-Plus Projects

Objective: To measure progress in achieving the impacts and outcomes established at the portfolio level under the SFM/REDD-plus strategy.

Rationale: Project data from the GEF-5 project cohort will be aggregated for analysis of directional trends and patterns at a portfolio-wide level to inform the development of future GEF strategies and to report to GEF Council on portfolio-level performance in the SFM/REDD+ strategy.

Structure of Tracking Tool: The tracking tool requests background and coverage information on the project and specific information required to track portfolio level indicators in the SFM/REDD-plus strategy.

Guidance in Applying GEF Tracking Tools: GEF tracking tools are applied three times: at CEO endorsement, at project mid-term, and at project completion. Please see the SFM/REDD+ TT Guidance Note to help completion.



****To be submitted with CEO Endorsement/Approval Request****

PART I - General Data		Please enter your data here	Notes
Project Title	Transforming Management of Protected Area/Landscape Complexes to Strengthen Ecosystem Resilience		
GEF ID	5080		
Agency Project ID	5152		
Country	Peru		
Region	LCR		
GEF Agency	UNDP		
Date of Council/CEO Approval	may-14		Exact date to be determined
GEF Grant (US\$)	8,991,434		
Date of Submission of the Tracking Tool	April 21, 2014		Month DD, YYYY (e.g., May 12, 2010)
Focal Areas	Biodiversity, Land Degradation, SFM		
GEF SFM/REDD-Plus Objectives	1		1: SFM/REDD-Plus 1: Reduce pressures on forest resources and generate sustainable flows of forest ecosystem services 2: SFM/REDD-Plus 2: Strengthen the enabling environment for REDD-Plus

Scale of Project (See Below*)	6	1: Global 2: Regional 3: Sub-Regional/Transboundary 4: National 5: Sub-National – district, provincial 6: Site - landscape, watershed/catchment, river basin (Specify below)
If you selected 6 please specify	Manu and Yanachaga PA complexes	
Person Responsible for Completing the TT	Rudy Valdivia, Director SERNANP, rvaldivia@sernanp.gob.pe	(Indicate Name, Position, Institution, E-mail)
PART II – PROJECT CONTEXT AND TARGETED IMPACTS		
1. Characterization of area in which project is located		
a) Areas targeted by project categorized by biome		
Category	Project activity (hectares)	Indirect potential* (hectares)
TROPICAL FORESTLAND		
Tropical moist broadleaf and mixed forestland	333,546.00	
Tropical dry broadleaf and mixed forestland		
Tropical coniferous forestland		
SUBTROPICAL FORESTLAND		
Subtropical moist broadleaf and mixed forestland		
Subtropical dry broadleaf and mixed forestland		
Subtropical coniferous forestland		
TEMPERATE FORESTLAND		
Mediterranean forestland		
Non-Mediterranean forestland		
PEATLANDS		
Tropical peatland forest		
Temperate peatland forest		
Boreal peatland forest		

Non-forest peatland		
OTHER		
Boreal Forest Land		
Mangroves		
Other [fill in name here]		

b) Areas by vegetation/management characteristics targeted by the project.^A

	Project activity (hectares)	Indirect potential* (hectares)
Primary Forest	15,833.00	
Other naturally regenerated forest		
Forest Plantation (native species)	-	
Forest Plantation (exotic species)	-	
Agroforestry system, grazing		
Agroforestry system, cropping		
Forest-related peatland system		
Other [agriculture and pasture complex]	317,713.00	

^ANote that current non-forest areas targeted for afforestation/reforestation should be included in the targeted vegetation/management system.

c) Areas of ownership/management rights targeted by the project.

		Project activities (hectares)
Private forests	Community managed forests	
	Non-community managed forests	-
Federal/State/Other Public	Community managed forests	15,833.00
	Non-community managed forests	

2. Socio economic benefits - Characterization of communities and populations that are expected to directly benefit from the project

		Number
Forest-dependent people	Male	11,572
	Female	9,468
Poor people	Male	11,572
	Female	9,468
Indigenous peoples	Male	8,100

		Female	6,628
PART III – PROJECT OUTCOMES			
Core Results (Planned Target)			
SFM/REDD-plus (Core Results and Outcomes)	Indicators	Area (ha)	tonnes CO2eq
Carbon stored in forest ecosystems and emissions avoided from deforestation and forest degradation from this project (Direct lifetime)	Conservation & enhancement of carbon in forests	N/A	N/A
	Avoided deforestation and forest degradation	16269	4967677
Carbon stored in forest ecosystems and emissions avoided from deforestation and forest degradation from this project (Indirect lifetime)	Conservation & enhancement of carbon in forests	N/A	N/A
	Avoided deforestation and forest degradation	N/A	N/A
Outcomes (Current Situation)			
1.1: An enhanced enabling environment within the forest sector	Forest Sector Policy/ Regulation Framework *	N/A	<p>1: no sector policy/regulation framework in place</p> <p>2: sector policy/regulation framework has been discussed and formally proposed</p> <p>3: sector policy/regulation framework have been formally proposed but not adopted</p> <p>4: sector policy/regulation framework formally adopted by the Government but weak enforcement mechanisms</p> <p>5: sector policy/regulation framework are enforced</p>
1.2: Good forest management practices applied in existing forests	Forest area certified for timber and non-timber forest products	N/A	ha
	Area covered by forest management plans	N/A	ha

	Restoration/rehabilitation of degraded forests	N/A				ha
1.3 Good management practices adopted by relevant economic actors	Types and quantity of services generated through SFM	16,269.00				Area of avoided deforestation (ha)
2.1: Enhanced institutional capacity to account for GHG emission reduction and increase in carbon stocks	National carbon stock monitoring systems in place (area covered)					0: not an objective/component 1: no action 2: in design phase 3: mapping of forests and other land areas 4: compilation and analysis of carbon stock information 5: implementation of science based inventory/monitoring system 6: monitoring information database publicly available
		N/A				ha
Outcomes (Planned Target)						
1.1: An enhanced enabling environment within the forest sector	Forest Sector Policy/Regulation Framework *	3				1: no sector policy/regulation framework in place 2: sector policy/regulation framework has been discussed and formally proposed 3: sector policy/regulation framework have been formally proposed but not adopted 4: sector policy/regulation framework formally adopted by the Government but weak enforcement mechanisms 5: sector policy/regulation framework are enforced
	Payment for ecosystem services (PES) systems established	PE S1	PE S2	PE S3	PE S4	System or pilot site
						1: Carbon sequestration 2: Watershed services (focus on water) 3: Biodiversity conservation 4: Soil conservation 5: Landscape and recreational services 6: Other (please specify):
						Financial Volume (USD)
						ha

1.2: Good forest management practices applied in existing forests	Forest area certified for timber and non-timber forest products	N/A	ha
	Area covered by forest management plans	N/A	ha
	Restoration/rehabilitation of degraded forests	N/A	ha
1.3 Good management practices adopted by relevant economic actors	Types and quantity of services generated through SFM	16,269.00	Area of avoided deforestation (ha)
2.1: Enhanced institutional capacity to account for GHG emission reduction and increase in carbon stocks	National carbon stock monitoring systems in place		0: not an objective/component 1: no action 2: in design phase 3: mapping of forests and other land areas 4: compilation and analysis of carbon stock information 5: implementation of science based inventory/monitoring system 6: monitoring information database publicly available
		N/A	Area Covered (ha)
2.2: New revenue for SFM created through engaging in the carbon market	Carbon credits generated	N/A	Number of credits

*Baseline assessment made during project design and planning phase and repeated annual assessments reported in PIRs

Annex 16: Tracking Tools – Mid Term Evaluation of the Project



PROJECT IDENTIFICATION

1. Project Title	Transforming Management of Protected Area/Landscape Complexes to Strengthen Ecosystem Resilience
2. GEF ID:	5080
3. Project Implementation Period (Indicate: starting and ending dates)	2014-2020
4. PMAT Completion Date	
a. CEO Endorsement/Approval Document	1st April 2014
b. Annual (specify year) – TO BE LINKED TO PIR	N/A
c. Project Closure (specify year)	N/A
5. Person Responsible for Completing the PMAT (Indicate Name, Position, Institution):	Rudy Valdivia, SERNANP
6. Scale of Project - Refer to Guidelines for definition and check (x) only the most appropriate.	
a. Global	
b. Regional	
c. Sub regional/ Transboundary	
d. National	x
e. Sub national - district, provincial	
f. Site - landscape, watershed/catchment, river basin (specify)	



PART I – PROJECT CONTEXT AND TARGETED IMPACTS

1. Agro-ecological context – Characterization of area in which project is located				
		PIR 2017		Comentarios 2017
1. a	What agroecological zone(s) is the project situated? Select the most appropriate from the drop down menu.	v. Humid	Select	
1. b.	What production system(s) will the project target? Please provide an estimated coverage of the area targeted. <i>¿Qué sistema (s) de producción será el objetivo del proyecto? Sírvese proporcionar una cobertura estimada del área destinada.</i>			
	i. Agriculture (including food crop, tree crop, and crop-livestock) <i>i. Agricultura (incluyendo cultivos alimentarios, cultivos arbóreos y cultivos-ganado)</i>	729,529 ha (area of agriculture in the two landscapes served)	Hectares	Superficie agrícola total de los 54 distritos del ámbito del proyecto (en dos paisajes). Fuente: censo agrícola 2012. INEI *Se actualizó la LB en función a la definición de los dos paisajes. En específico (año 2012) en La Convención: 43,075ha de café y cacao, y Oxapampa: 11,741ha de café y cacao. Total 80,423ha Fuente: Proyecto Green Commodities. PNUD <u>Dato original:</u> 317,713ha (área de agricultura en 20 distritos)
	ii. Rangeland	N/A	Hectares	
	iii. Pastoral	N/A	Hectares	

	iv. Forestry <i>iv. Forestería</i>	to define xx ha (total area of CBFM in target areas - Indicator 2.3)	Hectares	El indicador (I2.3) estaba orientado a una comunidad en específico - Comunidad Queros, por lo que se orientó la estrategia hacia fortalecer cadenas de valor de productos diferentes a la madera, beneficiando a varias comunidades o asociaciones. Actualmente, se está definiendo ¿con quien y donde trabajar?, por lo que aún no se cuenta con la superficie bajo manejo forestal como LB. Una vez definido se contará con el número de hectareas bajo manejo que incorporarán estrategias para ser resilientes al CC. <u>Dato original:</u> 15,833ha
	v. Mixed Systems	N/A	Hectares	
1. c.	Focus of project interventions – Please provide total area covered for only those that apply <i>Enfoque de las intervenciones del proyecto: proporcione el área total cubierta solo para aquellos que apliquen</i>			
	i. Improved agricultural management (crop and crop-livestock) <i>i. Mejora de la gestión agrícola (cultivos y cultivos-ganado)</i>	9,222ha (target for improved agricultural management area - Indicador 2.4)	Hectares	La superficie agrícola sobre la que el proyecto interviene es: 9,222 ha de sistemas productivos de café y cacao y agroforestería <u>Dato original:</u> 2,000ha -> referente sólo a sistemas agroforestales

	ii. Improved rangeland and pasture management (livestock based)	N/A	Hectares	
	iii. Improved forest management (SFM) <i>iii. Mejor gestión forestal (MFS)</i>	to define xxha (target for area of CBFM with incorporation of CC resilience - Indicator 2.3)	Hectares	Ver 1.b - iv. Forestry
	iv. Restoration of degraded lands	N/A	Hectares	
	v. Re-vegetation, Reforestation	N/A	Hectares	
	vi. Protection of natural resources (e.g. Newly designated protected areas, erosion/flood/landslide control)	N/A	Hectares	
	vii. Integrated landscape management (land-water-vegetation)	N/A	Hectares	
1. d.	What types of agricultural land use and/or farming practices are employed in the target area? Please provide an estimated coverage as appropriate. <i>¿Qué tipos de uso de tierras agrícolas y / o prácticas de cultivo se emplean en el área objetivo? Proporcione una cobertura estimada según corresponda.</i>			
	i. Rain-fed <i>i. alimentado con lluvia</i>	729,529	Hectares	Superficie agrícola total de los 54 distritos del ámbito del proyecto (en dos paisajes). Fuente: censo agrícola 2012. INEI *Se actualizó la LB en función a la definición de los dos paisajes. <u>Dato original:</u> 317,713ha (área de agricultura en 20 distritos)
	ii. Irrigated	N/A	Hectares	
	iii. Mixed	N/A	Hectares	
2. Socio-economic context - Characterization of affected communities and populations				
2. a.	Numbers of rural people			

	Male	20,927	Number	<p>Sistemas de café y cacao: 18,050 pobladores pobres (8,123 mujeres) Indicador 2.2a</p> <p>Sistemas agroforestales: 20,000 poladores pobres (9,000 mujeres) Indicador 2.2b</p> <p><u>Dato original:</u> 11,572, no coincide con la información del marco de resultados</p>
	Female	17,123	Number	<p>Sistemas de café y cacao: 18,050 pobladores pobres (8,123 mujeres) Indicador 2.2a</p> <p>Sistemas agroforestales: 20,000 poladores pobres (9,000 mujeres) Indicador 2.2b</p> <p><u>Dato original:</u> 9,468, no coincide con la información del marco de resultados</p>
2. b.	Number of people defined as poor			
	Male	20,927	Number	<p>Sistemas de café y cacao: 18,050 pobladores pobres (8,123 mujeres) Indicador 2.2a</p> <p>Sistemas agroforestales: 20,000 poladores pobres (9,000 mujeres) Indicador 2.2b</p> <p><u>Dato original:</u> 11,572, no coincide con la información del marco de resultados</p>

	Female	17,123	Number	<p>Sistemas de café y cacao: 18,050 pobladores pobres (8,123 mujeres) Indicador 2.2a</p> <p>Sistemas agroforestales: 20,000 poladores pobres (9,000 mujeres) Indicador 2.2b</p> <p><u>Dato original:</u> 9,468, no coincide con la información del marco de resultados</p>
2. c.	Number of urban/peri-urban people			
	Male	N/A	Number	
	Female	N/A	Number	
2. d.	Average annual farm production (crop, livestock) <i>Producción agrícola media anual (cultivos, ganado)</i>			
	Crop (Main Crop Only) <i>Cultivo (cultivo principal solamente)</i>	0.60	Tons/Hectare	<p>A nivel nacional producción agrícola: Principal cultivo es el café</p> <p>Año 2013 -> café 256,2 mil ton de producción, en 399,523 ha (0.6tn/ha)</p> <p>Año 2013 -> cacao 71,2 mil ton de producción, en 97,658 ha (0.68tn/ha)</p> <p>Fuente: MINAGRI_Of de estudios economicos y estadisticos, en Compendio estadistico Peru 2014</p> <p><u>Dato original:</u> 2.18</p>
	Livestock	N/A	Number/ha	

2. e.	Average annual income (per capita) <i>Promedio de ingresos anuales (per cápita)</i>	167.50	US\$	<p>Ingreso ponderado de los 54 distritos: S/452.24 en moneda \$167.50 (promedio t.c. 2012: 2.64) Fuente: BCRP, SBS</p> <p>Población total: 788,484 habitantes Ingreso total población: S/356'586,524 Ingreso ponderado YESI: S/371.85 Ingreso ponderado PUMA: S/559.48 Fuente: IDH_2012_PNUD. INEI. Censo de Población y Vivienda 2007. ENAHO y ENAPRES.</p> <p><u>Dato original:</u> 2,357.14</p>
3. Land Degradation (desertification and deforestation) problem				
3. a.	What is the extent of land degradation within the project boundary?			
	i. Agriculture (including food crop, tree crop, and crop-livestock): <i>¿Cuál es el grado de degradación de la tierra dentro de los límites del proyecto?</i>	See data in 3.b. No reliable data available on current extent of degradation	Hectares	
	ii. Rangeland	N/A	Hectares	
	iii. Pastoral	N/A	Hectares	
	iv. Forestry	N/A	Hectares	
	v. Mixed Systems	N/A	Hectares	
3. b.	What is the nature of land degradation to be addressed directly? Please refer to guidelines and check (X) only the most relevant and provide relevant data where applicable and available <i>¿Cuál es la naturaleza de la degradación de la tierra que se debe abordar directamente? Por favor refiérase a las guías y marque (X) sólo las más relevantes y proporcione los datos relevantes donde sea aplicable y disponible</i>			

i. Loss of vegetative cover <i>i. Pérdida de la cubierta vegetal</i>	29,069.00		Total de pérdida promedio anual de cobertura (período 2001-2015), levantada como parte de los ajustes realizados <u>Dato original:</u> 32,537ha/year
ii. Degradation of vegetation (biomass, health, damage, age structure)	N/A		
iii. Degradation of soil properties (chemical, physical and biological)	N/A		
iv. Soil loss by wind / water erosion <i>iv. Pérdida del suelo por erosión eólica / hídrica</i>	2.64*	Tons/ Hecta re/ye ar	*Tasa de erosión del suelo en sistemas agroforestales: 2.64 t/ha/año **Tasa de erosión del suelo en tierras de cultivo y pastoreo: 23.44 t/ha/año
v. Loss of land by soil deposits and moving sand dunes	N/A		
vi. Loss of above-ground carbon <i>vi. Pérdida de carbono sobre el suelo</i>	92.9tCO ₂ e q/ha x 29,069ha/y ear deforestation	tCO ₂ eq/ Hecta re/ye ar	Pérdida neta evitada: 1'350,366tC Superficie evitada de pérdida: 14,535ha Pérdida de carbono sobre el suelo: 92.9tCO ₂ eq/ha <u>Dato original:</u> 305tCO ₂ eq/ha x 32,537ha/year deforestation
vii. Loss of soil carbon	N/A		
viii. Declining land productivity - based on Net Primary Productivity measure	N/A		
ix. Loss of biodiversity characterized at habitat level - based on Biodiversity Intactness Index	N/A	Index	
x. Loss of biodiversity characterized at species level	N/A		
xi. Increase in invasive, harmful or less useful species	N/A		
xii. Loss/reduced water supply (surface and ground water)	N/A		

	xiii. Loss/reduced water quality (surface and ground water)	N/A		
	xiv. Lowering of groundwater table / reduced aquifer	N/A		
	xv. Loss of wetlands and their functions	N/A		
	xvi. Increased extent and severity of flood, drought, storm damage	N/A		
3. c.	<p>What are the direct causes or drivers of land degradation? Please refer to guidelines and check (X) only those that apply under each relevant category.</p> <p><i>¿Cuáles son las causas o causas directas de la degradación de la tierra? Por favor, consulte las directrices y marque (X) sólo aquellas que se aplican en cada categoría relevante.</i></p>			
	i. Soil management Manejo del suelo			
	(s1) Cultivation of highly unsuitable / vulnerable soils	N/A	Check (X) only those that apply	
	(s2) Missing or insufficient soil conservation / runoff and erosion control measures <i>(s2) Falta o insuficiencia de medidas de control de la conservación / escorrentía y erosión del suelo</i>	X		
	(s3) Heavy machinery (including timing of heavy machinery use)	N/A		
	(s4) Tillage practice	N/A		
	(s5) Other (specify)	N/A		
	ii. Crop and rangeland management Gestión de cultivos y pastizales			
	(c1) Reduction of plant cover and residues	N/A	Check (X) only those that apply	
	(c2) Inappropriate application of manure, fertilizer, herbicides, pesticides and other agrochemicals or waste	N/A		
	(c3) Nutrient mining	N/A		
	(c4) Shortening of the fallow period in shifting cultivation <i>(c4) Acortamiento del período de barbecho en agricultura migratoria</i>	X		
	(c5) Inappropriate irrigation	N/A		
	(c6) Inappropriate use of water in rainfed agriculture	N/A		
	(c7) Bush encroachment and bush thickening	N/A		

	(c8) Occurrence and spread of weeds and invader plants	N/A		
	(c9) Other (specify)	N/A		
iii. Deforestation and removal of natural vegetation <i>Deforestación y eliminación de vegetación natural</i>				Se ha cruzado con METT
	(f1) Large-scale commercial forestry	N/A	<i>Check (X) only those that apply</i>	
	(f2) Expansion of urban / settlement areas and industry	X		Asentamientos urbanos al interior de las ANP
	(f3) Conversion to agriculture <i>(f3) Conversión a la agricultura</i>	X		Cultivos no maderables anuales y permanentes; así como, presencia de cultivos ilícitos en BPSMSC, RCS y RCY
	(f4) Forest / grassland fires	X		
	(f5) Road and rail construction	X		Corredores de transporte dentro del ANP: BPSMSC, PNAP y RCA (rutas de vuelo)
	(f6) Other (specify: _____)	N/A		
iv. Over-exploitation of vegetation for domestic use <i>Sobreexplotación de la vegetación para uso doméstico</i>				
	(e1) Excessive gathering of fuel wood, (local) timber, fencing materials	N/A	<i>Check (X) only those that apply</i>	
	(e2) Removal of fodder	N/A		
	(e3) Other (specify: _____)	N/A		
v. Overgrazing <i>Sobrepastoreo</i>				
	(g1) Excessive numbers of livestock	X	<i>Check (X) only those that apply</i>	Sobre pastoreo y ganadería en BPSMSC, RCS y PNM
	(g2) Trampling along animal paths	N/A		
	(g3) Overgrazing and trampling around or near feeding, watering and shelter points	N/A		
	(g4) Too long or extensive grazing periods in a specific area or camp	N/A		
	(g5) Change in livestock composition	N/A		

(g6) Other (specify: _____ _____)	N/A		
vi. Industrial activities and mining Actividades industriales y minería			
(i1) Industry	N/A	<i>Check (X) only those that apply</i>	En zona de amortiguamiento de la RCA
(i2) Mining	X		
(i3) Waste deposition	N/A		
(i4) Others (specify) _____ _____)	N/A		
vii. Urbanisation and infrastructure development			
(u1) Settlements and roads	X	<i>Check (X) only those that apply</i>	Asentamientos urbanos al interior de las ANP
(u2) (Urban) recreation	N/A		
(u3) Other (specify: _____ _____)	N/A		
viii. Discharges from			
(p1) Sanitary sewage disposal	N/A	<i>Check (X) only those that apply</i>	
(p2) Waste water discharge	N/A		
(p3) Excessive runoff	N/A		
(p4) Poor and insufficient infrastructure to deal with urban waste	N/A		
(p5) Other (specify: _____ _____)	N/A		
ix. Release of airborne pollutants leading to			
(q1) Contamination of vegetation/ crops and soil	N/A	<i>Check (X) only those that apply</i>	
(q2) Contamination of surface and ground water resources:	N/A		
(q3) Other (specify: _____ _____)	N/A		
x. Disturbance of the water cycle leading to			
(w1) Lower infiltration rates / increased surface runoff	N/A		
(w2) Other (specify: _____ _____)	N/A		
xi. Over-abstraction / excessive withdrawal of water			

	(o1) Irrigation	N/A	Check (X) only those that apply	
	(o2) Industrial use	N/A		
	(o3) Domestic use	N/A		
	(o4) Mining activities	N/A		
	(o5) Decreasing water use efficiency	N/A		
	(o6) Other (specify: _____ _____)	N/A		
	xii. Natural causes <i>xii. Causas naturales</i>			Cruzada con METT
	(n1) Change in temperature <i>(n1) Cambio de temperatura</i>	X	Check (X) only those that apply	Temperaturas extremas en un nivel principalmente bajo en las ANP
	(n2) Change of seasonal rainfall <i>(n2) Cambio de las precipitaciones estacionales</i>	X		A nivel bajo a medio
	(n3) Heavy/extreme rainfall (intensity and amounts) <i>(n3) Precipitaciones intensas / extremas (intensidad y cantidades)</i>	X		A nivel bajo a medio
	(n4) Windstorms / dust storms	N/A		
	(n5) Floods	X		CENEPRED previene inundaciones en Ucayali
	(n6) Droughts <i>(n6) Sequias</i>	X		A un nivel bajo
	(n7) Topography <i>(n7) topografia</i>	X		CENEPRED previene movimientos de masa en zonas Pasco, Junin, Huanuco
	(n8) Other (specify: _____ _____)	N/A		
3. d.	What are the indirect drivers/causes of land degradation? Indicate (X) only those that apply <i>¿Cuáles son los factores / causas indirectos de la degradación de la tierra? Indique (X) solamente aquellos que se aplican</i>			
	i. Population pressure <i>i. Presión de la población</i>	X	Check (X)	x

	ii. Consumption pattern and individual demand <i>ii. Patrón de consumo y demanda individual</i>	X	<i>only those that apply</i>	Relacionada con i.
	iii. Land Tenure <i>iii. Tenencia de la tierra</i>	X		
	iv. Poverty <i>iv. Pobreza</i>	X		
	v. Labour availability	X		
	vi. Inputs and infrastructure	X		
	vii. Education, awareness raising and access to knowledge and support services and loss of knowledge <i>vii. Educación, sensibilización y acceso al conocimiento y servicios de apoyo y pérdida de conocimientos</i>	X		
	viii. War and conflict	N/A		
	ix. Governance, institutions and politics <i>ix. Gobernanza, instituciones y política</i>	X		
	x. Other (specify: la pérdida de _____ la cosmovisión indígena y el acceso al mercado _____)	X		
4. What are the effects of land degradation on ecosystem services? Please refer to the guidelines for description of the impacts. Select all that apply and then use rating provided below to indicate nature of the impact. <i>4. ¿Cuáles son los efectos de la degradación de la tierra en los servicios de los ecosistemas? Consulte las directrices para la descripción de los impactos. Seleccione todo lo que corresponda y luego use la calificación proporcionada a continuación para indicar la naturaleza del impacto.</i>				
1: High negative effect: land degradation contributes negatively (more than 50%) to changes in ES <i>1. Alto efecto negativo: la degradación de la tierra contribuye negativamente (más del 50%) a los cambios en Ssee</i> 2: Negative effect: land degradation contributes negatively (10-50%) to changes in ES <i>2. Efecto negativo: la degradación de la tierra contribuye negativamente (10-50%) a los cambios en ssee</i> 3: Little or no effect: contribution of land degradation to changes in ES is modest or negligible (0-10%) <i>3. Poco o ningún efecto: la contribución de la degradación de la tierra a los cambios en ssee es modesta o insignificante (0-10%)</i> 4: Positive effect: land degradation contributes positively (10-50%) to the changes in ES <i>4. Efecto positivo: la degradación de la tierra contribuye positivamente (10-50%) a los cambios en ssee</i> 5: High positive effect: land degradation contributes positively (more than				

50%) to changes in ES. <i>5. Alto efecto positivo: la degradación de la tierra contribuye positivamente (más del 50%) a los cambios en ssee.</i>			
a. Productive services <i>a. servicios productivos</i>			Identificados desde la visión sociocultural
(P1) Production (of animal / plant quantity and quality including biomass for energy) and risk <i>Producción (de cantidad y calidad de animales / plantas, incluida la biomasa para la energía) y de riesgo</i>	2	Rating	2
(P2) Clean water supply for human, animal and plant consumption <i>Abastecimiento de agua limpia para consumo humano, animal y vegetal</i>	2		2
(P3) Land availability (area of land for production per person) <i>Disponibilidad de tierras (superficie de producción por persona)</i>	2		2
(P4) Other (specify: _____ _____)			
b. Water services <i>b. Servicios de agua</i>			
(E1) Regulation of excessive water such as excessive rains, storms, floods <i>(E1) Regulación del exceso de agua tal como lluvias excesivas, tormentas, inundaciones</i>	2	Rating	2
(E2) Regulation of scarce water and its availability <i>(E2) Regulación de la escasez de agua y su disponibilidad</i>	2		2
c. Soil services <i>c. servicios de suelo</i>			

	(E3) Organic matter status <i>(E3) Estado de materia orgánica</i>	1	Rating	1, dado que si se secaa el bosque se pierde la materia
	(E4) Soil cover <i>(E4) Cubierta del suelo</i>	1		1, similar al anterior
	(E5) Soil structure surface and subsoil affecting infiltration, water and nutrient holding capacity <i>(E5) Superficie del suelo y subsuelo que afectan la infiltración, el agua y la capacidad de retención de nutrientes</i>	2		
	(E6) Nutrient cycle (N, P, K) and the carbon cycle © <i>(E6) Ciclo de nutrientes (N, P, K) y ciclo de carbono (C)</i>	2		
	(E7) Soil formation (including wind-deposited soils) <i>(E7) La formación del suelo (incluyendo los suelos depositados por el viento)</i>			
d. Biodiversity				
	(E8) Biodiversity (specify: advance of agricultural frontier into ecosystems of high conservation priority) <i>(E8) Biodiversidad (especificar: avance de la frontera agrícola en ecosistemas de alta prioridad de conservación)</i>	2	Rating	2
e. Climate services				
	(E9) Greenhouse gas emission (CO2, methane) <i>(E9) Emisión de gases de efecto invernadero (CO2, metano)</i>	2	Rating	2
	(E10) (micro)-climate (wind, shade, temperature, humidity) <i>(E10) (micro) -clima (viento, sombra, temperatura, humedad)</i>	2		2
	(E11) Others (specify)			
f. Socio-cultural services / human well-being and indicators <i>f. Servicios socio-culturales / bienestar humano e indicadores</i>				
	(S1) Spiritual, aesthetic, cultural landscape and heritage values, recreation and tourism, <i>(S1) Los valores espirituales, estéticos, culturales y patrimoniales, la recreación y el turismo,</i>	2	Rating	2

	(S2) Education and knowledge (including indigenous knowledge) <i>(S2) Educación y conocimiento (incluido el conocimiento indígena)</i>	2		2
	(S3) Conflict resolution			
	(S4) Food & livelihood security and poverty <i>(S4) Seguridad alimentaria y de subsistencia y pobreza</i>	2		2
	(S5) Health			
	(S6) Net income <i>(S6) Utilidad neta</i>	2		2
	(S7) Protection / damage of private and public infrastructure <i>(S7) Protección / daños de la infraestructura pública y privada</i>	2		2
	(S8) Marketing opportunities			
	(S9) Others (specify)			
5. Measurable global environmental benefits in the project target area 5. Beneficios medioambientales globales medibles en el área objetivo del proyecto				
a. Land cover <i>a. cubierta del suelo</i>				
	i. Vegetative cover <i>i. cubierta vegetal</i>	14,535	Hectares	Información ajustada como LB <u>Dato original:</u> 16,269ha
	ii. Biomass - Net Primary Productivity (NPP)			
	iii. Tree density			
b. Avoided emissions <i>B. Emisiones evitadas</i>				
	i. Carbon stocks	1,350,366	Tons/Hectare	Información ajustada como LB <u>Dato original:</u> 4'967,677
	ii. Other GHG gases	N/A	Tons CO2 e/ Ha	
c. Carbon sequestration <i>c. secuestro de carbono</i>				
	i. Above ground biomass <i>i. Biomasa sobre el suelo</i>	88.46	Tons CO2 e/ Ha	factor para cobertura(por tipo)*superficie de los paisajes - Patricia H

ii. Soil Carbon ii. Carbono del suelo	306.07	Tons CO2 e/ Ha	No reliable data available
d. Biodiversity conservation			
i. Ecosystem status e.g. Biodiversity intactness index; sustained systems diversity	N/A	Index	
ii. Habitat protected ii. <i>Habitat protegido</i>	14,535	Hectares	Información ajustada como LB <u>Dato original:</u> 16,269ha
iii. Conservation status of target species	0	Percent Change	
e. Surface and groundwater resources			
i. Improved irrigation flow -land area	N/A	Hectares	
ii. Improved/increased water availability - land area	N/A	Hectares	
6. Development benefits in the project target area 6. Beneficios para el desarrollo en el área del proyecto			
a. Productivity of crops (main crop only) A. <i>Productividad de los cultivos (cultivo principal solamente)</i>	No reliable data available (<i>no hay datos fiables disponibles</i>)	Tons/Hectare	Los beneficios se determinan una vez implementados los sistemas productivos
b. Livestock productivity	N/A	Number or Value	
c. Average annual income from crop and livestock production C. <i>Ingresos anuales medios de la producción agrícola y ganadera</i>	No reliable data available	US\$	
d. Average annual household income from forest and tree products - \$\$ value	N/A	US\$	



PART II – PROJECT OUTCOMES AND ADAPTIVE MANAGEMENT

1. Outcome Monitoring			Comentarios 2017	
LDFA Objectives and Outcomes	Indicators and Measures		Notes/Units	
LD1 – Ecosystem services in production landscapes (agriculture, rangeland)			-	
i. An enhanced enabling environment within the agricultural sector	Agriculture Policy		Score - See "Score Guide" Tab	
	Agricultural policies incorporating smallholder and community tenure security		Number	
	Land tenure security		Score - See "Score Guide" Tab	
ii. Improved agricultural management	Sustained agricultural productivity		Score - See "Score Guide" Tab	
	Agriculture policies incorporating smallholder and community tenure security		Number	
	Community vulnerability		Score - See	

			"Score Guide" Tab	
iii. Sustained flow of services in agro-ecosystems	Land area of production systems with increased vegetation cover		Hectares	
	Land area under diversified production		Hectares	
iv. Increased investments in SLM	1. Direct payments or PES schemes		US\$	
	2. Small credit schemes		US\$	
	3. Voluntary carbon market		US\$	
	4. Eco-labeling, certification schemes		US\$	
	4. Eco-labeling, certification schemes			
<u>LD2 – Ecosystem services in forest landscapes</u>			-	
i. An enhanced enabling environment within the forest sector in dryland dominated countries	Forestry Policy		Score - See "Score Guide" Tab	
	Forestry policies incorporating smallholder and community tenure security		Number	
ii. Improved forest management in drylands	Provide total area under SFM by forest ownership			
	1. Community		Hectares	
	2. Private		Hectares	
	3. Government		Hectares	
	Provide total spatial coverage of SFM practices and technologies and check		Hectares	

	(X) on all that apply in the list below			
	1. Best Management Practices/Reduced Impact Logging		Check (X) only those that apply	
	2. Biodiversity conservation			
	3. Forest protection			
	4. Management planning and multiscale land-use planning			
	5. Participatory forestry			
	6. Sustained timber and NTFP production			
iii. Sustained flow of services in forest ecosystems in drylands	Forested area		Hectares	
	Forest cover in project area (%)		Percent	
	Standing volume / hectare forested area		M ³ /Hectare	
iv. Increased investments in SFM	1. Direct payments or PES schemes		US\$	
	2. Small credit schemes		US\$	
	3. Voluntary carbon market		US\$	
	4. Eco-labeling, certification schemes		US\$	
LD3 – SLM in wider landscapes (integrated management)			-	
i. Enhanced cross-sector enabling environment for integrated landscape management	Framework strengthening INRM	4	Score - See "Score Guide" Tab	4

Entorno habilitador multisectorial mejorado para la gestión integrada del paisaje	Integrated land management plans	Las 6 regiones de los ámbitos del proyecto cuentan con PDRC; pero no incluyen la perspectiva de resiliencia al CC, ni están articulados entre los tres niveles de gobierno	Number	Actualmente se está trabajando con SERNANP y CEPLAN la actualización de los Planes de Desarrollo Local Concertado (PDLC) y Planes Estratégicos Institucionales (PEI) de: Región Pasco en la provincia Oxapampa y sus distritos: Villa Rica, Palcazú, Puerto Bermudez y Huancabamba Región Cusco - Provincia La Convención, distrito Megantoni es otro proceso que se ha apoyado técnicamente en la revisión del PDLC, como SERNANP y en apoyo a la jefatura del SN Megantoni
	Capacity strengthening	3	Score - See "Score Guide" Tab	Con apoyo del proyecto se han realizado eventos de capacitación dirigido a funcionarios municipales involucrados en los procesos de actualización PDLC y PEI, con instituciones sectoriales: CEPLAN, MINCU, SERNANP a fin de abordar en dichos planes cuestiones interculturales, importancia de los servicios ecosistémicos, género e interculturalidad, cambio climático, importancia de las ANP en la gestión territorial, nuestro marco de planificación territorial
ii. Integrated landscape management practices adopted by local communities Prácticas integradas de gestión del paisaje adoptadas por las comunidades locales	Spatial coverage of integrated natural resource management practices in wider landscapes Cobertura espacial de prácticas integradas de gestión de recursos naturales en paisajes más amplios	20,685 (current area of agroforestry and community-based forest management in buffer zones) To define area of community-based forest management	Hectares	La cobertura donde se realizarán prácticas de gestión de recursos, involucra por un lado la gestión de sistemas agroforestales y los productos no maderables, definidos en ámbitos comunales de las ANP

	Indicate number of INRM tools and methodologies introduced and list at most three below	0	Number	
			List	
iii. Increased investments in integrated landscape management Aumento de las inversiones en gestión integrada del paisaje	1. Direct payments or PES schemes	7,650,555	US\$	Actualmente no está considerado algún esquema de PSA. Desde la creación de nuevas modalidades de áreas de conservación, se están identificando las fuentes de sostenibilidad financiera para la gestión de cada una de ellas; en ese sentido, se ha identificado el Mecanismos de Retribución por Servicios Ecosistémicos (MERESE) como una oportunidad en Cusco.
	2. Small credit schemes		US\$	
	3. Voluntary carbon market		US\$	
	4. Eco-labeling, certification schemes		US\$	
LD4 – Adaptive management and SLM learning				
i. Increased capacities of countries to fulfill obligations in accordance with the provisions provided in the UNCCD.	Will the project contribute to UNCCD reporting by country? Mark X Yes No X			
	Select the UNCCD 10-year Strategy Objective(s) to be directly addressed by project and describe nature of contribution:			

<p>i. <i>Aumento de la capacidad de los países para cumplir sus obligaciones de conformidad con las disposiciones previstas en UNCCD</i></p>	<p><i>SO1 To improve the living conditions of affected communities:</i> The project will generate significant and sustainable benefits for local people, in a win-win situation. The sustainability and stability of the target landscapes are to a large degree dependent on the stability of their existing local inhabitants, and the sustainability of their livelihood support systems. A large proportion of the stakeholders in the target areas are indigenous people, from a range of ethnic groups. Over most of the area, indigenous peoples have confirmed de jure rights over the territories which they have traditionally occupied and managed; in practice, however, their lands are subject to widespread encroachment from outside actors, principally colonist farmers of a range of scales and types. The promotion by the project of sustainable, climate-resilient production systems , within a framework of landscape-wide planning and capacity development will help these indigenous peoples to assert their occupancy of their traditional lands; at the same time, they will generate concrete economic benefits from them, which will constitute a social benefit in its own right but will also help further to motivate them to manage and protect their forests and other natural resources, contributing in turn to their sociocultural coherence and stability.</p>	<p>SO1 Para mejorar las condiciones de vida de las comunidades afectadas: El proyecto viene promoviendo beneficios para la población local, cabe mencionar que en el ámbito de intervención se encuentran 19 diferentes pueblos indígenas, 356 comunidades; todo esto a través de algunas estrategias que contribuyen a la asegurar la sostenibilidad de sus medios de vida como:</p> <ul style="list-style-type: none"> -asegurar espacios para la conservación a través de la creación de una concesión comunal en Yurúa, en que las comunidades se han conformado en una asociación de conservación y solicitan al Estado peruano su creación y administración, figura única hasta la fecha en el país; -promoción de sistemas productivos de café y cacao, gestión de sistemas agroforestales y aprovechamiento de productos no maderables, a través de la incorporación de prácticas que contribuyen a la resiliencia, sean económicamente viables, en un entorno cultural diverso y en lugares con poca accesibilidad; -fortalecimiento del marco de planificación de paisaje, con la actualización de PDLC, PEI en la región Pasco a nivel provincia y distritos, en que la población es principalmente indígena.
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	<p><i>SO2 To improve the conditions of affected ecosystems:</i> The project will generate major benefits for the land degradation focal area through the promotion of sustainable, resilient production systems, such as sustainable ranching practices in high altitude camelid pastures, tree-rich agroforestry systems for annual crops and shade coffee. These benefits will consist of i) enhanced ecosystem functionality, including sustained hydrological and nutrient cycles and natural pest/control balances (for example in the case of coffee, requiring reduced inputs of polluting agricultural chemicals) and ii) enhanced ecosystem services, such as increased water infiltration due to the presence of the tree component, reduced rainfall impact and erosion of soils due to increased soil cover, and increased carbon sequestration (estimated at 253,000tC) in the large amounts of woody matter and healthy soils present in agroforestry systems.</p>	<p>SO2 Para mejorar las condiciones de los ecosistemas afectados: Las estrategias que contribuirán a generar importantes beneficios para el área focal de degradación de tierras son la promoción de sistemas de producción de café y cacao y al rededor de 2,000 ha adicionales de sistemas agroforestales, con lo cual se generarán un incremento neto total de sumideros de carbono de 176,920tC y una reducción neta total de la erosión de 208,000t A la fecha se han identificado los ámbitos asociados a las ANP en que se implementaran dichos sistemas, y las asociaciones de productores, federaciones y ECA.</p>
	<p><i>SO3 To generate global benefits through effective implementation of the UNCCD:</i> The project will focus in particular on improving the resilience of BD to the effects of climate change. For example, PAs will be spatially configured and managed in order to allow ecosystems and species to respond to the effects of the altitudinal movement of isotherms due to CC, by establishing and managing zones into which ecosystems can migrate, and connectivity zones to compensate the fragmentation of mountain-top ecosystems. The strengthening of PA management and enforcement will help to ensure the existence of core refugia for vulnerable species to help them survive changes in conditions in the broader landscape due to climate change; at the same time investments in improving the BD-friendliness of the broader landscape will help species to adapt to changes in conditions in natural ecosystems, migrating between the remnants as necessary.</p>	<p>SO3 Para generar beneficios globales a través de la implementación efectiva de la UNCCD: Se viene promoviendo la capacidad de recuperación de la BD ante los efectos del cambio climático, a través de estrategias como la creación de espacios de conservación, mediante diferentes modalidades. A la fecha en las regiones: Cusco, Ucayali, Huanuco y Pasco en alianza con tres socios estrategicos locales y los respectivos GORE . 10 áreas de conservación (AC) en proceso de creación (aprox 300.000 ha), y fortalecimiento de más ACP/CC (aprox. 35.000 ha)</p>

	<p><i>SO4 To mobilize resources to support implementation of the Convention through building effective partnerships between national and international actors</i></p>	
	<p>Select Operational Objective(s) from the UNCCD 10-year Strategy to be directly supported by the project and describe nature of support.</p>	
	<p><i>1. Advocacy, awareness raising and education</i></p> <p><i>Incidencia, concienciación y educación</i></p>	<p>The project will raise awareness among national stakeholders regarding the integrated, inter-institutional and landscape-wide approach that is proposed, and assist them to work together on its implementation, and to develop and apply national, regional and local guidelines in this regard. This will result in concrete benefits in terms of the nature and magnitude of the impacts generated by these institutions at field level. This awareness raising is of fundamental importance given the novelty of the approach proposed, which contrasts with the sector-based and vertical approaches that have tended to dominate to date. The targets of this awareness-raising will include actors in the environmental sector (MINAM and its dependencies such as the Directorates of Land Use Planning, Climate Change and Biodiversity, and as well as the staff of conservation projects under its responsibility, and national</p> <p>El proyecto viene contribuyendo con los gobiernos regionales, locales e instituciones sectoriales en generar conciencia sobre el enfoque de gestión territorial integral o de paisaje; a través de la actualización de los Planes de desarrollo local concertado, desde una nueva perspectiva de la institución competente como es el CEPLAN. Esta incorpora enfoques de interculturalidad y género, tomando en cuenta los efectos del cambio climático y la existencia de las ANP como activos del desarrollo local.</p> <p>El proyecto ha participado en espacios nacionales e internacionales, compartiendo información generada para la mejor toma de decisiones en análisis de riesgo al CC y de desastres socioambientales y con ello se espera una mejor gestión intersectorial, con beneficio en la naturaleza y las poblaciones locales.</p> <p>La sensibilización ha incluido sectores como MINAM y sus dependencias tales como las Direcciones de Planificación del Uso de la Tierra (DGOTA), Cambio Climático (DGCC) y Biodiversidad (DGDB), MINCU, SERNANP, PNCB, SERFOR, CEPLAN, los gobiernos locales y regionales (dadas sus responsabilidades para la planificación espacial, sectorial y</p>

		and international environmental NGOs); production sector institutions (e.g. MINAGRI and rural development NGOs), and local and regional governments (given their responsibilities for spatial, sector and development planning, and for environmental management and conservation).		de desarrollo, y para la gestión y conservación ambiental); ONG medioambientales y de desarrollo rural.
	<i>2. Policy framework</i>			
	<i>3. Science, technology and knowledge</i>			

	<p><i>4. Capacity building</i></p> <p><i>Construcción de capacidades</i></p>	<p>The project will support the development of capacities and mechanisms for making information, on the biological importance, fragility and productive potential of ecosystems, now and under a range of CC scenarios, easily available in useful formats (including maps, databases portals and publications), through information management systems and Geographical Information Systems. The project will strengthen existing environmental risk warning systems, to enable them to adapt effectively to changes in the magnitudes, nature and spatial configuration of events such as floods and fires, as a result of climate change. The project will work strengthen the capacities of local communities and their participation mechanisms (including PA management committees, ECAs, and indigenous organizations and federations), enabling them to analyse in an objective and informed manner the proposals developed through the project, to channel the interests and opinions of local stakeholders, and to develop</p>	<p>El proyecto viene apoyando el desarrollo de capacidades y mecanismos para generar información, sobre la importancia biológica, conectividad, fragilidad y potencial productivo de los ecosistemas, bajo escenarios de CC, fácilmente disponibles en formatos útiles (disponible en mapas, base de datos e incluso en una app del proyecto*), a través de sistemas de gestión de la información y sistemas de información geográfica. Varias instituciones están involucradas como el SERNANP Y MINAM.</p> <p>El proyecto fortalecerá los sistemas existentes de alerta de riesgos ambientales con el SERNANP para permitir a las ANP adaptarse de manera efectiva a los cambios en las magnitudes, la naturaleza y la configuración espacial de eventos como huaycos, inundaciones e incendios, como resultado del cambio climático.</p> <p>El proyecto viene trabajando el fortalecimiento de las comunidades locales y sus mecanismos de participación para la toma de decisiones vinculadas al uso de recursos y territorio (incluyendo comités de gestión de ANP, ECA y organizaciones y federaciones indígenas).</p> <p>El fortalecimiento de capacidades está dirigido también a funcionarios públicos quienes tienen bajo su cargo la gestión del territorio. En ese sentido, se han realizado eventos de capacitación con gobiernos regionales, locales, instituciones</p>
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		and present “counter proposals” as appropriate.	sectoriales, instituciones privadas, ONG, organizaciones indígenas, otros.
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	<p><i>5. Financing and technology transfer</i></p> <p><i>Financiamiento y transferencia de tecnología</i></p>	<p>The project will support the development of integrated training and extension modules for producers and producer organizations, focusing on BD-friendly and CC-resilient production practices such as those presented above and on environmental considerations in more general terms. These modules will be tailored to the different sociocultural and productive circumstances of colonists and indigenous people. Rather than focusing solely on vertical “technology transfer”, the project will support the development of capacities among the producers themselves for technology generation (including participatory experimentation, innovation and validation, based on the farmer field school model originally developed by the FAO), and for horizontal farmer-to-farmer technology communication.</p>	<p>El proyecto apoyará a través del componente productivo, la extensión, el desarrollo y transferencia de capacidades tecnológicas para productores y organizaciones de productores, centrándose en prácticas resilientes al CC. Estos módulos se implementarán a través de agencias de extensión rural, las cuales están siendo identificadas.</p> <p>En lugar de centrarse exclusivamente en la transferencia de tecnología vertical, el proyecto apoyará el desarrollo de capacidades entre los propios productores para la generación de tecnología (incluida la experimentación participativa, la innovación y la validación, basada por ejemplo en el modelo de escuela de campo (ECA) para agricultores desarrollado originalmente por la FAO, y aprender haciendo). para la comunicación de tecnología horizontal de agricultor a agricultor.</p>								
<p>ii. Improved GEF portfolio monitoring using new and adapted tools and methodologies</p> <p><i>ii. Mejora del monitoreo del portafolio del FMAM utilizando</i></p>	<p>Indicate contributions to be made by the project on the following:</p> <table border="1" data-bbox="585 1203 1335 1386"> <tr> <td data-bbox="585 1203 945 1268">1. Knowledge management websites</td> <td data-bbox="945 1203 1220 1268"></td> <td data-bbox="1220 1203 1335 1268">Number</td> </tr> <tr> <td data-bbox="585 1268 945 1333">2. Exchange workshops</td> <td data-bbox="945 1268 1220 1333"></td> <td data-bbox="1220 1268 1335 1333">Number</td> </tr> <tr> <td data-bbox="585 1333 945 1386">3. Knowledge management networks</td> <td data-bbox="945 1333 1220 1386"></td> <td data-bbox="1220 1333 1335 1386">Number</td> </tr> </table>	1. Knowledge management websites		Number	2. Exchange workshops		Number	3. Knowledge management networks		Number	
1. Knowledge management websites		Number									
2. Exchange workshops		Number									
3. Knowledge management networks		Number									

<i>herramientas y metodologías nuevas y adaptadas</i>	4. Monitoring tools/systems established for								
	<i>a) Land Degradation Trends</i>					Number			
	<i>b) Environment and Development Benefits</i>					Number			
2. Co-financing from sectors									
i. Agriculture		US \$							
ii. Livestock		US \$							
iii. Forestry		US \$							
iv. Water		US \$							
v. Energy (hydropower)		US \$							
vi. Climate change mitigation (biofuel, bionergy, carbon offsets)	1,216,000	US \$	\$230,000 UNDP, from the project "Biodiversity Finance (BIOFIN)", \$210,000 from the UN-REDD project and UNDP \$96,900						
vii. Climate change adaptation	10,518,880	US \$	\$ 4,990,764 UNDP from the project "Integrated climate change management of communal reserves in the Amazon", \$910,000 UNDP from the project "Ecosystem based Adaptation in mountain ecosystems"						
3. Knowledge application									
a. Knowledge resources utilized from GEF-financed targeted research (describe)									
i. Data	N/A								
ii. Tools and Methodologies	N/A								

iii. Best Practices	N/A				
b. Knowledge resources contributed to focal area learning objectives (describe)					
i. Data	N/A				
ii. Tools and Methodologies	N/A				
iii. Best Practices	N/A				
4. Knowledge contribution as global public goods					
a. Knowledge resources and products (Describe and list under each category)					
i. Publications	Under Output 2.1, the project will support the development and implementation of information management systems and a communication strategy, which will include the production of relevant publications.				
ii. Tools and Methodologies	N/A				
iii. Best practice guidelines	N/A				
b. Knowledge dissemination (Describe)					
i. Websites	N/A				
ii. Workshops	N/A				
iii. Conferences and seminars	N/A				
iv. Networks	N/A				
5. SLM Learning					
<i>a. Describe how and what the project will contribute toward a framework and tools for linking the measurement of GEBs at project level to impacts across multiple scales.</i>					
The monitoring system of the project, featuring a diverse and complementary set of indicators, has the potential for portfolio-wide application.					

<p><i>b. Describe how the project will increase understanding of multiple benefits from integrated management of landscape mosaics, and mixed agricultural and forest ecosystems.</i></p>		
<p>The project's indicators cover a wide range of environmental benefits covering BD, LD and SFM. Under Output 2.1a, the project will support information management systems regarding the multiple environmental benefits generated from the integrated management of landscape mosaics, and will develop and implement a communication strategy to systematize and communicate these benefits among diverse stakeholders.</p>		



ool for Biodiversity Projects in GEF-3, GEF-4, and GEF-5

Objective 1: Catalyzing Sustainability of Protected Area Systems

SECTION I

Objective: To measure progress in achieving the impacts and outcomes established at the portfolio level under the biodiversity focal area.

Rationale: Project data from the GEF-3, GEF-4, and GEF-5 project cohort will be aggregated for analysis of directional trends and patterns at a portfolio-wide level to inform the development of future GEF strategies and to report to GEF Council on portfolio-level performance in the biodiversity focal area.

Structure of Tracking Tool: Each tracking tool requests background and coverage information on the project and specific information required to track portfolio level indicators in the GEF-3, GEF-4, and GEF-5 strategy.

Guidance in Applying GEF Tracking Tools: GEF tracking tools are applied three times: at CEO endorsement, at project mid-term, and at project completion.

Submission: The finalized tracking tool will be cleared by the GEF Agencies as being correctly completed.

Important: Please read the Guidelines posted on the GEF website before entering your data

I. General Data	Please indicate your answer here	Notes
Project Title	Transforming Management of Protected Area/Landscape Complexes to Strengthen Ecosystem Resilience	
GEF Project ID	5050	
Agency Project ID	5152	
Implementing Agency	UNDP	
Project Type	FSP	FSP or MSP
Country	Peru	
Region	LCR	

Date of submission of the tracking tool	lunes, 21 de abril de 2014	Month DD, YYYY (e.g., May 12, 2010)
Name of reviewers completing tracking tool and completion date	Genaro Yarupaitán, et al. November 2013	Completion Date
Planned project duration	6	years
Actual project duration		years
Lead Project Executing Agency (ies)	MINAM	
Date of Council/CEO Approval		Month DD, YYYY (e.g., May 12, 2010)
GEF Grant (US\$)	8,991,434	
Cofinancing expected (US\$)	50,712,678	
II. Total Extent in hectares of protected areas targeted by the project by biome type	Please indicate your answer here	
Please use the following biomes provided below and place the coverage data within these biomes		
Terrestrial (insert total hectares for terrestrial coverage and then provide coverage for each of the terrestrial biomes below)		
Total hectares	5,966,203	ha
Tropical and subtropical moist broadleaf forests (tropical and subtropical, humid)	5'829,331.85	ha
Tropical and subtropical dry broadleaf forests (tropical and subtropical, semi-humid)	0	ha
Tropical and subtropical coniferous forests (tropical and subtropical, semi-humid)	0	ha
Temperate broadleaf and mixed forests (temperate, humid)	0	ha
Temperate coniferous forests (temperate, humid to semi-humid)	0	ha
Boreal forests/taiga (subarctic, humid)	0	ha
Tropical and subtropical grasslands, savannas, and shrublands (tropical and subtropical, semi-arid)	19,622	ha
Temperate grasslands, savannas, and shrublands (temperate, semi-arid)	0	ha

Flooded grasslands and savannas (temperate to tropical, fresh or brackish water inundated)	-	ha
Mangroves	0	ha
Montane grasslands and shrublands (alpine or montane climate)	24,466	ha
Tundra (Arctic)	0	ha
Mediterranean forests, woodlands, and scrub or Sclerophyll forests (temperate warm, semi-humid to semi-arid with winter rainfall)	0	ha
Deserts and xeric shrublands (temperate to tropical, arid)	0	ha
Mangrove (subtropical and tropical, salt water inundated)	0	ha
Freshwater (insert total hectares for freshwater coverage and then provide coverage for each of the freshwater biomes below)		
Total hectares		ha
Large lakes		ha
Large river deltas		ha
Polar freshwaters		ha
Montane freshwaters	1,653,034	ha
Temperate coastal rivers		ha
Temperate floodplain rivers and wetlands		ha
Temperate upland rivers		ha
Tropical and subtropical coastal rivers		ha
Tropical and subtropical floodplain rivers and wetlands	1,890,560	ha
Tropical and subtropical upland rivers	2,408,525	ha
Xeric freshwaters and endorheic basins		ha
Oceanic islands		ha
Marine (insert total hectares for marine and then distinguish coverage between each of the following zones)		
Total hectares	0	ha
Coral reefs	0	ha
Estuaries	0	ha

Ocean (beyond EEZ)	0	ha
III. Please complete the table below for the protected areas that are the target of the GEF intervention and add new sections for each protected area if the project extends beyond four Pas. Use NA for not applicable.	Please indicate your answer here	
1. Protected Area		
Name of Protected Area	Yanachaga-Chemillén	
Is this a new protected area?	0	Yes = 1, No = 0
Area in Hectares	122,000	100% Tropical and subtropical moist broadleaf forests (tropical and subtropical, humid)
Global designation or priority lists	Forms part of the Oxapampa-Ashaninka-Yanesha Biosphere Reserve	(E.g., Biosphere Reserve, World Heritage site, Ramsar site, WWF Global 2000, etc.)
Local Designation of Protected Area	National Park	(E.g, indigenous reserve, private reserve, etc.)
IUCN Category	2	1: Strict Nature Reserve/Wilderness Area: managed mainly for science or wilderness protection 2: National Park: managed mainly for ecosystem protection and recreation 3: Natural Monument: managed mainly for conservation of specific natural features 4: Habitat/Species Management Area: managed mainly for conservation through management intervention 5: Protected Landscape/Seascape: managed mainly for landscape/seascape protection

		and recreation 6: Managed Resource Protected Area: managed mainly for the sustainable use of natural ecosystems
2. Protected Area		
Name of Protected Area	Yanesha Communal Reserve	
Is this a new protected area?	0	Yes = 1, No = 0
Area in Hectares	34,745	100% Tropical and subtropical moist broadleaf forests (tropical and subtropical, humid)
Global designation or priority lists	Forms part of the Oxapampa-Ashaninka-Yanesha Biosphere Reserve	(E.g., Biosphere Reserve, World Heritage site, Ramsar site, WWF Global 2000, etc.)
Local Designation of Protected Area	Communal Reserve	(E.g, indigenous reserve, private reserve, etc.)
IUCN Category	6	1: Strict Nature Reserve/Wilderness Area: managed mainly for science or wilderness protection 2: National Park: managed mainly for ecosystem protection and recreation 3: Natural Monument: managed mainly for conservation of specific natural features 4: Habitat/Species

		<p>Management Area: managed mainly for conservation through management intervention</p> <p>5: Protected Landscape/Seascape: managed mainly for landscape/seascape protection and recreation</p> <p>6: Managed Resource Protected Area: managed mainly for the sustainable use of natural ecosystems</p>
3. Protected Area		
Name of Protected Area	San Matías-San Carlos	
Is this a new protected area?	0	Yes = 1, No = 0
Area in Hectares	145,818	100% Tropical and subtropical moist broadleaf forests (tropical and subtropical, humid)
Global designation or priority lists	Forms part of the Oxapampa-Ashaninka-Yanesha Biosphere Reserve	(E.g., Biosphere Reserve, World Heritage site, Ramsar site, WWF Global 2000, etc.)
Local Designation of Protected Area	Protection Forest	(E.g, indigenous reserve, private reserve, etc.)
IUCN Category	6	<p>1: Strict Nature Reserve/Wilderness Area: managed mainly for science or wilderness protection</p> <p>2: National Park: managed mainly for ecosystem protection and recreation</p> <p>3: Natural Monument: managed mainly for conservation of specific natural features</p> <p>4: Habitat/Species</p>

		<p>Management Area: managed mainly for conservation through management intervention</p> <p>5: Protected Landscape/Seascape: managed mainly for landscape/seascape protection and recreation</p> <p>6: Managed Resource Protected Area: managed mainly for the sustainable use of natural ecosystems</p>
4. Protected Area		
Name of Protected Area	El Sira	
Is this a new protected area?	0	Yes = 1, No = 0
Area in Hectares	616,413	100% Tropical and subtropical moist broadleaf forests (tropical and subtropical, humid)
Global designation or priority lists	Oxapampa-Ashaninka-Yanesha Biosphere Reserve	(E.g., Biosphere Reserve, World Heritage site, Ramsar site, WWF Global 2000, etc.)
Local Designation of Protected Area	Communal Reserve	(E.g, indigenous reserve, private reserve, etc.)
IUCN Category	6	<p>1: Strict Nature Reserve/Wilderness Area: managed mainly for science or wilderness protection</p> <p>2: National Park: managed mainly for ecosystem protection and recreation</p> <p>3: Natural Monument: managed mainly for conservation of specific natural features</p> <p>4: Habitat/Species Management Area: managed</p>

		mainly for conservation through management intervention 5: Protected Landscape/Seascape: managed mainly for landscape/seascape protection and recreation 6: Managed Resource Protected Area: managed mainly for the sustainable use of natural ecosystems
5. Protected Area		
Name of Protected Area	Manu National Park	
Is this a new protected area?	0	Yes = 1, No = 0
Area in Hectares	1,716,295	99% Tropical and subtropical moist broadleaf forests (tropical and subtropical, humid) 1% Tropical and subtropical grasslands, savannas, and shrublands (tropical and subtropical, semi-arid)
Global designation or priority lists	Forms part of the Manu Biosphere Reserve and the Vilcabamba-Amboró Conservation Corridor. World Heritage Site.	(E.g., Biosphere Reserve, World Heritage site, Ramsar site, WWF Global 2000, etc.)
Local Designation of Protected Area	National Park	(E.g, indigenous reserve, private reserve, etc.)

IUCN Category	2	<p>1: Strict Nature Reserve/Wilderness Area: managed mainly for science or wilderness protection</p> <p>2: National Park: managed mainly for ecosystem protection and recreation</p> <p>3: Natural Monument: managed mainly for conservation of specific natural features</p> <p>4: Habitat/Species Management Area: managed mainly for conservation through management intervention</p> <p>5: Protected Landscape/Seascape: managed mainly for landscape/seascape protection and recreation</p> <p>6: Managed Resource Protected Area: managed mainly for the sustainable use of natural ecosystems</p>
6. Protected Area		
Name of Protected Area	Alto Purús National Park	
Is this a new protected area?	0	Yes = 1, No = 0
Area in Hectares	2,510,694	100% Tropical and subtropical moist broadleaf forests (tropical and subtropical, humid)
Global designation or priority lists	Forms part of the Vilcabamba-Amboró Conservation Corridor	(E.g., Biosphere Reserve, World Heritage site, Ramsar site, WWF Global 2000, etc.)
Local Designation of Protected Area	National Park	(E.g, indigenous reserve, private reserve, etc.)

IUCN Category	2	1: Strict Nature Reserve/Wilderness Area: managed mainly for science or wilderness protection
		2: National Park: managed mainly for ecosystem protection and recreation
		3: Natural Monument: managed mainly for conservation of specific natural features
		4: Habitat/Species Management Area: managed mainly for conservation through management intervention
		5: Protected Landscape/Seascape: managed mainly for landscape/seascape protection and recreation
		6: Managed Resource Protected Area: managed mainly for the sustainable use of natural ecosystems
7. Protected Area		
Name of Protected Area	Purús Communal Reserve	
Is this a new protected area?	0	Yes = 1, No = 0
Area in Hectares	202,033	100% Tropical and subtropical moist broadleaf forests (tropical and subtropical, humid)
Global designation or priority lists	Forms part of the Vilcabamba-Amboró Conservation Corridor	(E.g., Biosphere Reserve, World Heritage site, Ramsar site, WWF Global 2000, etc.)
Local Designation of Protected Area	Communal Reserve	(E.g, indigenous reserve, private reserve, etc.)

IUCN Category	6	1: Strict Nature Reserve/Wilderness Area: managed mainly for science or wilderness protection
		2: National Park: managed mainly for ecosystem protection and recreation
		3: Natural Monument: managed mainly for conservation of specific natural features
		4: Habitat/Species Management Area: managed mainly for conservation through management intervention
		5: Protected Landscape/Seascape: managed mainly for landscape/seascape protection and recreation
		6: Managed Resource Protected Area: managed mainly for the sustainable use of natural ecosystems
8. Protected Area		
Name of Protected Area	Amarakaeri	
Is this a new protected area?	0	Yes = 1, No = 0
Area in Hectares	402,356	100% Tropical and subtropical moist broadleaf forests (tropical and subtropical, humid)
Global designation or priority lists	Forms part of the Vilcabamba-Amboró Conservation Corridor	(E.g., Biosphere Reserve, World Heritage site, Ramsar site, WWF Global 2000, etc.)
Local Designation of Protected Area	Communal Reserve	(E.g, indigenous reserve, private reserve, etc.)

IUCN Category	6	1: Strict Nature Reserve/Wilderness Area: managed mainly for science or wilderness protection
		2: National Park: managed mainly for ecosystem protection and recreation
		3: Natural Monument: managed mainly for conservation of specific natural features
		4: Habitat/Species Management Area: managed mainly for conservation through management intervention
		5: Protected Landscape/Seascape: managed mainly for landscape/seascape protection and recreation
		6: Managed Resource Protected Area: managed mainly for the sustainable use of natural ecosystems
9. Protected Area		
Name of Protected Area	Megantoni	
Is this a new protected area?	0	Yes = 1, No = 0
Area in Hectares	215,869	100% Tropical and subtropical moist broadleaf forests (tropical and subtropical, humid)
Global designation or priority lists	Forms part of the Vilcabamba-Amboró Conservation Corridor	(E.g., Biosphere Reserve, World Heritage site, Ramsar site, WWF Global 2000, etc.)
Local Designation of Protected Area	National Sanctuary	(E.g, indigenous reserve, private reserve, etc.)

IUCN Category	3	1: Strict Nature Reserve/Wilderness Area: managed mainly for science or wilderness protection
		2: National Park: managed mainly for ecosystem protection and recreation
		3: Natural Monument: managed mainly for conservation of specific natural features
		4: Habitat/Species Management Area: managed mainly for conservation through management intervention
		5: Protected Landscape/Seascape: managed mainly for landscape/seascape protection and recreation
		6: Managed Resource Protected Area: managed mainly for the sustainable use of natural ecosystems



ool for Biodiversity Projects in GEF-3, GEF-4, and GEF-5

Objective 1: Catalyzing Sustainability of Protected Area Systems

SECTION II: Management Effectiveness Tracking Tool for Protected Areas

Note: Please complete the management effectiveness tracking tool for **EACH** protected area that is the target of the GEF intervention and create a new worksheet for each.

Structure and content of the Tracking Tool - Objective 1. Section II:

The Tracking Tool has two main sections: datasheets and assessment form. Both sections should be completed.

1. Datasheets: the data sheet comprises of two separate sections:

- ü Data sheet 1: records details of the assessment and some basic information about the site, such as name, size and location etc.

- ü Data sheet 2: provides a generic list of threats which protected areas can face. On this data sheet the assessors are asked to identify threats and rank their impact on the protected area.

2. Assessment Form: the assessment is structured around 30 questions presented in table format which includes three columns for recording details of the assessment, all of which should be completed.

Important: Please read the Guidelines posted on the GEF website before entering your data

Data Sheet 1: Reporting Progress at Protected Area Sites	Please indicate your answer here	Notes
Name, affiliation and contact details for person responsible for completing the METT (email etc.)	Salomé Antezano, Jefa del Area santezano@sernanp.gob.pe	
Date assessment carried out	Jan 8, 2018	Month DD, YYYY (e.g., May 12, 2010)
Name of protected area	Yanachaga Chemillén National Park	

WDPA site code (these codes can be found on www.unep-wcmc.org/wdpa/)	-		
Designations(please choose 1-3)	3	1: National 2: IUCN Category 3: International (please complete lines 35-69 as necessary)	
Country	Perú		
Location of protected area (province and if possible map reference)	Región Pasco, Provincia Oxapampa		
Date of establishment	1,986		
Ownership details (please choose 1-4)	1	1: State 2: Private 3: Community 4: Other	
Management Authority	SERNANP		
Size of protected area (ha)	122,000		
Number of Permanent staff	19		
Number of Temporary staff	0		
Annual budget (US\$) for recurrent (operational) funds – excluding staff salary costs	62,305		
Annual budget (US\$) for project or other supplementary funds – excluding staff salary costs	N/A		
What are the main values for which the area is designated	Conserves montane hydrological systems, biodiversity in unaltered zones of wet pajonal (grassland), cloud forest, hills and terraces, dawrf forests and podocarp stands		
List the two primary protected area management objectives in below:			

Management objective 1	To conserve ecosystems with great diversity of flora and wildlife, some in threat of extinction such as the otter (<i>Pteronura brasiliensis</i>) and other vulnerable, indeterminate or rare species.		
Management objective 2	To contribute to the protection of basins located in the slopes of the Yanachaga Mountain, assuring soil stability and the quantity and quality of waters		
No. of people involved in completing assessment	2	La jefatura del ANP (2) y proyecto AR	
Including: (please choose 1-8)	8	1: PA manager 2: PA staff 3: Other PA agency staff 4: Donors 5: NGOs 6: External experts 7: Local community 8: Other	
Information on International Designations	Please indicate your answer here		
UNESCO World Heritage site (see: http://whc.unesco.org/en/list)			
Date Listed	0		

Site name	0		
Site area	0		
Geographical co-ordinates	0		
	0		
Criteria for designation	0	(i.e. criteria i to x)	
Statement of Outstanding Universal Value	0		
	0		
Ramsar site (see: http://ramsar.wetlands.org)	0		
Date Listed	0		
Site name	0		
Site area	0		
Geographical number	0		
Reason for Designation (see Ramsar Information Sheet)	0		
	0		
UNESCO Man and Biosphere Reserves (see: http://www.unesco.org/new/en/natural-sciences/environment/ecological-sciences/man-and-biosphere-programme/)			
Date Listed	2010		
Site name	Oxapampa-Ashaninka-Yanesha Biosphere Reserve		
Site area	1867379 ha	Total, Core, Buffer, and Transition	
Geographical co-ordinates	Long. 73°45'W - 76°15'W, Lat. 9°20'S - 11°05'S		
Criteria for designation	The Biosphere Reserve constitutes a very important conservation site due to the presence of indigenous cultures, sustainable crops and natural protected areas.		

Fulfilment of three functions of MAB	Yes	conservation, development and logistic support	
	0		
Please list other designations (i.e. ASEAN Heritage, Natura 2000) and any supporting information below	0		
	0	Name	
	0	Detail	
	0		
	0	Name	
	0	Detail	
	0		
	0	Name	
	0	Detail	
Data Sheet 2: Protected Areas Threats (please complete a Data Sheet of threats and assessment for each protected area of the project).			Notes
Please choose all relevant existing threats as either of high, medium or low significance. Threats ranked as of high significance are those which are seriously degrading values; medium are those threats having some negative impact and those characterised as low are threats which are present but not seriously impacting values or N/A where the threat is not present or not applicable in the protected area.			
1. Residential and commercial development within a protected area			
Threats from human settlements or other non-agricultural land uses with a substantial footprint			
1.1 Housing and settlement	1	0: N/A 1: Low 2: Medium 3: High	Asentamientos en Santa Barbara -
1.2 Commercial and industrial areas	1	0: N/A 1: Low 2: Medium 3: High	Piscigranja en Grapanazú

1.3 Tourism and recreation infrastructure	1	0: N/A 1: Low 2: Medium 3: High	Hay senderos y zonas de camping, refugios y señalética
2. Agriculture and aquaculture within a protected area			
Threats from farming and grazing as a result of agricultural expansion and intensification, including silviculture, mariculture and aquaculture			
2.1 Annual and perennial non-timber crop cultivation	1	0: N/A 1: Low 2: Medium 3: High	
2.1a Drug cultivation	0	0: N/A 1: Low 2: Medium 3: High	
2.2 Wood and pulp plantations	1	0: N/A 1: Low 2: Medium 3: High	Plantaciones forestales de pino en el sector de Purumayo UE
2.3 Livestock farming and grazing	1	0: N/A 1: Low 2: Medium 3: High	Con el proyecto Amazonía Resiliente se promoverá el desarrollo de sistemas productivos sostenibles con el objetivo de minimizar el cambio de uso de suelos en la zona de uso especial del ANP.
2.4 Marine and freshwater aquaculture	1	0: N/A 1: Low 2: Medium 3: High	Piscigranja en sector Grapanazú
3. Energy production and mining within a protected area			

Threats from production of non-biological resources			
3.1 Oil and gas drilling	0	0: N/A 1: Low 2: Medium 3: High	
3.2 Mining and quarrying	0	0: N/A 1: Low 2: Medium 3: High	
3.3 Energy generation, including from hydropower dams	0	0: N/A 1: Low 2: Medium 3: High	
4. Transportation and service corridors within a protected area			
Threats from long narrow transport corridors and the vehicles that use them including associated wildlife mortality			
4.1 Roads and railroads (include road-killed animals)	1	0: N/A 1: Low 2: Medium 3: High	Trocha Carrozable Cueva Blanca - Santa Bárbara, caminos de caza eventuales tunqui- Cajonpata, Krausse- Lobo.
4.2 Utility and service lines (e.g. electricity cables, telephone lines,)	0	0: N/A 1: Low 2: Medium 3: High	
4.3 Shipping lanes and canals	0	0: N/A 1: Low 2: Medium 3: High	

4.4 Flight paths	0	0: N/A 1: Low 2: Medium 3: High	
5. Biological resource use and harm within a protected area			
Threats from consumptive use of "wild" biological resources including both deliberate and unintentional harvesting effects; also persecution or control of specific species (note this includes hunting and killing of animals)			
5.1 Hunting, killing and collecting terrestrial animals (including killing of animals as a result of human/wildlife conflict)	1	0: N/A 1: Low 2: Medium 3: High	
5.2 Gathering terrestrial plants or plant products (non-timber)	0	0: N/A 1: Low 2: Medium 3: High	
5.3 Logging and wood harvesting	0	0: N/A 1: Low 2: Medium 3: High	
5.4 Fishing, killing and harvesting aquatic resources	1	0: N/A 1: Low 2: Medium 3: High	Pesca en algunos lugares identificados. En los rios cajonpata y cañon de Huancabamba
6. Human intrusions and disturbance within a protected area			
Threats from human activities that alter, destroy or disturb habitats and species associated with non-consumptive uses of biological resources			
6.1 Recreational activities and tourism	0	0: N/A 1: Low 2: Medium 3: High	

6.2 War, civil unrest and military exercises	0	0: N/A 1: Low 2: Medium 3: High	
6.3 Research, education and other work-related activities in protected areas	0	0: N/A 1: Low 2: Medium 3: High	
6.4 Activities of protected area managers (e.g. construction or vehicle use, artificial watering points and dams)	0	0: N/A 1: Low 2: Medium 3: High	
6.5 Deliberate vandalism, destructive activities or threats to protected area staff and visitors	0	0: N/A 1: Low 2: Medium 3: High	
7. Natural system modifications			
Threats from other actions that convert or degrade habitat or change the way the ecosystem functions			
7.1 Fire and fire suppression (including arson)	0	0: N/A 1: Low 2: Medium 3: High	
7.2 Dams, hydrological modification and water management/use	0	0: N/A 1: Low 2: Medium 3: High	
7.3a Increased fragmentation within protected area	0	0: N/A 1: Low 2: Medium 3: High	

7.3b Isolation from other natural habitat (e.g. deforestation, dams without effective aquatic wildlife passages)	0	0: N/A 1: Low 2: Medium 3: High	
7.3c Other 'edge effects' on park values	0	0: N/A 1: Low 2: Medium 3: High	
7.3d Loss of keystone species (e.g. top predators, pollinators etc)	0	0: N/A 1: Low 2: Medium 3: High	
8. Invasive and other problematic species and genes			
Threats from terrestrial and aquatic non-native and native plants, animals, pathogens/microbes or genetic materials that have or are predicted to have harmful effects on biodiversity following introduction, spread and/or increase			
8.1 Invasive non-native/alien plants (weeds)	0	0: N/A 1: Low 2: Medium 3: High	
8.1a Invasive non-native/alien animals	0	0: N/A 1: Low 2: Medium 3: High	
8.1b Pathogens (non-native or native but creating new/increased problems)	0	0: N/A 1: Low 2: Medium 3: High	
8.2 Introduced genetic material (e.g. genetically modified organisms)	0	0: N/A 1: Low 2: Medium 3: High	
9. Pollution entering or generated within protected area			

Threats from introduction of exotic and/or excess materials or energy from point and non-point sources		
9.1 Household sewage and urban waste water	0	0: N/A 1: Low 2: Medium 3: High
9.1a Sewage and waste water from protected area facilities (e.g. toilets, hotels etc)	0	0: N/A 1: Low 2: Medium 3: High
9.2 Industrial, mining and military effluents and discharges (e.g. poor water quality discharge from dams, e.g. unnatural temperatures, de-oxygenated, other pollution)	0	0: N/A 1: Low 2: Medium 3: High
9.3 Agricultural and forestry effluents (e.g. excess fertilizers or pesticides)	0	0: N/A 1: Low 2: Medium 3: High
9.4 Garbage and solid waste	0	0: N/A 1: Low 2: Medium 3: High
9.5 Air-borne pollutants	0	0: N/A 1: Low 2: Medium 3: High
9.6 Excess energy (e.g. heat pollution, lights etc)	0	0: N/A 1: Low 2: Medium 3: High
10. Geological events		
Geological events may be part of natural disturbance regimes in many ecosystems. But they can be a threat if a species or habitat is damaged and has lost its resilience and is vulnerable to disturbance. Management capacity to respond to some of these changes may be limited.		

10.1 Volcanoes	0	0: N/A 1: Low 2: Medium 3: High	
10.2 Earthquakes/Tsunamis	0	0: N/A 1: Low 2: Medium 3: High	Es un sinceramiento antes era 1
10.3 Avalanches/ Landslides	0	0: N/A 1: Low 2: Medium 3: High	
10.4 Erosion and siltation/ deposition (e.g. shoreline or riverbed changes)	0	0: N/A 1: Low 2: Medium 3: High	
11. Climate change and severe weather			
Threats from long-term climatic changes which may be linked to global warming and other severe climatic/weather events outside of the natural range of variation			
11.1 Habitat shifting and alteration	1	0: N/A 1: Low 2: Medium 3: High	
11.2 Droughts	1	0: N/A 1: Low 2: Medium 3: High	Ha disminuido la frecuencia de lluvias o se intensifica la estacion seca

11.3 Temperature extremes	1	0: N/A 1: Low 2: Medium 3: High	En el sector Santa Barbara, ecosistema de puna humeda
11.4 Storms and flooding	1	0: N/A 1: Low 2: Medium 3: High	hay tormentas, lluvias con vientos fuertes que ocasionan caída de árboles.
12. Specific cultural and social threats			
12.1 Loss of cultural links, traditional knowledge and/or management practices	0	0: N/A 1: Low 2: Medium 3: High	dentro del área no hay poblaciones indígenas, no aplicaría en amenaza
12.2 Natural deterioration of important cultural site values	0	0: N/A 1: Low 2: Medium 3: High	
12.3 Destruction of cultural heritage buildings, gardens, sites etc	0	0: N/A 1: Low 2: Medium 3: High	
Assessment Form			
Para el llenado, se siguieron las orientaciones del SERNANP, de acuerdo al Documento de Trabajo 25			

<p>1. Legal status: Does the protected area have legal status (or in the case of private reserves is covered by a covenant or similar)?</p>	<p>3</p>	<p>0: The protected area is not gazetted/covenanted 1: There is agreement that the protected area should be gazetted/covenanted but the process has not yet begun 2: The protected area is in the process of being gazetted/covenanted but the process is still incomplete (includes sites designated under international conventions, such as Ramsar, or local/traditional law such as community conserved areas, which do not yet have national legal status or covenant) 3: The protected area has been formally gazetted/covenanted</p>	
<p>Comments and Next Steps</p>	<p>Established through Supreme Decree N° 068-86-AG of 29 August 1986</p>		
<p>2. Protected area regulations: Are appropriate regulations in place to control land use and activities (e.g. hunting)?</p>	<p>3</p>	<p>0: There are no regulations for controlling land use and activities in the protected area 1: Some regulations for controlling land use and activities in the protected area exist but these are major weaknesses 2: Regulations for controlling land use and activities in the protected area exist but there are some weaknesses or gaps 3: Regulations for controlling inappropriate land use and activities in the protected area exist and provide an excellent basis for management</p>	

Comments and Next Steps	Law of Protected Natural Areas and its Regulation and PA Zoning RP N°226-2015-SERNANP, aprobacion PM (2015-2019) El padron de propietarios de la UE se encuentra en proceso de elaboración.		
3. Law Enforcement: Can staff (i.e. those with responsibility for managing the site) enforce protected area rules well enough?	2	<p>0: The staff have no effective capacity/resources to enforce protected area legislation and regulations</p> <p>1: There are major deficiencies in staff capacity/resources to enforce protected area legislation and regulations (e.g. lack of skills, no patrol budget, lack of institutional support)</p> <p>2: The staff have acceptable capacity/resources to enforce protected area legislation and regulations but some deficiencies remain</p> <p>3: The staff have excellent capacity/resources to enforce protected area legislation and regulations</p>	
Comments and Next Steps	<p>The Park Guards are responsible for ensuring compliance with PA regulations</p> <p>Se cuenta con el soporte técnico de la sede central.</p> <p>Temas a fortalecer: evaluación de instrumentos de gestión ambiental, procedimientos administrativo sancionador, primeros auxilios, manejo de riesgos y salvataje.</p>		
4. Protected area objectives: Is management undertaken according to agreed objectives?	3	<p>0: No firm objectives have been agreed for the protected area</p> <p>1: The protected area has agreed objectives, but is not managed according to these objectives</p> <p>2: The protected area has agreed objectives, but is only partially managed according to these</p>	

		objectives 3: The protected area has agreed objectives and is managed to meet these objectives	
Comments and Next Steps	Cumplimiento de obj PM (en base a cumplimiento de los indicadores PM) ambiental - 93.75 % No se realizó el monitoreo de presencia de anfibios en el ANP económico - 91.67% No se han otorgado derechos para el aprovechamiento del recurso paisaje, social - 100% Reporte de implementación PM de todo el año, y un reporte previo (semestral)		
5. Protected area design: Is the protected area the right size and shape to protect species, habitats, ecological processes and water catchments of key conservation concern?	3	0: Inadequacies in protected area design mean achieving the major objectives of the protected area is very difficult 1: Inadequacies in protected area design mean that achievement of major objectives is difficult but some mitigating actions are being taken (e.g. agreements with adjacent land owners for wildlife corridors or introduction of appropriate catchment management) 2: Protected area design is not significantly constraining achievement of objectives, but could be improved (e.g. with respect to larger scale ecological processes) 3: Protected area design helps achievement of objectives; it is appropriate for species and habitat conservation; and maintains ecological processes such as surface and groundwater flows at a	

		catchment scale, natural disturbance patterns etc	
Comments and Next Steps	Se ha iniciado un proceso de otras mecanismos de conservación , para contribuir a la conectividad entre las ANP del complejo Yanachaga y la RC El Sira, a fin de garantizar la viabilidad de especies de alto rango de distribución.		
6. Protected area boundary demarcation: Is the boundary known and demarcated?	2	<p>0: The boundary of the protected area is not known by the management authority or local residents/neighbouring land users</p> <p>1: The boundary of the protected area is known by the management authority but is not known by local residents/neighbouring land users</p> <p>2: The boundary of the protected area is known by both the management authority and local residents/neighbouring land users but is not appropriately demarcated</p> <p>3: The boundary of the protected area is known by the management authority and local residents/neighbouring land users and is appropriately demarcated</p>	

Comments and Next Steps	Se cuenta con el diagnostico para la demarcación física del límite del ANP. Se cuenta con dos hitos monumentados de tipo 2. Se encuentra en proceso la certificación de coordenadas de 16 puntos de infraestructura demarcatoria identificados en campo.		
7. Management plan: Is there a management plan and is it being implemented?	3	0: There is no management plan for the protected area 1: A management plan is being prepared or has been prepared but is not being implemented 2: A management plan exists but it is only being partially implemented because of funding constraints or other problems 3: A management plan exists and is being implemented	
Comments and Next Steps	The last approved Master Plan was for the period 2005-2009. It is currently being updated. Actualmente la evaluación de la implementación del PM se realiza sobre la base del PM período 2015 - 2019. El nivel de cumplimiento de actividades (2017) ha sido de 51 cumplidas de 57 programadas para el año 89.47 %		
7.a Planning process: The planning process allows adequate opportunity for key stakeholders to influence the management plan	1	0: No 1: Yes	
Comments and Next Steps	The Master Plans are generated through participatory processes		
7.b Planning process: There is an established schedule and process for periodic review and updating of the management plan	1	0: No 1: Yes	
Comments and Next Steps	According to the PA Law, Master Plans should be updated every 5 years. In this case, there is a delay of 4 years.		
7.c Planning process: The results of monitoring, research and evaluation are routinely incorporated into planning	1	0: No 1: Yes	

Comments and Next Steps	There is a subprogramme of research and a subprogramme of planning and monitoring in the 2005-2009 Master Plan, which are not being implemented due to budgetary shortages		
8. Regular work plan: Is there a regular work plan and is it being implemented	3	0: No regular work plan exists 1: A regular work plan exists but few of the activities are implemented 2: A regular work plan exists and many activities are implemented 3: A regular work plan exists and all activities are implemented	
Comments and Next Steps	The 2013 Annual Plan of Operations is being implemented and the 2014 APO is being generated. Informe anual 2017 del PNYCh		
9. Resource inventory: Do you have enough information to manage the area?	3	0: There is little or no information available on the critical habitats, species and cultural values of the protected area 1: Information on the critical habitats, species, ecological processes and cultural values of the protected area is not sufficient to support planning and decision making 2: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient for most key areas of planning and decision making 3: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient to support all areas of planning and decision making	
Comments and Next Steps	Se encuentra en proceso la elaboración del diagnóstico de usos de la tierra de la zona de uso especial del ANP.		

<p>10. Protection systems: Are systems in place to control access/resource use in the protected area?</p>	<p>2</p>	<p>0: Protection systems (patrols, permits etc) do not exist or are not effective in controlling access/resource use 1: Protection systems are only partially effective in controlling access/resource use 2: Protection systems are moderately effective in controlling access/resource use 3: Protection systems are largely or wholly effective in controlling access/resource use</p>	
<p>Comments and Next Steps</p>	<p>96 routine patrols and 6 special patrols are foreseen for 2014, covering 105,000ha 2017- Existen brechas aún de los requisitos para tener los ambitos controlados. -El PNCB brinda informacion con sus sistema de alerta temprana de bosque y no bosque con las cuales se complementan las acciones de control y vigilancia del ANP. - Para el monitoreo en las áreas de dificil acceso se requieren sobrevuelos, imagenes satelitales, drones, otros. - Se ha identificado la necesidad de contar con 2 Puestos de vigilancia y 5 guardaparques adicionales y lo necesario para su funcionamiento/desempeño.</p>		
<p>11. Research: Is there a programme of management-orientated survey and research work?</p>	<p>2</p>	<p>0: There is no survey or research work taking place in the protected area 1: There is a small amount of survey and research work but it is not directed towards the needs of protected area management 2: There is considerable survey and research work but it is not directed towards the needs of protected area management 3: There is a comprehensive, integrated programme of survey and</p>	

		research work, which is relevant to management needs	
Comments and Next Steps	<p>The park has no funds for research. Some institutions are carrying out research, that does not necessarily correspond to the priorities of the area.</p> <p>2017 - Investigaciones prioritarias estan relacionadas a los elementos de interés, plasmados en el modelo conceptual del PM.</p> <p>Con la colaboración del Jardín botánico de missouri se viene realizando el monitoreo de flora mediante parcelas permanentes y el monitoreo de fauna a través de cámaras trampa. Asimismo, con la colaboración del Instituto del Bien Común, se viene monitoreando la calidad y cantidad de agua de las quebradas de San alberto y Yanachaga.</p> <p>Se encuentra en proceso la elaboración de protocolos para el monitoreo de las especies priorizadas en el Plan Maestro.</p>		
12. Resource management: Is active resource management being undertaken?	3	<p>0: Active resource management is not being undertaken</p> <p>1: Very few of the requirements for active management of critical habitats, species, ecological processes and cultural values are being implemented</p> <p>2: Many of the requirements for active management of critical habitats, species, ecological processes and, cultural values are being implemented but some key issues are not being addressed</p> <p>3: Requirements for active management of critical habitats, species, ecological processes and,</p>	

		cultural values are being substantially or fully implemented	
Comments and Next Steps	<p>2017 - En el PNYCh, se conservan cabeceras de cuenca para la provisión de agua en calidad y cantidad (SSEE), para uso y consumo humano. Asimismo la conservación de los bosques contribuyen a la proliferación de flora apícola, la cual es aprovechada para la producción de aproximadamente 4 toneladas de polen y 4 toneladas de miel al año, en la zona de amortiguamiento del ANP.</p> <p>En la zona de uso especial (UE) de Santa Bárbara, se han iniciado gestiones para el ordenamiento del uso de los recursos a través de acuerdos de conservación con los usuarios.</p>		
13. Staff numbers: Are there enough people employed to manage the protected area?	1	<p>0: There are no staff</p> <p>1: Staff numbers are inadequate for critical management activities</p> <p>2: Staff numbers are below optimum level for critical management activities</p> <p>3: Staff numbers are adequate for the management needs of the protected area</p>	
Comments and Next Steps	<p>The current staff consists of 1 chief, 2 specialists, 1 administrative assistant and 15 park guards</p> <p>2017 - Actualmente el ANP cuenta con 19 trabajadores, sin embargo, para llegar al escenario básico para la gestión del ANP, Se requiere 2 especialistas (turismo y monitoreo) y 5 guardaparques adicionales.</p>		

14. Staff training: Are staff adequately trained to fulfill management objectives?	2	<p>0: Staff lack the skills needed for protected area management</p> <p>1: Staff training and skills are low relative to the needs of the protected area</p> <p>2: Staff training and skills are adequate, but could be further improved to fully achieve the objectives of management</p> <p>3: Staff training and skills are aligned with the management needs of the protected area</p>	
Comments and Next Steps	<p>2017 - Control y vigilancia, bastante bien; Se requiere mejorar capacidades del personal del ANP para el monitoreo de anfibios, peces, resolución de conflictos. Mejorar las capacidades del personal para la implementación de estrategias de comunicación en el ANP.</p>		
15. Current budget: Is the current budget sufficient?	1	<p>0: There is no budget for management of the protected area</p> <p>1: The available budget is inadequate for basic management needs and presents a serious constraint to the capacity to manage</p> <p>2: The available budget is acceptable but could be further improved to fully achieve effective management</p> <p>3: The available budget is sufficient and meets the full management needs of the protected area</p>	
Comments and Next Steps	<p>2017 - Se requiere contar con el presupuesto necesario para alcanzar un nivel operativo correspondiente al escenario básico (02 Puestos de Vigilancia, equipamiento, 05 guardaparques y 02 especialistas).</p>		

16. Security of budget: Is the budget secure?	2	<p>0: There is no secure budget for the protected area and management is wholly reliant on outside or highly variable funding</p> <p>1: There is very little secure budget and the protected area could not function adequately without outside funding</p> <p>2: There is a reasonably secure core budget for regular operation of the protected area but many innovations and initiatives are reliant on outside funding</p> <p>3: There is a secure budget for the protected area and its management needs</p>	
Comments and Next Steps	<p>LB - SERNANP covers the annual budget 2017 - El gobierno peruano cubre los gastos recurrentes del ANP, El presente año se cuenta con fondos adicionales del GEF/PNUD, para el desarrollo de actividades complementarias que contribuyen al cumplimiento de los objetivos de gestión del ANP.</p>		
17. Management of budget: Is the budget managed to meet critical management needs?	2	<p>0: Budget management is very poor and significantly undermines effectiveness (e.g. late release of budget in financial year)</p> <p>1: Budget management is poor and constrains effectiveness</p> <p>2: Budget management is adequate but could be improved</p> <p>3: Budget management is excellent and meets management needs</p>	
Comments and Next Steps	<p>2017 - La gestión esta orientada al desarrollo de las actv planificadas en el POA y el Plan Maestria</p>		

18. Equipment: Is equipment sufficient for management needs?	2	<p>0: There are little or no equipment and facilities for management needs</p> <p>1: There are some equipment and facilities but these are inadequate for most management needs</p> <p>2: There are equipment and facilities, but still some gaps that constrain management</p> <p>3: There are adequate equipment and facilities</p>	
Comments and Next Steps	<p>The current infrastructure and equipment consist of: 1 administrative base, 3 control posts, 2 pick ups, 9 motorcycles and field equipment (GPS, computers, cameras)</p> <p>2017 - Se requiere mantenimiento de la infraestructura existente y la construcción de nueva infraestructura y su implementación, asimismo, la renovación de equipos.</p>		
19. Maintenance of equipment: Is equipment adequately maintained?	2	<p>0: There is little or no maintenance of equipment and facilities</p> <p>1: There is some ad hoc maintenance of equipment and facilities</p> <p>2: There is basic maintenance of equipment and facilities</p> <p>3: Equipment and facilities are well maintained</p>	
Comments and Next Steps	<p>2017 - Se realiza el mantenimiento de la infraestructura del ANP, asimismo, el mantenimiento preventivo básico de los vehículos.</p>		

<p>20. Education and awareness: Is there a planned education programme linked to the objectives and needs?</p>	<p>3</p>	<p>0: There is no education and awareness programme 1: There is a limited and ad hoc education and awareness programme 2: There is an education and awareness programme but it only partly meets needs and could be improved 3: There is an appropriate and fully implemented education and awareness programme</p>	
<p>Comments and Next Steps</p>	<p>240 people are carrying out environmental education activities promoted by the park, in the Yanachaga Ecological Brigade, Vigilance Committees and Associations of Small Farmers. 2017 - Educacion ambiental es parte de la gestion participativa del ANP, 200 brigadistas capacitados realizan actividades de sensibilización con la población local y visitantes. Se han implementado 35 instituciones educativas biohuertos escolares.</p>		
<p>21. Planning for land and water use: Does land and water use planning recognise the protected area and aid the achievement of objectives?</p>	<p>2</p>	<p>0: Adjacent land and water use planning does not take into account the needs of the protected area and activities/policies are detrimental to the survival of the area 1: Adjacent land and water use planning does not takes into account the long term needs of the protected area, but activities are not detrimental the area 2: Adjacent land and water use planning partially takes into account the long term needs of the protected area 3: Adjacent land and water use planning fully takes into account the long term needs of the protected area</p>	

Comments and Next Steps	2017 - Los Planes de Desarrollo Regional y Locales reconocen la presencia del ANP y su contribución al desarrollo local.		
21a. Land and water planning for habitat conservation: Planning and management in the catchment or landscape containing the protected area incorporates provision for adequate environmental conditions (e.g. volume, quality and timing of water flow, air pollution levels etc) to sustain relevant habitats.	1	0: No 1: Yes	
Comments and Next Steps	Se promueve conservación y desarrollo de actividades sostenibles en el ámbito de la Reserva de Biosfera.		
21b. Land and water planning for habitat conservation: Management of corridors linking the protected area provides for wildlife passage to key habitats outside the protected area (e.g. to allow migratory fish to travel between freshwater spawning sites and the sea, or to allow animal migration).	1	0: No 1: Yes	
Comments and Next Steps	Existe conectividad entre PNYCH, RCY, BPSMSC; además, a través del proyecto Amazonía Resiliente se ha viene realizando un diagnóstico para evaluar la factibilidad de establecimiento de un mecanismo de conservación que contribuya a la conectividad entre el complejo Yanachaga y la RC El Sira.		
21c. Land and water planning for habitat conservation: "Planning addresses ecosystem-specific needs and/or the needs of particular species of concern at an ecosystem scale (e.g. volume, quality and timing of freshwater flow to sustain particular species, fire management to maintain savannah habitats etc.)"	0	0: No 1: Yes	

Comments and Next Steps	Se va a trabajar en la identificación de los SSEE en el ANP para poder incluirla en la planificación		
22. State and commercial neighbours: Is there co-operation with adjacent land and water users?	2	<p>0: There is no contact between managers and neighbouring official or corporate land and water users</p> <p>1: There is contact between managers and neighbouring official or corporate land and water users but little or no cooperation</p> <p>2: There is contact between managers and neighbouring official or corporate land and water users, but only some co-operation</p> <p>3: There is regular contact between managers and neighbouring official or corporate land and water users, and substantial co-operation on management</p>	
Comments and Next Steps	<p>LB - Neighbours participate through their representatives in the PA Management Committee</p> <p>2017 - Hay cooperación, se trabaja con propietarios e instituciones aliadas para monitorear el recurso hídrico, calidad y cantidad de agua. Se cuentan con acuerdos de cooperación suscritos con el ANP.</p>		

<p>23. Indigenous people: Do indigenous and traditional peoples resident or regularly using the protected area have input to management decisions?</p>	<p>1</p>	<p>0: Indigenous and traditional peoples have no input into decisions relating to the management of the protected area 1: Indigenous and traditional peoples have some input into discussions relating to management but no direct role in management 2: Indigenous and traditional peoples directly contribute to some relevant decisions relating to management but their involvement could be improved 3: Indigenous and traditional peoples directly participate in all relevant decisions relating to management, e.g. co-management</p>	
<p>Comments and Next Steps</p>	<p>LB - Indigenous people participate through their representatives in the PA Management Committee 2017 - Organizaciones locales participan en la toma de decisiones a través del Comité de Gestión del ANP; asimismo, han asumido compromisos que contribuyen a la implementación del Plan Maestro.</p>		

24. Local communities: Do local communities resident or near the protected area have input to management decisions?	1	0: Local communities have no input into decisions relating to the management of the protected area 1: Local communities have some input into discussions relating to management but no direct role in management 2: Local communities directly contribute to some relevant decisions relating to management but their involvement could be improved 3: Local communities directly participate in all relevant decisions relating to management, e.g. co-management	
Comments and Next Steps	LB - Local communities participate through their representatives in the PA Management Committee 2017 - El ANP cuenta con un comité de vigilancia (29 guardaparques locales - reconocidos con Resolución Jefatural) quienes contribuyen a la conservación del ANP.		
24 a. Impact on communities: There is open communication and trust between local and/or indigenous people, stakeholders and protected area managers	1	0: No 1: Yes	
Comments and Next Steps	2017 - Si hay comunicación, en el CdG existe representantes de diversas instituciones y actores locales. 6 reuniones (asamblea de miembros y reuniones de la CE) durante el año		
24 b. Impact on communities: Programmes to enhance community welfare, while conserving protected area resources, are being implemented	1	0: No 1: Yes	
Comments and Next Steps	2017 - A través del proyecto amazonía Resiliente, se implementarán actividades económicas sostenibles (agroforestería) que beneficiaran a las poblaciones locales.		

24 c. Impact on communities: Local and/or indigenous people actively support the protected area	1	0: No 1: Yes	
Comments and Next Steps	LB - Not all of the population supports the park. There are indigenous park guards. 2017 - Se tiene previsto la suscripción e implementación de un acuerdo de conservación con familias del sector de Santa Bárbara. (Fortalecimiento de la cadena productiva de papas nativas).		
25. Economic benefit: Is the protected area providing economic benefits to local communities, e.g. income, employment, payment for environmental services?	2	0: The protected area does not deliver any economic benefits to local communities 1: Potential economic benefits are recognised and plans to realise these are being developed 2: There is some flow of economic benefits to local communities 3: There is a major flow of economic benefits to local communities from activities associated with the protected area	
Comments and Next Steps	LB - Environmental benefits include the capture and storage of carbon, the provision of water, the protection of slopes, preservation of genetic diversity, scenic beauty and others. The area contributes to the mitigation of CC and adaptation to CC. 2017 - El área natural protegida proporciona beneficios a través de los servicios ecosistémicos y actividades productivas que se desarrollan al interior del ANP, como la ganadería y agricultura.		

26. Monitoring and evaluation: Are management activities monitored against performance?	3	<p>0: There is no monitoring and evaluation in the protected area</p> <p>1: There is some ad hoc monitoring and evaluation, but no overall strategy and/or no regular collection of results</p> <p>2: There is an agreed and implemented monitoring and evaluation system but results do not feed back into management</p> <p>3: A good monitoring and evaluation system exists, is well implemented and used in adaptive management</p>	
Comments and Next Steps	2017 - cuando se hace la evaluacion del PM se evalua desde los obj, indicadores y metas, en funcion al cumplimiento se puede hacer adecuaciones y cambios.		
27. Visitor facilities: Are visitor facilities adequate?	2	<p>0: There are no visitor facilities and services despite an identified need</p> <p>1: Visitor facilities and services are inappropriate for current levels of visitation</p> <p>2: Visitor facilities and services are adequate for current levels of visitation but could be improved</p> <p>3: Visitor facilities and services are excellent for current levels of visitation</p>	
Comments and Next Steps	There were 897 visitors in 2010 and 1,398 in 2011.		

28. Commercial tourism operators: Do commercial tour operators contribute to protected area management?	2	<p>0: There is little or no contact between managers and tourism operators using the protected area</p> <p>1: There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters</p> <p>2: There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values</p> <p>3: There is good co-operation between managers and tourism operators to enhance visitor experiences, and maintain protected area values</p>	
Comments and Next Steps	2017 - Hay operadores turisticos con quienes se esta conversadno para el otorgamiento de derechos dentro del área		
29. Fees: If fees (i.e. entry fees or fines) are applied, do they help protected area management?	2	<p>0: Although fees are theoretically applied, they are not collected</p> <p>1: Fees are collected, but make no contribution to the protected area or its environs</p> <p>2: Fees are collected, and make some contribution to the protected area and its environs</p> <p>3: Fees are collected and make a substantial contribution to the protected area and its environs</p>	
Comments and Next Steps	2017 - boletos de entrada por turismo		

30. Condition of values: What is the condition of the important values of the protected area as compared to when it was first designated?	2	0: Many important biodiversity, ecological or cultural values are being severely degraded 1: Some biodiversity, ecological or cultural values are being severely degraded 2: Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted 3: Biodiversity, ecological and cultural values are predominantly intact	
Comments and Next Steps	The Park maintains 86% of its vegetation cover		
30a: Condition of values: The assessment of the condition of values is based on research and/or monitoring	1	0: No 1: Yes	
Comments and Next Steps	2017 - se emplea información del PNCB respecto a bosques y no bosques, y la metodología de grillas		
30b: Condition of values Specific management programmes are being implemented to address threats to biodiversity, ecological and cultural values	0	0: No 1: Yes	
Comments and Next Steps			
30c: Condition of values: Activities to maintain key biodiversity, ecological and cultural values are a routine part of park management	1	0: No 1: Yes	
Comments and Next Steps	2017 - Si, Se tiene programado actividades de control y vigilancia a través de patrullajes rutinarios y especiales para mantener la biodiversidad.		
TOTAL SCORE	76	Pls add up numbers from assessment form (questions 1 to 30)	



Objective 1: Catalyzing Sustainability of Protected Area Systems

SECTION II: Management Effectiveness Tracking Tool for Protected Areas

Note: Please complete the management effectiveness tracking tool for **EACH** protected area that is the target of the GEF intervention and create a new worksheet for each.

Structure and content of the Tracking Tool - Objective 1. Section II:

The Tracking Tool has two main sections: datasheets and assessment form. Both sections should be completed.

1. Datasheets: the data sheet comprises of two separate sections:

ü Data sheet 1: records details of the assessment and some basic information about the site, such as name, size and location etc.

ü Data sheet 2: provides a generic list of threats which protected areas can face. On this data sheet the assessors are asked to identify threats and rank their impact on the protected area.

2. Assessment Form: the assessment is structured around 30 questions presented in table format which includes three columns for recording details of the assessment, all of which should be completed.

Important: Please read the Guidelines posted on the GEF website before entering your data

Data Sheet 1: Reporting Progress at Protected Area Sites	Please indicate your answer here	Notes
Name, affiliation and contact details for person responsible for completing the METT (email etc.)	Hermes Liviác, Area Head hliviác@sernanp.gob.pe	
Date assessment carried out	Jan 11,2018	Month DD, YYYY (e.g., May 12, 2010)
Name of protected area	Yanesha Communal Reserve	
WDPA site code (these codes can be found on www.unep-wcmc.org/wdpa/)		
Designations(please choose 1-3)	3	1: National 2: IUCN Category

		3: International (please complete lines 35-69 as necessary)
Country	Perú	
Location of protected area (province and if possible map reference)	Región Pasco, Provincia Oxapampa	
Date of establishment	1988	
Ownership details (please choose 1-4)	1	
		1: State
		2: Private
		3: Community
		4: Other
Management Authority	SERNANP	
Size of protected area (ha)	34,745	
Number of Permanent staff	11	
Number of Temporary staff	0	
Annual budget (US\$) for recurrent (operational) funds – excluding staff salary costs		
Annual budget (US\$) for project or other supplementary funds – excluding staff salary costs	0	
What are the main values for which the area is designated	Protects headwaters of catchments in the territorial lands of the Yanesha people	
List the two primary protected area management objectives in below:	-	
Management objective 1	To conserve wildlife in benefit of the neighbouring native communities of the Yanesha ethnic group who use it as a traditional food source	

Management objective 2	To maintain and develop cultural values of the Yanesha native communities located in the valley of the Palcazú river.	
No. of people involved in completing assessment	4	Con apoyo del proyecto AR
Including: (please choose 1-8)	1,2,3	1: PA manager 2: PA staff 3: Other PA agency staff 4: Donors 5: NGOs 6: External experts 7: Local community 8: Other
Information on International Designations	Please indicate your answer here	
	0	
UNESCO World Heritage site (see: http://whc.unesco.org/en/list)	0	
Date Listed	0	
Site name	0	
Site area	0	
Geographical co-ordinates	0	
	0	
Criteria for designation	0	(i.e. criteria i to x)
Statement of Outstanding Universal Value	0	
	0	
Ramsar site (see: http://ramsar.wetlands.org)	0	
Date Listed	0	
Site name	0	
Site area	0	

Geographical number	0	
Reason for Designation (see Ramsar Information Sheet)	0	
	0	
UNESCO Man and Biosphere Reserves (see: http://www.unesco.org/new/en/natural-sciences/environment/ecological-sciences/man-and-biosphere-programme/)	0	
Date Listed	2010	
Site name	Oxapampa-Ashaninka-Yanesha Biosphere Reserve	
Site area	1867379 ha	Total, Core, Buffer, and Transition
Geographical co-ordinates	Long. 73°45'W - 76°15'W Lat. 9°20'S - 11°05'S	
Criteria for designation	The Biosphere Reserve constitutes a very important conservation site due to the presence of indigenous cultures, sustainable crops and natural protected areas.	
Fulfilment of three functions of MAB	Sí	conservation, development and logistic support
	0	
Please list other designations (i.e. ASEAN Heritage, Natura 2000) and any supporting information below	0	
	0	Name
	0	Detail
	0	
	0	Name
	0	Detail
	0	
	0	Name
	0	Detail

Data Sheet 2: Protected Areas Threats (please complete a Data Sheet of threats and assessment for each protected area of the project).		
Please choose all relevant existing threats as either of high, medium or low significance. Threats ranked as of high significance are those which are seriously degrading values; medium are those threats having some negative impact and those characterised as low are threats which are present but not seriously impacting values or N/A where the threat is not present or not applicable in the protected area.		
1. Residential and commercial development within a protected area		
Threats from human settlements or other non-agricultural land uses with a substantial footprint		
1.1 Housing and settlement	1	0: N/A 1: Low 2: Medium 3: High
1.2 Commercial and industrial areas	0	0: N/A 1: Low 2: Medium 3: High
1.3 Tourism and recreation infrastructure	0	0: N/A 1: Low 2: Medium 3: High
2. Agriculture and aquaculture within a protected area		
Threats from farming and grazing as a result of agricultural expansion and intensification, including silviculture, mariculture and aquaculture		
2.1 Annual and perennial non-timber crop cultivation	1	0: N/A 1: Low 2: Medium 3: High
2.1a Drug cultivation	1	0: N/A 1: Low 2: Medium 3: High
2.2 Wood and pulp plantations	0	0: N/A 1: Low 2: Medium

		3: High
2.3 Livestock farming and grazing	2	0: N/A
		1: Low
		2: Medium
		3: High
2.4 Marine and freshwater aquaculture	0	0: N/A
		1: Low
		2: Medium
		3: High
3. Energy production and mining within a protected area		
Threats from production of non-biological resources		
3.1 Oil and gas drilling	0	0: N/A
		1: Low
		2: Medium
		3: High
3.2 Mining and quarrying	0	0: N/A
		1: Low
		2: Medium
		3: High
3.3 Energy generation, including from hydropower dams	0	0: N/A
		1: Low
		2: Medium
		3: High
4. Transportation and service corridors within a protected area		
Threats from long narrow transport corridors and the vehicles that use them including associated wildlife mortality		
4.1 Roads and railroads (include road-killed animals)	1	0: N/A
		1: Low
		2: Medium
		3: High
4.2 Utility and service lines (e.g. electricity cables, telephone lines,)	0	0: N/A
		1: Low
		2: Medium
		3: High

4.3 Shipping lanes and canals	0	0: N/A
		1: Low
		2: Medium
		3: High
4.4 Flight paths	0	0: N/A
		1: Low
		2: Medium
		3: High
5. Biological resource use and harm within a protected area		
Threats from consumptive use of "wild" biological resources including both deliberate and unintentional harvesting effects; also persecution or control of specific species (note this includes hunting and killing of animals)		
5.1 Hunting, killing and collecting terrestrial animals (including killing of animals as a result of human/wildlife conflict)	1	0: N/A
		1: Low
		2: Medium
		3: High
5.2 Gathering terrestrial plants or plant products (non-timber)	1	0: N/A
		1: Low
		2: Medium
		3: High
5.3 Logging and wood harvesting	0	0: N/A
		1: Low
		2: Medium
		3: High
5.4 Fishing, killing and harvesting aquatic resources	1	0: N/A
		1: Low
		2: Medium
		3: High
6. Human intrusions and disturbance within a protected area		
Threats from human activities that alter, destroy or disturb habitats and species associated with non-consumptive uses of biological resources		
6.1 Recreational activities and tourism	0	0: N/A
		1: Low
		2: Medium
		3: High

6.2 War, civil unrest and military exercises	0	0: N/A
		1: Low
		2: Medium
		3: High
6.3 Research, education and other work-related activities in protected areas	0	0: N/A
		1: Low
		2: Medium
		3: High
6.4 Activities of protected area managers (e.g. construction or vehicle use, artificial watering points and dams)	0	0: N/A
		1: Low
		2: Medium
		3: High
6.5 Deliberate vandalism, destructive activities or threats to protected area staff and visitors	0	0: N/A
		1: Low
		2: Medium
		3: High
7. Natural system modifications		
Threats from other actions that convert or degrade habitat or change the way the ecosystem functions		
7.1 Fire and fire suppression (including arson)	0	0: N/A
		1: Low
		2: Medium
		3: High
7.2 Dams, hydrological modification and water management/use	0	0: N/A
		1: Low
		2: Medium
		3: High
7.3a Increased fragmentation within protected area	1	0: N/A
		1: Low
		2: Medium
		3: High
7.3b Isolation from other natural habitat (e.g. deforestation, dams without effective aquatic wildlife passages)	0	0: N/A
		1: Low
		2: Medium

		3: High
7.3c Other 'edge effects' on park values	0	0: N/A
		1: Low
		2: Medium
		3: High
7.3d Loss of keystone species (e.g. top predators, pollinators etc)	0	0: N/A
		1: Low
		2: Medium
		3: High
8. Invasive and other problematic species and genes		
Threats from terrestrial and aquatic non-native and native plants, animals, pathogens/microbes or genetic materials that have or are predicted to have harmful effects on biodiversity following introduction, spread and/or increase		
8.1 Invasive non-native/alien plants (weeds)	1	0: N/A
		1: Low
		2: Medium
		3: High
8.1a Invasive non-native/alien animals	1	0: N/A
		1: Low
		2: Medium
		3: High
8.1b Pathogens (non-native or native but creating new/increased problems)	0	0: N/A
		1: Low
		2: Medium
		3: High
8.2 Introduced genetic material (e.g. genetically modified organisms)	0	0: N/A
		1: Low
		2: Medium
		3: High
9. Pollution entering or generated within protected area		
Threats from introduction of exotic and/or excess materials or energy from point and non-point sources		
9.1 Household sewage and urban waste water	0	0: N/A
		1: Low
		2: Medium

		3: High
9.1a Sewage and waste water from protected area facilities (e.g. toilets, hotels etc)	0	0: N/A
		1: Low
		2: Medium
		3: High
9.2 Industrial, mining and military effluents and discharges (e.g. poor water quality discharge from dams, e.g. unnatural temperatures, de-oxygenated, other pollution)	0	0: N/A
		1: Low
		2: Medium
		3: High
9.3 Agricultural and forestry effluents (e.g. excess fertilizers or pesticides)	1	0: N/A
		1: Low
		2: Medium
		3: High
9.4 Garbage and solid waste	0	0: N/A
		1: Low
		2: Medium
		3: High
9.5 Air-borne pollutants	0	0: N/A
		1: Low
		2: Medium
		3: High
9.6 Excess energy (e.g. heat pollution, lights etc)	0	0: N/A
		1: Low
		2: Medium
		3: High
10. Geological events		
Geological events may be part of natural disturbance regimes in many ecosystems. But they can be a threat if a species or habitat is damaged and has lost its resilience and is vulnerable to disturbance. Management capacity to respond to some of these changes may be limited.		
10.1 Volcanoes	0	0: N/A
		1: Low
		2: Medium
		3: High
10.2 Earthquakes/Tsunamis	0	0: N/A

		1: Low
		2: Medium
		3: High
10.3 Avalanches/ Landslides	1	0: N/A
		1: Low
		2: Medium
		3: High
10.4 Erosion and siltation/ deposition (e.g. shoreline or riverbed changes)	1	0: N/A
		1: Low
		2: Medium
		3: High
11. Climate change and severe weather		
Threats from long-term climatic changes which may be linked to global warming and other severe climatic/weather events outside of the natural range of variation		
11.1 Habitat shifting and alteration	1	0: N/A
		1: Low
		2: Medium
		3: High
11.2 Droughts	0	0: N/A
		1: Low
		2: Medium
		3: High
11.3 Temperature extremes	0	0: N/A
		1: Low
		2: Medium
		3: High
11.4 Storms and flooding	1	0: N/A
		1: Low
		2: Medium
		3: High
12. Specific cultural and social threats		
12.1 Loss of cultural links, traditional knowledge and/or management practices	2	0: N/A
		1: Low

		2: Medium
		3: High
12.2 Natural deterioration of important cultural site values	0	0: N/A
		1: Low
		2: Medium
		3: High
12.3 Destruction of cultural heritage buildings, gardens, sites etc	0	0: N/A
		1: Low
		2: Medium
		3: High
Assessment Form Para el llenado, se siguieron las orientaciones del SERNANP, de acuerdo al Documento de Trabajo 25		
1. Legal status: Does the protected area have legal status (or in the case of private reserves is covered by a covenant or similar)?	3	0: The protected area is not gazetted/covenanted 1: There is agreement that the protected area should be gazetted/covenanted but the process has not yet begun 2: The protected area is in the process of being gazetted/covenanted but the process is still incomplete (includes sites designated under international conventions, such as Ramsar, or local/traditional law such as community conserved areas, which do not yet have national legal status or covenant) 3: The protected area has been formally gazetted/covenanted
Comments and Next Steps	Established through Supreme Resolution N° 193-88-AG/DGFF of 28th April 1988	
2. Protected area regulations: Are appropriate regulations in place to control land use and activities (e.g. hunting)?	3	0: There are no regulations for controlling land use and activities in the protected area 1: Some regulations for controlling land use and activities in the protected area exist but these are major weaknesses 2: Regulations for controlling land use and activities in the protected area exist but there are some weaknesses or gaps

		3: Regulations for controlling inappropriate land use and activities in the protected area exist and provide an excellent basis for management
Comments and Next Steps	The Law of Natural Protected Areas, its Regulation and PA Zoning. It is necessary to produce natural resource use plans and/or implement those already existing	
3. Law	2	0: The staff have no effective capacity/resources to enforce protected area legislation and regulations
Enforcement: Can staff (i.e. those with responsibility for managing the site) enforce protected area rules well enough?		1: There are major deficiencies in staff capacity/resources to enforce protected area legislation and regulations (e.g. lack of skills, no patrol budget, lack of institutional support)
		2: The staff have acceptable capacity/resources to enforce protected area legislation and regulations but some deficiencies remain
		3: The staff have excellent capacity/resources to enforce protected area legislation and regulations
Comments and Next Steps	The Park Guards are responsible for ensuring compliance with PA norms	
4. Protected area objectives: Is management undertaken according to agreed objectives?	3	0: No firm objectives have been agreed for the protected area
		1: The protected area has agreed objectives, but is not managed according to these objectives
		2: The protected area has agreed objectives, but is only partially managed according to these objectives
		3: The protected area has agreed objectives and is managed to meet these objectives
Comments and Next Steps	In accordance with the provisions of the Master Plan	
5. Protected area design: Is the protected area the right size and shape to protect species, habitats, ecological processes and water catchments of key conservation concern?	2	0: Inadequacies in protected area design mean achieving the major objectives of the protected area is very difficult
		1: Inadequacies in protected area design mean that achievement of major objectives is difficult but some mitigating actions are being taken (e.g. agreements with adjacent land owners for wildlife corridors or introduction of appropriate catchment management)

		2: Protected area design is not significantly constraining achievement of objectives, but could be improved (e.g. with respect to larger scale ecological processes)
		3: Protected area design helps achievement of objectives; it is appropriate for species and habitat conservation; and maintains ecological processes such as surface and groundwater flows at a catchment scale, natural disturbance patterns etc
Comments and Next Steps		
6. Protected area boundary demarcation:	2	0: The boundary of the protected area is not known by the management authority or local residents/neighbouring land users
Is the boundary known and demarcated?		1: The boundary of the protected area is known by the management authority but is not known by local residents/neighbouring land users
		2: The boundary of the protected area is known by both the management authority and local residents/neighbouring land users but is not appropriately demarcated
		3: The boundary of the protected area is known by the management authority and local residents/neighbouring land users and is appropriately demarcated
Comments and Next Steps		
7. Management plan: Is there a management plan and is it being implemented?	3	0: There is no management plan for the protected area
		1: A management plan is being prepared or has been prepared but is not being implemented
		2: A management plan exists but it is only being partially implemented because of funding constraints or other problems
		3: A management plan exists and is being implemented
Comments and Next Steps		The current Master Plan covers the period 2011-2016 Informe anual

7.a Planning process: The planning process allows adequate opportunity for key stakeholders to influence the management plan	1	0: No 1: Yes
Comments and Next Steps	The Master Plans are generated through participatory processes	
7.b Planning process: There is an established schedule and process for periodic review and updating of the management plan	1	0: No 1: Yes
Comments and Next Steps	According to the PA Law, the Master Plans should be updated every 5 years. The current plan runs to 2016.	
7.c Planning process: The results of monitoring, research and evaluation are routinely incorporated into planning	1	0: No 1: Yes
Comments and Next Steps		
8. Regular work plan: Is there a regular work plan and is it being implemented	3	0: No regular work plan exists
		1: A regular work plan exists but few of the activities are implemented
		2: A regular work plan exists and many activities are implemented
		3: A regular work plan exists and all activities are implemented
Comments and Next Steps	The 2013 Annual Plan of Operations is being implemented and the 2014 Plan is being prepared	
9. Resource inventory: Do you have enough information to manage the area?	2	0: There is little or no information available on the critical habitats, species and cultural values of the protected area
		1: Information on the critical habitats, species, ecological processes and cultural values of the protected area is not sufficient to support planning and decision making
		2: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient for most key areas of planning and decision making
		3: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient to support all areas of planning and decision making
Comments and Next Steps		

10. Protection systems:	2	0: Protection systems (patrols, permits etc) do not exist or are not effective in controlling access/resource use
Are systems in place to control access/resource use in the protected area?		1: Protection systems are only partially effective in controlling access/resource use
		2: Protection systems are moderately effective in controlling access/resource use
		3: Protection systems are largely or wholly effective in controlling access/ resource use
Comments and Next Steps	In 2014 it is proposed to carry out 17 routine patrols and 4 special patrols in the whole area	
11. Research: Is there a programme of management-orientated survey and research work?	1	0: There is no survey or research work taking place in the protected area
		1: There is a small amount of survey and research work but it is not directed towards the needs of protected area management
		2: There is considerable survey and research work but it is not directed towards the needs of protected area management
		3: There is a comprehensive, integrated programme of survey and research work, which is relevant to management needs
Comments and Next Steps		
12. Resource management: Is active resource management being undertaken?	1	0: Active resource management is not being undertaken
		1: Very few of the requirements for active management of critical habitats, species, ecological processes and cultural values are being implemented
		2: Many of the requirements for active management of critical habitats, species, ecological processes and, cultural values are being implemented but some key issues are not being addressed
		3: Requirements for active management of critical habitats, species, ecological processes and, cultural values are being substantially or fully implemented

Comments and Next Steps		
13. Staff numbers: Are there enough people employed to manage the protected area?	2	0: There are no staff 1: Staff numbers are inadequate for critical management activities 2: Staff numbers are below optimum level for critical management activities 3: Staff numbers are adequate for the management needs of the protected area
Comments and Next Steps	Current staff: 1 chief, 1 specialist, 1 administrative assistant and 8 park guards	
14. Staff training: Are staff adequately trained to fulfill management objectives?	2	0: Staff lack the skills needed for protected area management 1: Staff training and skills are low relative to the needs of the protected area 2: Staff training and skills are adequate, but could be further improved to fully achieve the objectives of management 3: Staff training and skills are aligned with the management needs of the protected area
Comments and Next Steps	LB - The training process has been discontinued by the PA and the central office.	
15. Current budget: Is the current budget sufficient?	2	0: There is no budget for management of the protected area 1: The available budget is inadequate for basic management needs and presents a serious constraint to the capacity to manage 2: The available budget is acceptable but could be further improved to fully achieve effective management 3: The available budget is sufficient and meets the full management needs of the protected area
Comments and Next Steps		
16. Security of budget: Is the budget secure?	2	0: There is no secure budget for the protected area and management is wholly reliant on outside or highly variable funding 1: There is very little secure budget and the protected area could not function adequately without outside funding

		2: There is a reasonably secure core budget for regular operation of the protected area but many innovations and initiatives are reliant on outside funding
		3: There is a secure budget for the protected area and its management needs
Comments and Next Steps	SERNANP covers the annual budget	
17. Management of budget: Is the budget managed to meet critical management needs?	2	0: Budget management is very poor and significantly undermines effectiveness (e.g. late release of budget in financial year)
		1: Budget management is poor and constrains effectiveness
		2: Budget management is adequate but could be improved
		3: Budget management is excellent and meets management needs
Comments and Next Steps		
18. Equipment: Is equipment sufficient for management needs?	2	0: There are little or no equipment and facilities for management needs
		1: There are some equipment and facilities but these are inadequate for most management needs
		2: There are equipment and facilities, but still some gaps that constrain management
		3: There are adequate equipment and facilities
Comments and Next Steps		
19. Maintenance of equipment: Is equipment adequately maintained?	2	0: There is little or no maintenance of equipment and facilities
		1: There is some ad hoc maintenance of equipment and facilities
		2: There is basic maintenance of equipment and facilities
		3: Equipment and facilities are well maintained
Comments and Next Steps		
	2	0: There is no education and awareness programme

20. Education and awareness: Is there a planned education programme linked to the objectives and needs?		<p>1: There is a limited and ad hoc education and awareness programme</p> <p>2: There is an education and awareness programme but it only partly meets needs and could be improved</p> <p>3: There is an appropriate and fully implemented education and awareness programme</p>
Comments and Next Steps		
21. Planning for land and water use: Does land and water use planning recognise the protected area and aid the achievement of objectives?	1	<p>0: Adjacent land and water use planning does not take into account the needs of the protected area and activities/policies are detrimental to the survival of the area</p> <p>1: Adjacent land and water use planning does not takes into account the long term needs of the protected area, but activities are not detrimental the area</p> <p>2: Adjacent land and water use planning partially takes into account the long term needs of the protected area</p> <p>3: Adjacent land and water use planning fully takes into account the long term needs of the protected area</p>
Comments and Next Steps		
21a. Land and water planning for habitat conservation: Planning and management in the catchment or landscape containing the protected area incorporates provision for adequate environmental conditions (e.g. volume, quality and timing of water flow, air pollution levels etc) to sustain relevant habitats.	1	<p>0: No</p> <p>1: Yes</p>
Comments and Next Steps		
21b. Land and water planning for habitat conservation: Management of corridors linking the protected area provides for wildlife passage to key habitats outside the protected area (e.g. to allow migratory fish to travel between freshwater spawning sites and the sea, or to allow animal migration).	1	<p>0: No</p> <p>1: Yes</p>
Comments and Next Steps		

21c. Land and water planning for habitat conservation: "Planning addresses ecosystem-specific needs and/or the needs of particular species of concern at an ecosystem scale (e.g. volume, quality and timing of freshwater flow to sustain particular species, fire management to maintain savannah habitats etc.)"	1	0: No 1: Yes
Comments and Next Steps		
22. State and commercial neighbours: Is there co-operation with adjacent land and water users?	2	0: There is no contact between managers and neighbouring official or corporate land and water users
		1: There is contact between managers and neighbouring official or corporate land and water users but little or no cooperation
		2: There is contact between managers and neighbouring official or corporate land and water users, but only some co-operation
		3: There is regular contact between managers and neighbouring official or corporate land and water users, and substantial co-operation on management
Comments and Next Steps	They participate through their representatives on the PA Management Committee	
23. Indigenous people: Do indigenous and traditional peoples resident or regularly using the protected area have input to management decisions?	3	0: Indigenous and traditional peoples have no input into decisions relating to the management of the protected area
		1: Indigenous and traditional peoples have some input into discussions relating to management but no direct role in management
		2: Indigenous and traditional peoples directly contribute to some relevant decisions relating to management but their involvement could be improved
		3: Indigenous and traditional peoples directly participate in all relevant decisions relating to management, e.g. co-management
Comments and Next Steps	The Communal Reserves have as one of their objectives the generation of benefits for neighbouring indigenous communities	
	2	0: Local communities have no input into decisions relating to the management of the protected area

24. Local communities: Do local communities resident or near the protected area have input to management decisions?		1: Local communities have some input into discussions relating to management but no direct role in management
		2: Local communities directly contribute to some relevant decisions relating to management but their involvement could be improved
		3: Local communities directly participate in all relevant decisions relating to management, e.g. co-management
Comments and Next Steps	The communities participate through an ECA, in this case AMARCY, which includes 10 native communities and 5 colonist sectors.	
24 a. Impact on communities: There is open communication and trust between local and/or indigenous people, stakeholders and protected area managers	1	0: No 1: Yes
Comments and Next Steps		
24 b. Impact on communities: Programmes to enhance community welfare, while conserving protected area resources, are being implemented	1	0: No 1: Yes
Comments and Next Steps		
24 c. Impact on communities: Local and/or indigenous people actively support the protected area	1	0: No 1: Yes
Comments and Next Steps		
25. Economic benefit: Is the protected area providing economic benefits to local communities, e.g. income, employment, payment for environmental services?	2	0: The protected area does not deliver any economic benefits to local communities
		1: Potential economic benefits are recognised and plans to realise these are being developed
		2: There is some flow of economic benefits to local communities
		3: There is a major flow of economic benefits to local communities from activities associated with the protected area
Comments and Next Steps		
26. Monitoring and evaluation: Are management activities monitored against performance?	2	0: There is no monitoring and evaluation in the protected area

		1: There is some ad hoc monitoring and evaluation, but no overall strategy and/or no regular collection of results
		2: There is an agreed and implemented monitoring and evaluation system but results do not feed back into management
		3: A good monitoring and evaluation system exists, is well implemented and used in adaptive management
Comments and Next Steps		
27. Visitor facilities: Are visitor facilities adequate?	0	0: There are no visitor facilities and services despite an identified need
		1: Visitor facilities and services are inappropriate for current levels of visitation
		2: Visitor facilities and services are adequate for current levels of visitation but could be improved
		3: Visitor facilities and services are excellent for current levels of visitation
Comments and Next Steps		
28. Commercial tourism operators: Do commercial tour operators contribute to protected area management?	0	0: There is little or no contact between managers and tourism operators using the protected area
		1: There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters
		2: There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values
		3: There is good co-operation between managers and tourism operators to enhance visitor experiences, and maintain protected area values
Comments and Next Steps		
29. Fees: If fees (i.e. entry fees or fines) are applied, do they help protected area management?	0	0: Although fees are theoretically applied, they are not collected
		1: Fees are collected, but make no contribution to the protected area or its environs

		2: Fees are collected, and make some contribution to the protected area and its environs
		3: Fees are collected and make a substantial contribution to the protected area and its environs
Comments and Next Steps		
30. Condition of values: What is the condition of the important values of the protected area as compared to when it was first designated?	2	0: Many important biodiversity, ecological or cultural values are being severely degraded
		1: Some biodiversity, ecological or cultural values are being severely degraded
		2: Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted
		3: Biodiversity, ecological and cultural values are predominantly intact
Comments and Next Steps		
30a: Condition of values: The assessment of the condition of values is based on research and/or monitoring	1	0: No 1: Yes
Comments and Next Steps		
30b: Condition of values Specific management programmes are being implemented to address threats to biodiversity, ecological and cultural values	1	0: No 1: Yes
Comments and Next Steps	The Reserve maintains 94% of its vegetation cover	
30c: Condition of values: Activities to maintain key biodiversity, ecological and cultural values are a routine part of park management	1	0: No 1: Yes
Comments and Next Steps		
TOTAL SCORE	69	Pls add up numbers from assessment form (questions 1 to 30)



ool for Biodiversity Projects in GEF-3, GEF-4, and GEF-5

Objective 1: Catalyzing Sustainability of Protected Area Systems

SECTION II: Management Effectiveness Tracking Tool for Protected Areas

Note: Please complete the management effectiveness tracking tool for **EACH** protected area that is the target of the GEF intervention and create a new worksheet for each.

Structure and content of the Tracking Tool - Objective 1. Section II:

The Tracking Tool has two main sections: datasheets and assessment form. Both sections should be completed.

1. Datasheets: the data sheet comprises of two separate sections:

ü Data sheet 1: records details of the assessment and some basic information about the site, such as name, size and location etc.

ü Data sheet 2: provides a generic list of threats which protected areas can face. On this data sheet the assessors are asked to identify threats and rank their impact on the protected area.

2. Assessment Form: the assessment is structured around 30 questions presented in table format which includes three columns for recording details of the assessment, all of which should be completed.

Important: Please read the Guidelines posted on the GEF website before entering your data

Data Sheet 1: Reporting Progress at Protected Area Sites	Please indicate your answer here	Notes
Name, affiliation and contact details for person responsible for completing the METT (email etc.)	Deyanira Mishari Area Chief dmishari@sernanp.gob.pe	
Date assessment carried out	Jan 8, 2018	Month DD, YYYY (e.g., May 12, 2010)
Name of protected area	San Matías-San Carlos Protection Forest	

WDPA site code (these codes can be found on www.unep-wcmc.org/wdpa/)	0	
Designations(please choose 1-3)	3	1: National
		2: IUCN Category
		3: International (please complete lines 35-69 as necessary)
Country	Perú	
Location of protected area (province and if possible map reference)	Región Pasco, Provincia Oxapampa	
Date of establishment	1987	
Ownership details (please choose 1-4)	1	1: State
		2: Private
		3: Community
		4: Other
Management Authority	SERNANP	
Size of protected area (ha)	145,818	
Number of Permanent staff	14	
Number of Temporary staff	0	
Annual budget (US\$) for recurrent (operational) funds – excluding staff salary costs	102,571	
Annual budget (US\$) for project or other supplementary funds – excluding staff salary costs	0	
What are the main values for which the area is designated	Watershed protection	
List the two primary protected area	-	

management objectives in below:		
Management objective 1	To conserve the upper part of the catchments of the Pichis and Palcazú rivers, to protect road and other infrastructure, against the destructive effects of water erosion, flash floods, storms and floods.	
Management objective 2	To regulate the water and climatic cycles in the zone, avoiding the sedimentation of rivers and maintaining the quality of navigation and aquatic ecosystems.	
No. of people involved in completing assessment	4	
Including: (please choose 1-8)	1 y 2	1: PA manager 2: PA staff 3: Other PA agency staff 4: Donors 5: NGOs 6: External experts 7: Local community 8: Other
Information on International Designations	Please indicate your answer here	
	-	
UNESCO World Heritage site (see:	-	

http://whc.unesco.org/en/ist		
Date Listed	-	
Site name	-	
Site area	-	
Geographical co-ordinates	-	
	-	
Criteria for designation	-	(i.e. criteria i to x)
Statement of Outstanding Universal Value	-	
	-	
Ramsar site (see: http://ramsar.wetlands.org)	-	
Date Listed	-	
Site name	-	
Site area	-	
Geographical number	-	
Reason for Designation (see Ramsar Information Sheet)	-	
	-	
UNESCO Man and Biosphere Reserves (see: http://www.unesco.org/new/en/natural-sciences/environment/ecological-sciences/man-and-biosphere-programme/)		
Date Listed	2010	
Site name	Oxapampa-Ashaninka-Yanesha Biosphere Reserve	

Site area	1867379 ha	Total, Core, Buffe, and Transition
Geographical co-ordinates	Long. 73°45'W - 76°15'W Lat. 9°20'S - 11°05'S	
Criteria for designation	The Biosphere Reserve constitutes a very important conservation site due to the presence of indigenous cultures, sustainable crops and natural protected areas.	
Fulfilment of three functions of MAB	Sí	conservation, development and logistic support
	-	
Please list other designations (i.e. ASEAN Heritage, Natura 2000) and any supporting information below	-	
	-	Name
	-	Detail
	-	
	-	Name
	-	Detail
	-	
	-	Name
	-	Detail
Data Sheet 2: Protected Areas Threats (please complete a Data Sheet of threats and assessment for each protected area of the project).		
Please choose all relevant existing threats as either of high, medium or low significance. Threats ranked as of high significance are those which are seriously degrading values; medium are those threats having some negative impact and those characterised as low are threats which are present but not seriously impacting values or N/A where the threat is not present or not applicable in the protected area.		
1. Residential and commercial development within a protected area		

Threats from human settlements or other non-agricultural land uses with a substantial footprint		
1.1 Housing and settlement	1	0: N/A 1: Low 2: Medium 3: High
1.2 Commercial and industrial areas	0	0: N/A 1: Low 2: Medium 3: High
1.3 Tourism and recreation infrastructure	0	0: N/A 1: Low 2: Medium 3: High
2. Agriculture and aquaculture within a protected area		
Threats from farming and grazing as a result of agricultural expansion and intensification, including silviculture, mariculture and aquaculture		
2.1 Annual and perennial non-timber crop cultivation	2	0: N/A 1: Low 2: Medium 3: High
2.1a Drug cultivation	3	0: N/A 1: Low 2: Medium 3: High
2.2 Wood and pulp plantations	0	0: N/A 1: Low 2: Medium 3: High
2.3 Livestock farming and grazing	3	0: N/A 1: Low 2: Medium 3: High
2.4 Marine and freshwater aquaculture	0	0: N/A 1: Low

		2: Medium
		3: High
3. Energy production and mining within a protected area		
Threats from production of non-biological resources		
3.1 Oil and gas drilling	0	0: N/A
		1: Low
		2: Medium
		3: High
3.2 Mining and quarrying	0	0: N/A
		1: Low
		2: Medium
		3: High
3.3 Energy generation, including from hydropower dams	0	0: N/A
		1: Low
		2: Medium
		3: High
4. Transportation and service corridors within a protected area		
Threats from long narrow transport corridors and the vehicles that use them including associated wildlife mortality		
4.1 Roads and railroads (include road-killed animals)	3	0: N/A
		1: Low
		2: Medium
		3: High
4.2 Utility and service lines (e.g. electricity cables, telephone lines,)	3	0: N/A
		1: Low
		2: Medium
		3: High
4.3 Shipping lanes and canals	0	0: N/A
		1: Low
		2: Medium
		3: High
4.4 Flight paths	0	0: N/A
		1: Low
		2: Medium

		3: High
5. Biological resource use and harm within a protected area		
Threats from consumptive use of "wild" biological resources including both deliberate and unintentional harvesting effects; also persecution or control of specific species (note this includes hunting and killing of animals)		
5.1 Hunting, killing and collecting terrestrial animals (including killing of animals as a result of human/wildlife conflict)	2	0: N/A
		1: Low
		2: Medium
		3: High
5.2 Gathering terrestrial plants or plant products (non-timber)	1	0: N/A
		1: Low
		2: Medium
		3: High
5.3 Logging and wood harvesting	1	0: N/A
		1: Low
		2: Medium
		3: High
5.4 Fishing, killing and harvesting aquatic resources	0	0: N/A
		1: Low
		2: Medium
		3: High
6. Human intrusions and disturbance within a protected area		
Threats from human activities that alter, destroy or disturb habitats and species associated with non-consumptive uses of biological resources		
6.1 Recreational activities and tourism	0	0: N/A
		1: Low
		2: Medium
		3: High
6.2 War, civil unrest and military exercises	0	0: N/A
		1: Low
		2: Medium
		3: High
6.3 Research, education and other work-related activities in protected areas	1	0: N/A
		1: Low
		2: Medium

		3: High
6.4 Activities of protected area managers (e.g. construction or vehicle use, artificial watering points and dams)	0	0: N/A
		1: Low
		2: Medium
		3: High
6.5 Deliberate vandalism, destructive activities or threats to protected area staff and visitors	3	0: N/A
		1: Low
		2: Medium
		3: High
7. Natural system modifications		
Threats from other actions that convert or degrade habitat or change the way the ecosystem functions		
7.1 Fire and fire suppression (including arson)	0	0: N/A
		1: Low
		2: Medium
		3: High
7.2 Dams, hydrological modification and water management/use	0	0: N/A
		1: Low
		2: Medium
		3: High
7.3a Increased fragmentation within protected area	2	0: N/A
		1: Low
		2: Medium
		3: High
7.3b Isolation from other natural habitat (e.g. deforestation, dams without effective aquatic wildlife passages)	1	0: N/A
		1: Low
		2: Medium
		3: High
7.3c Other 'edge effects' on park values	2	0: N/A
		1: Low
		2: Medium
		3: High
	1	0: N/A

7.3d Loss of keystone species (e.g. top predators, pollinators etc)		1: Low
		2: Medium
		3: High
8. Invasive and other problematic species and genes		
Threats from terrestrial and aquatic non-native and native plants, animals, pathogens/microbes or genetic materials that have or are predicted to have harmful effects on biodiversity following introduction, spread and/or increase		
8.1 Invasive non-native/alien plants (weeds)	2	0: N/A
		1: Low
		2: Medium
		3: High
8.1a Invasive non-native/alien animals	1	0: N/A
		1: Low
		2: Medium
		3: High
8.1b Pathogens (non-native or native but creating new/increased problems)	1	0: N/A
		1: Low
		2: Medium
		3: High
8.2 Introduced genetic material (e.g. genetically modified organisms)	0	0: N/A
		1: Low
		2: Medium
		3: High
9. Pollution entering or generated within protected area		
Threats from introduction of exotic and/or excess materials or energy from point and non-point sources		
9.1 Household sewage and urban waste water	0	0: N/A
		1: Low
		2: Medium
		3: High
9.1a Sewage and waste water from protected area facilities (e.g. toilets, hotels etc)	0	0: N/A
		1: Low
		2: Medium
		3: High
	0	0: N/A

9.2 Industrial, mining and military effluents and discharges (e.g. poor water quality discharge from dams, e.g. unnatural temperatures, de-oxygenated, other pollution)		1: Low
		2: Medium
		3: High
9.3 Agricultural and forestry effluents (e.g. excess fertilizers or pesticides)	2	0: N/A
		1: Low
		2: Medium
		3: High
9.4 Garbage and solid waste	1	0: N/A
		1: Low
		2: Medium
		3: High
9.5 Air-borne pollutants	0	0: N/A
		1: Low
		2: Medium
		3: High
9.6 Excess energy (e.g. heat pollution, lights etc)	0	0: N/A
		1: Low
		2: Medium
		3: High
10. Geological events		
Geological events may be part of natural disturbance regimes in many ecosystems. But they can be a threat if a species or habitat is damaged and has lost its resilience and is vulnerable to disturbance. Management capacity to respond to some of these changes may be limited.		
10.1 Volcanoes	0	0: N/A
		1: Low
		2: Medium
		3: High
10.2 Earthquakes/Tsunamis	0	0: N/A
		1: Low
		2: Medium
		3: High

10.3 Avalanches/ Landslides	1	0: N/A
		1: Low
		2: Medium
		3: High
10.4 Erosion and siltation/ deposition (e.g. shoreline or riverbed changes)	1	0: N/A
		1: Low
		2: Medium
		3: High
11. Climate change and severe weather		
Threats from long-term climatic changes which may be linked to global warming and other severe climatic/weather events outside of the natural range of variation		
11.1 Habitat shifting and alteration	2	0: N/A
		1: Low
		2: Medium
		3: High
11.2 Droughts	0	0: N/A
		1: Low
		2: Medium
		3: High
11.3 Temperature extremes	2	0: N/A
		1: Low
		2: Medium
		3: High
11.4 Storms and flooding	0	0: N/A
		1: Low
		2: Medium
		3: High
12. Specific cultural and social threats		
12.1 Loss of cultural links, traditional knowledge and/or management practices	1	0: N/A
		1: Low
		2: Medium
		3: High
	0	0: N/A

12.2 Natural deterioration of important cultural site values		1: Low 2: Medium 3: High
12.3 Destruction of cultural heritage buildings, gardens, sites etc	0	0: N/A 1: Low 2: Medium 3: High
Assessment Form Para el llenado, se siguieron las orientaciones del SERNANP, de acuerdo al Documento de Trabajo 25		
1. Legal status: Does the protected area have legal status (or in the case of private reserves is covered by a covenant or similar)?	3	0: The protected area is not gazetted/covenanted 1: There is agreement that the protected area should be gazetted/covenanted but the process has not yet begun 2: The protected area is in the process of being gazetted/covenanted but the process is still incomplete (includes sites designated under international conventions, such as Ramsar, or local/traditional law such as community conserved areas, which do not yet have national legal status or covenant) 3: The protected area has been formally gazetted/covenanted

Comments and Next Steps	Established by Supreme Resolution N° 101-87-AG/DGFF of 20th March 1987	
2. Protected area regulations: Are appropriate regulations in place to control land use and activities (e.g. hunting)?	0	0: There are no regulations for controlling land use and activities in the protected area
		1: Some regulations for controlling land use and activities in the protected area exist but these are major weaknesses
		2: Regulations for controlling land use and activities in the protected area exist but there are some weaknesses or gaps
		3: Regulations for controlling inappropriate land use and activities in the protected area exist and provide an excellent basis for management
Comments and Next Steps	Law of Protected Natural Areas, its Regulation and PA Zoning. Natural resource use plans need to be produced and/or the existing ones need to be implemented.	
3. Law	2	0: The staff have no effective capacity/resources to enforce protected area legislation and regulations
Enforcement: Can staff (i.e. those with responsibility for managing the site) enforce protected area rules well enough?		1: There are major deficiencies in staff capacity/resources to enforce protected area legislation and regulations (e.g. lack of skills, no patrol budget, lack of institutional support)

		2: The staff have acceptable capacity/resources to enforce protected area legislation and regulations but some deficiencies remain
		3: The staff have excellent capacity/resources to enforce protected area legislation and regulations
Comments and Next Steps	Los Guardaparques son los encargados de hacer cumplir la normatividad dentro del ANP	
4. Protected area objectives: Is management undertaken according to agreed objectives?	2	0: No firm objectives have been agreed for the protected area
		1: The protected area has agreed objectives, but is not managed according to these objectives
		2: The protected area has agreed objectives, but is only partially managed according to these objectives
		3: The protected area has agreed objectives and is managed to meet these objectives
Comments and Next Steps		
5. Protected area design: Is the protected area the right size and shape to protect species, habitats, ecological processes and water	1	0: Inadequacies in protected area design mean achieving the major objectives of the protected area is very difficult

catchments of key conservation concern?		1: Inadequacies in protected area design mean that achievement of major objectives is difficult but some mitigating actions are being taken (e.g. agreements with adjacent land owners for wildlife corridors or introduction of appropriate catchment management)
		2: Protected area design is not significantly constraining achievement of objectives, but could be improved (e.g. with respect to larger scale ecological processes)
		3: Protected area design helps achievement of objectives; it is appropriate for species and habitat conservation; and maintains ecological processes such as surface and groundwater flows at a catchment scale, natural disturbance patterns etc
Comments and Next Steps	The PA is very long and narrow, which is not favourable for conservation.	
6. Protected area boundary demarcation:	1	0: The boundary of the protected area is not known by the management authority or local residents/neighbouring land users

Is the boundary known and demarcated?		1: The boundary of the protected area is known by the management authority but is not known by local residents/neighbouring land users
		2: The boundary of the protected area is known by both the management authority and local residents/neighbouring land users but is not appropriately demarcated
		3: The boundary of the protected area is known by the management authority and local residents/neighbouring land users and is appropriately demarcated
Comments and Next Steps		
7. Management plan: Is there a management plan and is it being implemented?	2	0: There is no management plan for the protected area 1: A management plan is being prepared or has been prepared but is not being implemented 2: A management plan exists but it is only being partially implemented because of funding constraints or other problems

		3: A management plan exists and is being implemented
Comments and Next Steps	The production of the 2014-2108 Master Plan is in process.	
7.a Planning process: The planning process allows adequate opportunity for key stakeholders to influence the management plan	1	0: No 1: Yes
Comments and Next Steps	The Master Plans are produced in a participatory manner.	
7.b Planning process: There is an established schedule and process for periodic review and updating of the management plan	1	0: No 1: Yes
Comments and Next Steps	According to the PA Law, Master Plans should be updated every 5 years.	
7.c Planning process: The results of monitoring, research and evaluation are routinely incorporated into planning	0	0: No 1: Yes
Comments and Next Steps		
8. Regular work plan: Is there a regular work plan and is it being implemented	2	0: No regular work plan exists 1: A regular work plan exists but few of the activities are implemented 2: A regular work plan exists and many activities are implemented 3: A regular work plan exists and all activities are implemented
Comments and Next Steps	The 2013 Annual Plan of Operations is being implemented and that for 2014 is being produced.	

<p>9. Resource inventory: Do you have enough information to manage the area?</p>	<p>2</p>	<p>0: There is little or no information available on the critical habitats, species and cultural values of the protected area</p> <p>1: Information on the critical habitats, species, ecological processes and cultural values of the protected area is not sufficient to support planning and decision making</p> <p>2: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient for most key areas of planning and decision making</p> <p>3: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient to support all areas of planning and decision making</p>
<p>Comments and Next Steps</p>		
<p>10. Protection systems:</p>	<p>2</p>	<p>0: Protection systems (patrols, permits etc) do not exist or are not effective in controlling access/resource use</p>

Are systems in place to control access/resource use in the protected area?		1: Protection systems are only partially effective in controlling access/resource use
		2: Protection systems are moderately effective in controlling access/resource use
		3: Protection systems are largely or wholly effective in controlling access/resource use
Comments and Next Steps		
11. Research: Is there a programme of management-orientated survey and research work?	1	0: There is no survey or research work taking place in the protected area 1: There is a small amount of survey and research work but it is not directed towards the needs of protected area management 2: There is considerable survey and research work but it is not directed towards the needs of protected area management 3: There is a comprehensive, integrated programme of survey and research work, which is relevant to management needs
Comments and Next Steps		

<p>12. Resource management: Is active resource management being undertaken?</p>	<p>0</p>	<p>0: Active resource management is not being undertaken</p> <p>1: Very few of the requirements for active management of critical habitats, species, ecological processes and cultural values are being implemented</p> <p>2: Many of the requirements for active management of critical habitats, species, ecological processes and, cultural values are being implemented but some key issues are not being addressed</p> <p>3: Requirements for active management of critical habitats, species, ecological processes and, cultural values are being substantially or fully implemented</p>
<p>Comments and Next Steps</p>		
<p>13. Staff numbers: Are there enough people employed to manage the protected area?</p>	<p>2</p>	<p>0: There are no staff</p> <p>1: Staff numbers are inadequate for critical management activities</p> <p>2: Staff numbers are below optimum level for critical management activities</p> <p>3: Staff numbers are adequate for the</p>

		management needs of the protected area
Comments and Next Steps	Current staff: 1 chief, 1 administrative, 1 specialist and 6 park guards. For 2014 it is intended to add 2 further specialists and 4 park guards	
14. Staff training: Are staff adequately trained to fulfill management objectives?	2	0: Staff lack the skills needed for protected area management
		1: Staff training and skills are low relative to the needs of the protected area
		2: Staff training and skills are adequate, but could be further improved to fully achieve the objectives of management
		3: Staff training and skills are aligned with the management needs of the protected area
Comments and Next Steps		
15. Current budget: Is the current budget sufficient?	1	0: There is no budget for management of the protected area
		1: The available budget is inadequate for basic management needs and presents a serious constraint to the capacity to manage
		2: The available budget is acceptable but could be further improved to fully achieve effective management

		3: The available budget is sufficient and meets the full management needs of the protected area
Comments and Next Steps		
16. Security of budget: Is the budget secure?	3	<p>0: There is no secure budget for the protected area and management is wholly reliant on outside or highly variable funding</p> <p>1: There is very little secure budget and the protected area could not function adequately without outside funding</p> <p>2: There is a reasonably secure core budget for regular operation of the protected area but many innovations and initiatives are reliant on outside funding</p> <p>3: There is a secure budget for the protected area and its management needs</p>
Comments and Next Steps	SERNANP covers the annual budget	
17. Management of budget: Is the budget managed to meet critical management needs?	1	<p>0: Budget management is very poor and significantly undermines effectiveness (e.g. late release of budget in financial year)</p> <p>1: Budget management is poor and constrains effectiveness</p>

		2: Budget management is adequate but could be improved
		3: Budget management is excellent and meets management needs
Comments and Next Steps		
18. Equipment: Is equipment sufficient for management needs?	2	0: There are little or no equipment and facilities for management needs
		1: There are some equipment and facilities but these are inadequate for most management needs
		2: There are equipment and facilities, but still some gaps that constrain management
		3: There are adequate equipment and facilities
Comments and Next Steps	Current infrastructure and equipment: 1 administrative base, 2 control posts, 1 pickup, 6 motorcycles, field equipment (GPS, computers, cameras)	
19. Maintenance of equipment: Is equipment adequately maintained?	2	0: There is little or no maintenance of equipment and facilities
		1: There is some ad hoc maintenance of equipment and facilities
		2: There is basic maintenance of equipment and facilities
		3: Equipment and facilities are well maintained
Comments and Next Steps		

<p>20. Education and awareness: Is there a planned education programme linked to the objectives and needs?</p>	<p>2</p>	<p>0: There is no education and awareness programme</p> <p>1: There is a limited and ad hoc education and awareness programme</p> <p>2: There is an education and awareness programme but it only partly meets needs and could be improved</p> <p>3: There is an appropriate and fully implemented education and awareness programme</p>
<p>Comments and Next Steps</p>		
<p>21. Planning for land and water use: Does land and water use planning recognise the protected area and aid the achievement of objectives?</p>	<p>2</p>	<p>0: Adjacent land and water use planning does not take into account the needs of the protected area and activities/policies are detrimental to the survival of the area</p> <p>1: Adjacent land and water use planning does not take into account the long term needs of the protected area, but activities are not detrimental the area</p> <p>2: Adjacent land and water use planning partially takes into account the long term needs of the protected area</p>

		3: Adjacent land and water use planning fully takes into account the long term needs of the protected area
Comments and Next Steps		
21a. Land and water planning for habitat conservation: Planning and management in the catchment or landscape containing the protected area incorporates provision for adequate environmental conditions (e.g. volume, quality and timing of water flow, air pollution levels etc) to sustain relevant habitats.	1	0: No 1: Yes
Comments and Next Steps		
21b. Land and water planning for habitat conservation: Management of corridors linking the protected area provides for wildlife passage to key habitats outside the protected area (e.g. to allow migratory fish to travel between freshwater spawning sites and the sea, or to allow animal migration).	1	0: No 1: Yes
Comments and Next Steps		
21c. Land and water planning for habitat conservation: "Planning addresses ecosystem-	1	0: No 1: Yes

<p>specific needs and/or the needs of particular species of concern at an ecosystem scale (e.g. volume, quality and timing of freshwater flow to sustain particular species, fire management to maintain savannah habitats etc.)"</p>		
<p>Comments and Next Steps</p>		
<p>22. State and commercial neighbours: Is there co-operation with adjacent land and water users?</p>	<p>2</p>	<p>0: There is no contact between managers and neighbouring official or corporate land and water users</p> <p>1: There is contact between managers and neighbouring official or corporate land and water users but little or no cooperation</p> <p>2: There is contact between managers and neighbouring official or corporate land and water users, but only some co-operation</p> <p>3: There is regular contact between managers and neighbouring official or corporate land and water users, and substantial co-operation on management</p>
<p>Comments and Next Steps</p>		
<p>They participate through their representatives in the PA Management Committee</p>		

<p>23. Indigenous people: Do indigenous and traditional peoples resident or regularly using the protected area have input to management decisions?</p>	<p>2</p>	<p>0: Indigenous and traditional peoples have no input into decisions relating to the management of the protected area</p>
		<p>1: Indigenous and traditional peoples have some input into discussions relating to management but no direct role in management</p>
		<p>2: Indigenous and traditional peoples directly contribute to some relevant decisions relating to management but their involvement could be improved</p>
		<p>3: Indigenous and traditional peoples directly participate in all relevant decisions relating to management, e.g. co-management</p>
<p>Comments and Next Steps</p>	<p>They participate through their representatives in the PA Management Committee</p>	
<p>24. Local communities: Do local communities resident or near the protected area have input to management decisions?</p>	<p>1</p>	<p>0: Local communities have no input into decisions relating to the management of the protected area</p>
		<p>1: Local communities have some input into discussions relating to management but no direct role in management</p>

		2: Local communities directly contribute to some relevant decisions relating to management but their involvement could be improved
		3: Local communities directly participate in all relevant decisions relating to management, e.g. co-management
Comments and Next Steps	They participate through their representatives in the PA Management Committee	
24 a. Impact on communities: There is open communication and trust between local and/or indigenous people, stakeholders and protected area managers	1	0: No 1: Yes
Comments and Next Steps		
24 b. Impact on communities: Programmes to enhance community welfare, while conserving protected area resources, are being implemented	0	0: No 1: Yes
Comments and Next Steps		
24 c. Impact on communities: Local and/or indigenous people actively support the protected area	1	0: No 1: Yes
Comments and Next Steps		
25. Economic benefit: Is the protected area providing economic benefits to local communities, e.g. income,	1	0: The protected area does not deliver any economic benefits to local communities

employment, payment for environmental services?		<p>1: Potential economic benefits are recognised and plans to realise these are being developed</p> <p>2: There is some flow of economic benefits to local communities</p> <p>3: There is a major flow of economic benefits to local communities from activities associated with the protected area</p>
Comments and Next Steps	Environmental benefits: watershed protection, carbon capture, water, landscape,	
26. Monitoring and evaluation: Are management activities monitored against performance?	2	<p>0: There is no monitoring and evaluation in the protected area</p> <p>1: There is some ad hoc monitoring and evaluation, but no overall strategy and/or no regular collection of results</p> <p>2: There is an agreed and implemented monitoring and evaluation system but results do not feed back into management</p> <p>3: A good monitoring and evaluation system exists, is well implemented and used in adaptive management</p>
Comments and Next Steps		
27. Visitor facilities: Are visitor facilities adequate?	2	<p>0: There are no visitor facilities and services despite an identified need</p> <p>1: Visitor facilities and services are inappropriate</p>

		for current levels of visitation
		2: Visitor facilities and services are adequate for current levels of visitation but could be improved
		3: Visitor facilities and services are excellent for current levels of visitation
Comments and Next Steps		
28. Commercial tourism operators: Do commercial tour operators contribute to protected area management?	0	0: There is little or no contact between managers and tourism operators using the protected area
		1: There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters
		2: There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values
		3: There is good co-operation between managers and tourism operators to enhance visitor experiences, and maintain protected area values
Comments and Next Steps		

<p>29. Fees: If fees (i.e. entry fees or fines) are applied, do they help protected area management?</p>	<p>0</p>	<p>0: Although fees are theoretically applied, they are not collected</p> <p>1: Fees are collected, but make no contribution to the protected area or its environs</p> <p>2: Fees are collected, and make some contribution to the protected area and its environs</p> <p>3: Fees are collected and make a substantial contribution to the protected area and its environs</p>
<p>Comments and Next Steps</p>		
<p>30. Condition of values: What is the condition of the important values of the protected area as compared to when it was first designated?</p>	<p>2</p>	<p>0: Many important biodiversity, ecological or cultural values are being severely degraded</p> <p>1: Some biodiversity, ecological or cultural values are being severely degraded</p> <p>2: Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted</p> <p>3: Biodiversity, ecological and cultural values are predominantly intact</p>
<p>Comments and Next Steps</p>		
<p>The Protection Forest retains 50% of its vegetation cover</p>		

30a: Condition of values: The assessment of the condition of values is based on research and/or monitoring	0	0: No 1: Yes
Comments and Next Steps		
30b: Condition of values Specific management programmes are being implemented to address threats to biodiversity, ecological and cultural values	0	0: No 1: Yes
Comments and Next Steps		
30c: Condition of values: Activities to maintain key biodiversity, ecological and cultural values are a routine part of park management	0	0: No 1: Yes
Comments and Next Steps		
TOTAL SCORE	54	Pls add up numbers from assessment form (questions 1 to 30)



ool for Biodiversity Projects in GEF-3, GEF-4, and GEF-5

Objective 1: Catalyzing Sustainability of Protected Area Systems

SECTION II: Management Effectiveness Tracking Tool for Protected Areas

Note: Please complete the management effectiveness tracking tool for **EACH** protected area that is the target of the GEF intervention and create a new worksheet for each.

Structure and content of the Tracking Tool - Objective 1. Section II:

The Tracking Tool has two main sections: datasheets and assessment form. Both sections should be completed.

1. Datasheets: the data sheet comprises of two separate sections:

ü Data sheet 1: records details of the assessment and some basic information about the site, such as name, size and location etc.

ü Data sheet 2: provides a generic list of threats which protected areas can face. On this data sheet the assessors are asked to identify threats and rank their impact on the protected area.

2. Assessment Form: the assessment is structured around 30 questions presented in table format which includes three columns for recording details of the assessment, all of which should be completed.

Important: Please read the Guidelines posted on the GEF website before entering your data

Data Sheet 1: Reporting Progress at Protected Area Sites	Please indicate your answer here	Notes
Name, affiliation and contact details for person responsible for completing the METT (email etc.)	Kary Rios , Area Chief krios@sernanp.gob.pe	
Date assessment carried out	Jan 08, 2018	Month DD, YYYY (e.g., May 12, 2010)
Name of protected area	El Sira Communal Reserve	
WDPA site code (these codes can be found on www.unep-wcmc.org/wdpa/)	0	
Designations(please choose 1-3)	1	1: National

		2: IUCN Category	
		3: International (please complete lines 35-69 as necessary)	
Country	Perú		
Location of protected area (province and if possible map reference)	Región Ucayali (Provincias Atalaya y Coronel Portillo), Región Pasco (Provincia Oxapampa) and Región Huánuco (Provincia Puerto Inca)		
Date of establishment	2001		
Ownership details (please choose 1-4)	1		
		1: State	
		2: Private	
		3: Community	
		4: Other	
Management Authority	SERNANP		
Size of protected area (ha)	616413		
Number of Permanent staff	24		
Number of Temporary staff	85		
Annual budget (US\$) for recurrent (operational) funds – excluding staff salary costs	42 827		
Annual budget (US\$) for project or other supplementary funds – excluding staff salary costs	320,000		
What are the main values for which the area is designated	Conserves the biodiversity of the El Sira range, protects watersheds and resources used by ancestral indigenous inhabitants		
List the two primary protected area management objectives in below:			

Management objective 1	Conservation of biodiversity in benefit of the native communities belonging to the ashaninka, asheninka, yanesha and shipibo-conibo ethnic groups neighbouring the PA		
Management objective 2	Institutional strengthening of the Com-Management Unit: the RCS leadership and the ECA (ECOSIRA), as well as grassroots organisations of the zone to achieve the conservation objectives of the RCS.		
No. of people involved in completing assessment	5	La jefatura y equipo, con apoyo del proyecto AR	
Including: (please choose 1-8)	1,2,3	1: PA manager 2: PA staff 3: Other PA agency staff 4: Donors 5: NGOs 6: External experts 7: Local community 8: Other	
Information on International Designations	Please indicate your answer here		
	-		

UNESCO World Heritage site (see: http://whc.unesco.org/en/list)	no		
Date Listed	-		
Site name	-		
Site area	-		
Geographical co-ordinates	-		
	-		
Criteria for designation	-	(i.e. criteria i to x)	
Statement of Outstanding Universal Value	-		
	-		
Ramsar site (see: http://ramsar.wetlands.org)	no		
Date Listed	-		
Site name	-		
Site area	-		
Geographical number	-		
Reason for Designation (see Ramsar Information Sheet)	-		
	-		
UNESCO Man and Biosphere Reserves (see: http://www.unesco.org/new/en/natural-sciences/environment/ecological-sciences/man-and-biosphere-programme/)	si		

Date Listed	2010		
Site name	Oxapampa-Ashaninka-Yanesha Biosphere Reserve		
Site area	1867379 ha	Total, Core, Buffer, and Transition	
Geographical co-ordinates	Long. 73°45'W - 76°15'W Lat. 9°20'S - 11°05'S		
Criteria for designation	The Biosphere Reserve constitutes a very important conservation site due to the presence of indigenous cultures, sustainable crops and natural protected areas.		
Fulfilment of three functions of MAB	Yes	conservation, development and logistic support	
Please list other designations (i.e. ASEAN Heritage, Natura 2000) and any supporting information below			
		Name	
		Detail	
		Name	
		Detail	
		Name	
		Detail	
Data Sheet 2: Protected Areas Threats (please complete a Data Sheet of threats and assessment for each protected area of the project).			Notes
Please choose all relevant existing threats as either of high, medium or low significance. Threats ranked as of high significance are those which are seriously degrading values; medium are those threats having some negative impact			

and those characterised as low are threats which are present but not seriously impacting values or N/A where the threat is not present or not applicable in the protected area.			
1. Residential and commercial development within a protected area			
Threats from human settlements or other non-agricultural land uses with a substantial footprint			
1.1 Housing and settlement	2	0: N/A	
		1: Low	
		2: Medium	
		3: High	
1.2 Commercial and industrial areas	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
1.3 Tourism and recreation infrastructure	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
2. Agriculture and aquaculture within a protected area			
Threats from farming and grazing as a result of agricultural expansion and intensification, including silviculture, mariculture and aquaculture			

2.1 Annual and perennial non-timber crop cultivation	2	0: N/A	<p>Las acciones de erradicación de cultivos ilícitos fue intensa hasta finales del año 2013 en los ambitos de la RCS. A partir de ahí se inicia el plan post-erradicación y DEVIDA que promueve cultivos alternativos de cultivos de cacao en la zona del Pichis, Pachitea – Tournavista (directamente por DEVIDA) y en los margenes del rio ucayali ejecutado por gobiernos locales. Asimismo, los gobiernos locales, a través de fondos públicos, han iniciado la ejecución de proyectos de café y cacao, y la DRA del GOREU ha puesto en marcha (en el 2017) el proyecto Café 2017-2019 para la renovación de cafetales afectados por la roya en la zona de Oventeni.</p>
		1: Low	
		2: Medium	

		3: High	
2.1a Drug cultivation	1	0: N/A	El proceso de erradicación de cultivos ilícitos en los ambitos I Pichis, Pachitea y Tournavista fue intenso en el 2013 desde ese año se a generado un migración a zonas mas alejadas y se empieza la instalación de nuevas plantaciones. En los ultimos cuatro años subsiguientes la falta de la presencia del estado originó un incremento de cultivos ilícitos en la zona de Pachitea - Tournavista (Huánuco y Ucayali) y en el sector Pichis (pasco).
		1: Low	
		2: Medium	
		3: High	
2.2 Wood and pulp plantations	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
2.3 Livestock farming and grazing	2	0: N/A	
		1: Low	
		2: Medium	
		3: High	

2.4 Marine and freshwater aquaculture	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
3. Energy production and mining within a protected area			
Threats from production of non-biological resources			
3.1 Oil and gas drilling	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
3.2 Mining and quarrying	1	0: N/A	
		1: Low	
		2: Medium	
		3: High	
3.3 Energy generation, including from hydropower dams	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
4. Transportation and service corridors within a protected area			
Threats from long narrow transport corridors and the vehicles that use them including associated wildlife mortality			
4.1 Roads and railroads (include road-killed animals)	1	0: N/A	
		1: Low	
		2: Medium	
		3: High	
4.2 Utility and service lines (e.g. electricity cables, telephone lines,)	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
4.3 Shipping lanes and canals	1	0: N/A	Se hace a la vía que se aperturadapor por madereros ilegales y que va desde Tournavista hasta lparia cruzando todo

			el ANP. Esta via es muy transitada con motos y motokares en la epoca seca.
		1: Low	
		2: Medium	
		3: High	
4.4 Flight paths	1	0: N/A	En los años 2015-2016, se identificaron pistas de aterrizaje ilegales encontradas en la zona del Pichis-Palcazu (Puerto Bermudez), las mismas que a la fecha estan destruidas.
		1: Low	
		2: Medium	
		3: High	
5. Biological resource use and harm within a protected area			
Threats from consumptive use of "wild" biological resources including both deliberate and unintentional harvesting effects; also persecution or control of specific species (note this includes hunting and killing of animals)			
5.1 Hunting, killing and collecting terrestrial animals (including killing of animals as a result of human/wildlife conflict)	1	0: N/A	
		1: Low	
		2: Medium	
		3: High	
5.2 Gathering terrestrial plants or plant products (non-timber)	1	0: N/A	
		1: Low	
		2: Medium	
		3: High	

5.3 Logging and wood harvesting	2	0: N/A	Se ha incrementado en las CCNN ubicadas en la zona del Ucayali (CCNN Ubicadas al margen del rio), a los madereros les resulta mas facil acceder a los permisos forestales de las CCNN y/o habilitan a comuneros para extracción de madera.
		1: Low	
		2: Medium	
		3: High	
5.4 Fishing, killing and harvesting aquatic resources	1	0: N/A	
		1: Low	
		2: Medium	
		3: High	
6. Human intrusions and disturbance within a protected area			
Threats from human activities that alter, destroy or disturb habitats and species associated with non-consumptive uses of biological resources			
6.1 Recreational activities and tourism	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
6.2 War, civil unrest and military exercises	1	0: N/A	Conflictos generados por el narcotrafico, cultivos ilicitos (en la zona del Pichis - Palcazu) y por la minería ilegal (sector Pachitea)
		1: Low	
		2: Medium	

		3: High	
6.3 Research, education and other work-related activities in protected areas	1	0: N/A	
		1: Low	
		2: Medium	
		3: High	
6.4 Activities of protected area managers (e.g. construction or vehicle use, artificial watering points and dams)	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
6.5 Deliberate vandalism, destructive activities or threats to protected area staff and visitors	2	0: N/A	Las personas que realizan las actividades ilícitas de narcotráfico y minería ilegal en las zonas del Pachitea y Pichis Palcazu, Son un gran riesgo para el personal de la RCS al considerar que interfieren en el desarrollo de sus actividades
		1: Low	
		2: Medium	
		3: High	
7. Natural system modifications			
Threats from other actions that convert or degrade habitat or change the way the ecosystem functions			
7.1 Fire and fire suppression (including arson)	2	0: N/A	Los incendios son mas frecuentes debido al incremento de áreas para cultivos agrícolas cercanas a la RCS. Los incendios se generan durante las actividades de roza y quema de

			chacras; actividad generada por la instalación de cultivos alternativos.
		1: Low	
		2: Medium	
		3: High	
7.2 Dams, hydrological modification and water management/use	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
7.3a Increased fragmentation within protected area	2	0: N/A	Se considera un aumento de la fragmentación en la zona donde se a aperturado la vía Tournavista- Iparia (sector Pachitea y Medio Ucayali), debido a la apertura de la vía y a los cultivos de coca que se han aperturado ilegalmente en la zona. Se cuenta con la información de los reportes de guardaparques y sobrevuelos.
		1: Low	
		2: Medium	
		3: High	

7.3b Isolation from other natural habitat (e.g. deforestation, dams without effective aquatic wildlife passages)	2	0: N/A	Se ha considerado la deforestación causada para sembrar cultivos de coca (de manera ilícita) en el sector Pachitea y Medio Ucayali. Se cuenta con los reportes de guardaparques y los reportes de sobrevuelo
		1: Low	
		2: Medium	
		3: High	
7.3c Other 'edge effects' on park values	1	0: N/A	
		1: Low	
		2: Medium	
		3: High	
7.3d Loss of keystone species (e.g. top predators, pollinators etc)	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
8. Invasive and other problematic species and genes			
Threats from terrestrial and aquatic non-native and native plants, animals, pathogens/microbes or genetic materials that have or are predicted to have harmful effects on biodiversity following introduction, spread and/or increase			
8.1 Invasive non-native/alien plants (weeds)	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
8.1a Invasive non-native/alien animals	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
	0	0: N/A	

8.1b Pathogens (non-native or native but creating new/increased problems)		1: Low	
		2: Medium	
		3: High	
8.2 Introduced genetic material (e.g. genetically modified organisms)	0	0: N/A	
		1: Low	
		2: Medium	
9. Pollution entering or generated within protected area			
Threats from introduction of exotic and/or excess materials or energy from point and non-point sources			
9.1 Household sewage and urban waste water	1	0: N/A	Se tomó en cuenta el incremento de la población aledaña a la RCS (CCNN, Caserios), cuyas aguas y desechos van a parar a los ríos y quebradas. Sin embargo se considera que es a un nivel bajo.
		1: Low	
		2: Medium	
		3: High	
9.1a Sewage and waste water from protected area facilities (e.g. toilets, hotels etc)	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
9.2 Industrial, mining and military effluents and discharges (e.g. poor water quality discharge from dams, e.g. unnatural temperatures, de-oxygenated, other pollution)	1	0: N/A	se consideró la contaminación del agua por desechos de pozas de maceración de coca y minería ilegal en el sector Pachitea. El cual puede bajar de acuerdo a como esten

			las actividades de interdicción.
		1: Low	
		2: Medium	
		3: High	
9.3 Agricultural and forestry effluents (e.g. excess fertilizers or pesticides)	1	0: N/A	
		1: Low	
		2: Medium	
		3: High	
9.4 Garbage and solid waste	1	0: N/A	
		1: Low	
		2: Medium	
		3: High	
9.5 Air-borne pollutants	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
9.6 Excess energy (e.g. heat pollution, lights etc)	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
10. Geological events			
Geological events may be part of natural disturbance regimes in many ecosystems. But they can be a threat if a species or habitat is damaged and has lost its resilience and is vulnerable to disturbance. Management capacity to respond to some of these changes may be limited.			
10.1 Volcanoes	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
10.2 Earthquakes/Tsunamis	0	0: N/A	

		1: Low	
		2: Medium	
		3: High	
10.3 Avalanches/ Landslides	1	0: N/A	Se han reportado deslizamientos en la zona del Pichis - Gran Pajonal y parte del Alto Ucayali
		1: Low	
		2: Medium	
		3: High	
10.4 Erosion and siltation/ deposition (e.g. shoreline or riverbed changes)	1	0: N/A	
		1: Low	
		2: Medium	
		3: High	
11. Climate change and severe weather			
Threats from long-term climatic changes which may be linked to global warming and other severe climatic/weather events outside of the natural range of variation			
11.1 Habitat shifting and alteration	1	0: N/A	
		1: Low	
		2: Medium	
		3: High	
11.2 Droughts	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
11.3 Temperature extremes	1	0: N/A	
		1: Low	
		2: Medium	
		3: High	
11.4 Storms and flooding	2	0: N/A	
		1: Low	
		2: Medium	
		3: High	
12. Specific cultural and social threats			
	2	0: N/A	

12.1 Loss of cultural links, traditional knowledge and/or management practices		1: Low	
		2: Medium	
		3: High	
12.2 Natural deterioration of important cultural site values	1	0: N/A	
		1: Low	
		2: Medium	
12.3 Destruction of cultural heritage buildings, gardens, sites etc	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
Assessment Form			
Para el llenado, se siguieron las orientaciones del SERNANP, de acuerdo al Documento de Trabajo 25			
1. Legal status: Does the protected area have legal status (or in the case of private reserves is covered by a covenant or similar)?	3	0: The protected area is not gazetted/covenanted 1: There is agreement that the protected area should be gazetted/covenanted but the process has not yet begun 2: The protected area is in the process of being gazetted/covenanted but the process is still incomplete (includes sites designated under international conventions, such as Ramsar, or local/traditional law such as community conserved areas, which do not yet have national legal status or covenant) 3: The protected area has been formally gazetted/covenanted	
Comments and Next Steps	Established by Supreme Decree N° 037-2001-AG of 22nd June 2001		
2. Protected area regulations: Are appropriate regulations in place to control land use and activities (e.g. hunting)?	2	0: There are no regulations for controlling land use and activities in the protected area	
		1: Some regulations for controlling land use and activities in the protected area exist but these are major weaknesses	

		2: Regulations for controlling land use and activities in the protected area exist but there are some weaknesses or gaps	
		3: Regulations for controlling inappropriate land use and activities in the protected area exist and provide an excellent basis for management	
Comments and Next Steps	Law of Protected Natural Areas, its Regulation and PA Zoning. Natural resource use plans need to be produced and/or the existing ones need to be implemented.		
3. Law	2	0: The staff have no effective capacity/resources to enforce protected area legislation and regulations	
Enforcement: Can staff (i.e. those with responsibility for managing the site) enforce protected area rules well enough?		1: There are major deficiencies in staff capacity/resources to enforce protected area legislation and regulations (e.g. lack of skills, no patrol budget, lack of institutional support)	
		2: The staff have acceptable capacity/resources to enforce protected area legislation and regulations but some deficiencies remain	
		3: The staff have excellent capacity/resources to enforce protected area legislation and regulations	
Comments and Next Steps		The Park Guards are responsible for ensuring compliance with the PA norms, however shortage of economic resources is a major limiting factor.	
4. Protected area objectives: Is management undertaken according to agreed objectives?	2	0: No firm objectives have been agreed for the protected area	
		1: The protected area has agreed objectives, but is not managed according to these objectives	
		2: The protected area has agreed objectives, but is only partially managed according to these objectives	

		3: The protected area has agreed objectives and is managed to meet these objectives	
Comments and Next Steps	Ambiental 75%, economico 0%, sociocultural 100%		
5. Protected area design: Is the protected area the right size and shape to protect species, habitats, ecological processes and water catchments of key conservation concern?	2	0: Inadequacies in protected area design mean achieving the major objectives of the protected area is very difficult	
		1: Inadequacies in protected area design mean that achievement of major objectives is difficult but some mitigating actions are being taken (e.g. agreements with adjacent land owners for wildlife corridors or introduction of appropriate catchment management)	
		2: Protected area design is not significantly constraining achievement of objectives, but could be improved (e.g. with respect to larger scale ecological processes)	
		3: Protected area design helps achievement of objectives; it is appropriate for species and habitat conservation; and maintains ecological processes such as surface and groundwater flows at a catchment scale, natural disturbance patterns etc	
Comments and Next Steps	Se vienen creando acuerdos con poblaciones colindantes para mejorar la gestión del ANP		
6. Protected area boundary demarcation:	2	0: The boundary of the protected area is not known by the management authority or local residents/neighbouring land users	
Is the boundary known and demarcated?		1: The boundary of the protected area is known by the management authority but is not known by local residents/neighbouring land users	

		2: The boundary of the protected area is known by both the management authority and local residents/neighbouring land users but is not appropriately demarcated	
		3: The boundary of the protected area is known by the management authority and local residents/neighbouring land users and is appropriately demarcated	
Comments and Next Steps	Se han desarrollado avances en temas de delimitación con instituciones como DEVIDA, PNUD-DCI en CCNN, en CCNN colindantes del ANP		
7. Management plan: Is there a management plan and is it being implemented?	2	0: There is no management plan for the protected area	
		1: A management plan is being prepared or has been prepared but is not being implemented	
		2: A management plan exists but it is only being partially implemented because of funding constraints or other problems	
		3: A management plan exists and is being implemented	
Comments and Next Steps	The 2009-2013 Master Plan is current: the 2014-2018 plan is being prepared 2017. El plan maestro fue actualizado el 2015 y tiene una vigencia hasta el 2019, el cual se viene implementado Ambiental 74.6%, economico 74.1%, sociocultural 63.6%,		
7.a Planning process: The planning process allows adequate opportunity for key stakeholders to influence the management plan	1	0: No 1: Yes	
Comments and Next Steps	The Master Plans are prepared in a participatory manner		
7.b Planning process: There is an established schedule and process for periodic review and updating of the management plan	1	0: No 1: Yes	
Comments and Next Steps	According to the PA Law, Master Plans should be updated every 5 years		

7.c Planning process: The results of monitoring, research and evaluation are routinely incorporated into planning	1	0: No 1: Yes	
Comments and Next Steps			
8. Regular work plan: Is there a regular work plan and is it being implemented	3	0: No regular work plan exists	
		1: A regular work plan exists but few of the activities are implemented	
		2: A regular work plan exists and many activities are implemented	
		3: A regular work plan exists and all activities are implemented	
Comments and Next Steps	The 2013 Annual Plan of Operations is being implemented and the 2014 plan is currently being prepared En el POA 2018 se ha considerado las lineas estrategicas de acuerdo al Plan Maestro		
9. Resource inventory: Do you have enough information to manage the area?	2	0: There is little or no information available on the critical habitats, species and cultural values of the protected area	
		1: Information on the critical habitats, species, ecological processes and cultural values of the protected area is not sufficient to support planning and decision making	
		2: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient for most key areas of planning and decision making	
		3: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient to support all areas of planning and decision making	
Comments and Next Steps			
10. Protection systems:	2	0: Protection systems (patrols, permits etc) do not exist or are not effective in controlling access/resource use	

Are systems in place to control access/resource use in the protected area?		1: Protection systems are only partially effective in controlling access/resource use	
		2: Protection systems are moderately effective in controlling access/resource use	
		3: Protection systems are largely or wholly effective in controlling access/ resource use	
Comments and Next Steps	The 2013 Annual Plan of Operations proposes 30 routine patrols and 1 special patrol in the reserve De acuerdo a la estrategia de ambitos controlados se ha cubierto un aprox. de 170 000 hectareas en el 2017.		
11. Research: Is there a programme of management-orientated survey and research work?	2	0: There is no survey or research work taking place in the protected area	
		1: There is a small amount of survey and research work but it is not directed towards the needs of protected area management	
		2: There is considerable survey and research work but it is not directed towards the needs of protected area management	
		3: There is a comprehensive, integrated programme of survey and research work, which is relevant to management needs	
Comments and Next Steps	There is research and monitoring of flora, fauna and climate in the altitudinal transect 2017: A finales del 2016 la RCS cuenta con el Listado de Investigaciones Prioritarias, que contrubuye con la gestión del ANP.		
12. Resource management: Is active resource management being undertaken?	2	0: Active resource management is not being undertaken	
		1: Very few of the requirements for active management of critical habitats, species, ecological processes and cultural values are being implemented	
		2: Many of the requirements for active management of critical habitats, species, ecological processes and, cultural values are being implemented but some key issues are not being addressed	

		3: Requirements for active management of critical habitats, species, ecological processes and, cultural values are being substantially or fully implemented	
Comments and Next Steps	2017. Se viene promoviendo actividades en la zona de amortiguamiento y al interior del ANP, bajo modalidades de otorgamiento de derecho (Acuerdos de actividad menor y contratos de aprovechamiento)		
13. Staff numbers: Are there enough people employed to manage the protected area?	1	0: There are no staff	
		1: Staff numbers are inadequate for critical management activities	
		2: Staff numbers are below optimum level for critical management activities	
		3: Staff numbers are adequate for the management needs of the protected area	
Comments and Next Steps	Current staff: 1 chief, 03 specialists, 01 coordinador ambiental and 19 park guards		
14. Staff training: Are staff adequately trained to fulfill management objectives?	2	0: Staff lack the skills needed for protected area management	
		1: Staff training and skills are low relative to the needs of the protected area	
		2: Staff training and skills are adequate, but could be further improved to fully achieve the objectives of management	
		3: Staff training and skills are aligned with the management needs of the protected area	
Comments and Next Steps	Se requiere fortalecer las capacidades a finde implementar		
15. Current budget: Is the current budget sufficient?	1	0: There is no budget for management of the protected area	
		1: The available budget is inadequate for basic management needs and presents a serious constraint to the capacity to manage	

		2: The available budget is acceptable but could be further improved to fully achieve effective management	
		3: The available budget is sufficient and meets the full management needs of the protected area	
Comments and Next Steps			
16. Security of budget: Is the budget secure?	1	0: There is no secure budget for the protected area and management is wholly reliant on outside or highly variable funding	
		1: There is very little secure budget and the protected area could not function adequately without outside funding	
		2: There is a reasonably secure core budget for regular operation of the protected area but many innovations and initiatives are reliant on outside funding	
		3: There is a secure budget for the protected area and its management needs	
Comments and Next Steps	2017; Existe pedidos de la Jefatura a la administración del SERNANP de demandas adicionales al presupuesto anual para el desarrollo de las actividades		
17. Management of budget: Is the budget managed to meet critical management needs?	2	0: Budget management is very poor and significantly undermines effectiveness (e.g. late release of budget in financial year)	
		1: Budget management is poor and constrains effectiveness	
		2: Budget management is adequate but could be improved	
		3: Budget management is excellent and meets management needs	
Comments and Next Steps			
18. Equipment: Is equipment sufficient for management needs?	2	0: There are little or no equipment and facilities for management needs	
		1: There are some equipment and facilities but these are inadequate for most management needs	

		2: There are equipment and facilities, but still some gaps that constrain management	
		3: There are adequate equipment and facilities	
Comments and Next Steps	2017: 04 sub sedes, 07 puestos de control, 02 camionetas 4x4, 14 motocicletas, 10 fueras de borda, 10 motores pk pk y 02 botes chalupas		
19. Maintenance of equipment: Is equipment adequately maintained?	2	0: There is little or no maintenance of equipment and facilities	
		1: There is some ad hoc maintenance of equipment and facilities	
		2: There is basic maintenance of equipment and facilities	
		3: Equipment and facilities are well maintained	
Comments and Next Steps			
20. Education and awareness: Is there a planned education programme linked to the objectives and needs?	2	0: There is no education and awareness programme	
		1: There is a limited and ad hoc education and awareness programme	
		2: There is an education and awareness programme but it only partly meets needs and could be improved	
		3: There is an appropriate and fully implemented education and awareness programme	
Comments and Next Steps			
21. Planning for land and water use: Does land and water use planning recognise the protected area and aid the achievement of objectives?	1	0: Adjacent land and water use planning does not take into account the needs of the protected area and activities/policies are detrimental to the survival of the area	
		1: Adjacent land and water use planning does not takes into account the long term needs of the protected area, but activities are not detrimental the area	

		2: Adjacent land and water use planning partially takes into account the long term needs of the protected area	
		3: Adjacent land and water use planning fully takes into account the long term needs of the protected area	
Comments and Next Steps	Se han generado espacios de participación en las regiones de Ucayali, Pasco, quedando pendiente la region Huanuco; y a nivel local en los distritos de Atalaya, Tournavista, Yuyapichis		
21a. Land and water planning for habitat conservation: Planning and management in the catchment or landscape containing the protected area incorporates provision for adequate environmental conditions (e.g. volume, quality and timing of water flow, air pollution levels etc) to sustain relevant habitats.	0	0: No 1: Yes	
Comments and Next Steps			
21b. Land and water planning for habitat conservation: Management of corridors linking the protected area provides for wildlife passage to key habitats outside the protected area (e.g. to allow migratory fish to travel between freshwater spawning sites and the sea, or to allow animal migration).	1	0: No 1: Yes	
Comments and Next Steps	El transecto altitudinal Iparia-Ariapo, Enfoque de paisaje a nivel de la Reserva de Biosfera Oxapampa-Ashaninka-Yanesha. (RBOAY).		
21c. Land and water planning for habitat conservation: "Planning addresses ecosystem-specific needs and/or the needs of particular species of concern at an ecosystem scale (e.g. volume, quality and timing of freshwater flow to sustain particular species, fire management to maintain savannah habitats etc.)"	1	0: No 1: Yes	
Comments and Next Steps	Monitoring of vegetation, tree growth, birds, amphibians and climate in the Yuyapichis altitudinal transect to evaluate the effects of climate change		

22. State and commercial neighbours: Is there co-operation with adjacent land and water users?	2	0: There is no contact between managers and neighbouring official or corporate land and water users	
		1: There is contact between managers and neighbouring official or corporate land and water users but little or no cooperation	
		2: There is contact between managers and neighbouring official or corporate land and water users, but only some co-operation	
		3: There is regular contact between managers and neighbouring official or corporate land and water users, and substantial co-operation on management	
Comments and Next Steps	Participación activa de los representantes en el CdG y mediante la emisión de opiniones técnicas previas vinculantes a actividades que se realizan en la ZA de la RCS.		
23. Indigenous people: Do indigenous and traditional peoples resident or regularly using the protected area have input to management decisions?	3	0: Indigenous and traditional peoples have no input into decisions relating to the management of the protected area	
		1: Indigenous and traditional peoples have some input into discussions relating to management but no direct role in management	
		2: Indigenous and traditional peoples directly contribute to some relevant decisions relating to management but their involvement could be improved	
		3: Indigenous and traditional peoples directly participate in all relevant decisions relating to management, e.g. co-management	
Comments and Next Steps	Se viene fortaleciendo la gestión de la ECA para generar compromisos por parte de las comunidades socias.		
24. Local communities: Do local communities resident or near the protected area have input to management decisions?	3	0: Local communities have no input into decisions relating to the management of the protected area	

		1: Local communities have some input into discussions relating to management but no direct role in management	
		2: Local communities directly contribute to some relevant decisions relating to management but their involvement could be improved	
		3: Local communities directly participate in all relevant decisions relating to management, e.g. co-management	
Comments and Next Steps	ECOSIRA viene promoviendo el involucramiento de las 69 CCNN y 01 Caserio para generar compromisos y acciones en la ZA		
24 a. Impact on communities: There is open communication and trust between local and/or indigenous people, stakeholders and protected area managers	1	0: No 1: Yes	
Comments and Next Steps			
24 b. Impact on communities: Programmes to enhance community welfare, while conserving protected area resources, are being implemented	1	0: No 1: Yes	
Comments and Next Steps			
24 c. Impact on communities: Local and/or indigenous people actively support the protected area	1	0: No 1: Yes	
Comments and Next Steps	Inicaitvas del PNCB, DCI, PNUD, vienen contribuyendo a que las comunidades se identifiquen con la RCS		
25. Economic benefit: Is the protected area providing economic benefits to local communities, e.g. income, employment, payment for environmental services?	2	0: The protected area does not deliver any economic benefits to local communities	
		1: Potential economic benefits are recognised and plans to realise these are being developed	
		2: There is some flow of economic benefits to local communities	

		3: There is a major flow of economic benefits to local communities from activities associated with the protected area	
Comments and Next Steps			
26. Monitoring and evaluation: Are management activities monitored against performance?	3	0: There is no monitoring and evaluation in the protected area	
		1: There is some ad hoc monitoring and evaluation, but no overall strategy and/or no regular collection of results	
		2: There is an agreed and implemented monitoring and evaluation system but results do not feed back into management	
		3: A good monitoring and evaluation system exists, is well implemented and used in adaptive management	
Comments and Next Steps	A través del reporte de implementación del Plan Maestro, con insumos de los informes trimestrales la jefatura toma decisiones para mejorar la gestión en el ANP.		
27. Visitor facilities: Are visitor facilities adequate?	0	0: There are no visitor facilities and services despite an identified need	
		1: Visitor facilities and services are inappropriate for current levels of visitation	
		2: Visitor facilities and services are adequate for current levels of visitation but could be improved	
		3: Visitor facilities and services are excellent for current levels of visitation	
Comments and Next Steps			
28. Commercial tourism operators: Do commercial tour operators contribute to protected area management?	1	0: There is little or no contact between managers and tourism operators using the protected area	
		1: There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters	

		2: There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values	
		3: There is good co-operation between managers and tourism operators to enhance visitor experiences, and maintain protected area values	
Comments and Next Steps	Se cuenta con un acuerdo de cooperación con un Operador Turístico "Viridis"		
29. Fees: If fees (i.e. entry fees or fines) are applied, do they help protected area management?	0	0: Although fees are theoretically applied, they are not collected	
		1: Fees are collected, but make no contribution to the protected area or its environs	
		2: Fees are collected, and make some contribution to the protected area and its environs	
		3: Fees are collected and make a substantial contribution to the protected area and its environs	
Comments and Next Steps			
30. Condition of values: What is the condition of the important values of the protected area as compared to when it was first designated?	1	0: Many important biodiversity, ecological or cultural values are being severely degraded	
		1: Some biodiversity, ecological or cultural values are being severely degraded	
		2: Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted	
		3: Biodiversity, ecological and cultural values are predominantly intact	
Comments and Next Steps	The northern zone of the reserve is under the greatest threats		
30a: Condition of values: The assessment of the condition of values is based on research and/or monitoring	1	0: No 1: Yes	

Comments and Next Steps			
30b: Condition of values Specific management programmes are being implemented to address threats to biodiversity, ecological and cultural values	1	0: No 1: Yes	
Comments and Next Steps	There is no specific management programme, but there are certain mechanisms that help to manage the threats affecting the PA		
30c: Condition of values: Activities to maintain key biodiversity, ecological and cultural values are a routine part of park management	1	0: No 1: Yes	
Comments and Next Steps			
TOTAL SCORE	66	Pls add up numbers from assessment form (questions 1 to 30)	



ool for Biodiversity Projects in GEF-3, GEF-4, and GEF-5

Objective 1: Catalyzing Sustainability of Protected Area Systems

SECTION II: Management Effectiveness Tracking Tool for Protected Areas

Note: Please complete the management effectiveness tracking tool for **EACH** protected area that is the target of the GEF intervention and create a new worksheet for each.

Structure and content of the Tracking Tool - Objective 1. Section II:

The Tracking Tool has two main sections: datasheets and assessment form. Both sections should be completed.

1. Datasheets: the data sheet comprises of two separate sections:

ü Data sheet 1: records details of the assessment and some basic information about the site, such as name, size and location etc.

ü Data sheet 2: provides a generic list of threats which protected areas can face. On this data sheet the assessors are asked to identify threats and rank their impact on the protected area.

2. Assessment Form: the assessment is structured around 30 questions presented in table format which includes three columns for recording details of the assessment, all of which should be completed.

Important: Please read the Guidelines posted on the GEF website before entering your data

Data Sheet 1: Reporting Progress at Protected Area Sites	Please indicate your answer here	Notes
Name, affiliation and contact details for person responsible for completing the METT (email etc.)	Jhon Florez. Area Chief jflorez@sernanp.gob.pe	
Date assessment carried out	Ene 08, 2018	Month DD, YYYY (e.g., May 12, 2010)
Name of protected area	Manu National Park	
WDPA site code (these codes can be found on www.unep-wcmc.org/wdpa/)	-	
Designations(please choose 1-3)	3	1: National 2: IUCN Category 3: International (please complete lines 35-69 as necessary)

Country	Perú	
Location of protected area (province and if possible map reference)	Región Cusco (Provincia Paucartambo) y Región Madre de Dios (Provincia Manu)	
Date of establishment	1973	
Ownership details (please choose 1-4)	1	
		1: State
		2: Private
		3: Community
	4: Other	
Management Authority	SERNANP	
Size of protected area (ha)	1716295	
Number of Permanent staff	32	
Number of Temporary staff	3	Voluntary Park Guards
Annual budget (US\$) for recurrent (operational) funds – excluding staff salary costs	510,144	
Annual budget (US\$) for project or other supplementary funds – excluding staff salary costs	0	
What are the main values for which the area is designated	Conserves the rich biodiversity of montane forests and various ecosystems, from the Andes to the Amazon lowlands. Considered to be one of the most biodiverse places on the planet.	
List the two primary protected area management objectives in below:		
Management objective 1	To protect a representative sample of biodiversity, as well as lowland forest landscape, ceja de selva and Andes of southeast Peru.	

Management objective 2	To promote tourism and contribute to development in the park and its area of influence, based on ecological and cultural criteria	
No. of people involved in completing assessment	5	
Including: (please choose 1-8)	1,2,3	
		1: PA manager
		2: PA staff
		3: Other PA agency staff
		4: Donors
		5: NGOs
		6: External experts
		7: Local community
		8: Other
Information on International Designations	Please indicate your answer here	
	-	
UNESCO World Heritage site (see: http://whc.unesco.org/en/list)	-	
Date Listed	1987	
Site name	1532806 ha	
Site area	Long. 71°10'W - 72°01'W Lat. 11°17'S - 13°11'S	
Geographical co-ordinates	-	
	-	
Criteria for designation	-	(i.e. criteria i to x)
Statement of Outstanding Universal Value	-	
	-	
Ramsar site (see: http://ramsar.wetlands.org)	-	
Date Listed	-	
Site name	-	

Site area	-	
Geographical number	-	
Reason for Designation (see Ramsar Information Sheet)	-	
	-	
UNESCO Man and Biosphere Reserves (see: http://www.unesco.org/new/en/natural-sciences/environment/ecological-sciences/man-and-biosphere-programme/)	Manu Man and the Biosphere Reserve	
Date Listed	1,977	
Site name	Total: 1,909,800 ha (1,532,806ha core zone; 257,000ha reserved zone and 120,000ha of transition or cultural zone)	
Site area	-	Total, Core, Buffe, and Transition
Geographical co-ordinates	Long. 70°45'W - 72°30'W Lat. 11°20'S - 13°15'S	
Criteria for designation	-	
Fulfilment of three functions of MAB	-	conservation, development and logistic support
	-	
Please list other designations (i.e. ASEAN Heritage, Natura 2000) and any supporting information below		
	Forms part of the Vilcabamba-Amboró Conservation Corridor	Name
	-	Detail
	-	
	-	Name
	-	Detail
	-	
	-	Name
	-	Detail

Data Sheet 2: Protected Areas Threats (please complete a Data Sheet of threats and assessment for each protected area of the project).		
Please choose all relevant existing threats as either of high, medium or low significance. Threats ranked as of high significance are those which are seriously degrading values; medium are those threats having some negative impact and those characterised as low are threats which are present but not seriously impacting values or N/A where the threat is not present or not applicable in the protected area.		
1. Residential and commercial development within a protected area		
Threats from human settlements or other non-agricultural land uses with a substantial footprint		
1.1 Housing and settlement	1	0: N/A
		1: Low
		2: Medium
		3: High
1.2 Commercial and industrial areas	0	0: N/A
		1: Low
		2: Medium
		3: High
1.3 Tourism and recreation infrastructure	1	0: N/A
		1: Low
		2: Medium
		3: High
2. Agriculture and aquaculture within a protected area		
Threats from farming and grazing as a result of agricultural expansion and intensification, including silviculture, mariculture and aquaculture		
2.1 Annual and perennial non-timber crop cultivation	1	0: N/A
		1: Low
		2: Medium
		3: High
2.1a Drug cultivation	0	0: N/A
		1: Low
		2: Medium
		3: High
2.2 Wood and pulp plantations	0	0: N/A
		1: Low
		2: Medium
		3: High

2.3 Livestock farming and grazing	2	0: N/A
		1: Low
		2: Medium
		3: High
2.4 Marine and freshwater aquaculture	0	0: N/A
		1: Low
		2: Medium
		3: High
3. Energy production and mining within a protected area		
Threats from production of non-biological resources		
3.1 Oil and gas drilling	0	0: N/A
		1: Low
		2: Medium
		3: High
3.2 Mining and quarrying	0	0: N/A
		1: Low
		2: Medium
		3: High
3.3 Energy generation, including from hydropower dams	0	0: N/A
		1: Low
		2: Medium
		3: High
4. Transportation and service corridors within a protected area		
Threats from long narrow transport corridors and the vehicles that use them including associated wildlife mortality		
4.1 Roads and railroads (include road-killed animals)	0	0: N/A
		1: Low
		2: Medium
		3: High
4.2 Utility and service lines (e.g. electricity cables, telephone lines,)	0	0: N/A
		1: Low
		2: Medium
		3: High
4.3 Shipping lanes and canals	1	0: N/A

		1: Low
		2: Medium
		3: High
4.4 Flight paths	0	0: N/A
		1: Low
		2: Medium
		3: High
5. Biological resource use and harm within a protected area		
Threats from consumptive use of "wild" biological resources including both deliberate and unintentional harvesting effects; also persecution or control of specific species (note this includes hunting and killing of animals)		
5.1 Hunting, killing and collecting terrestrial animals (including killing of animals as a result of human/wildlife conflict)	1	0: N/A
		1: Low
		2: Medium
		3: High
5.2 Gathering terrestrial plants or plant products (non-timber)	1	0: N/A
		1: Low
		2: Medium
		3: High
5.3 Logging and wood harvesting	0	0: N/A
		1: Low
		2: Medium
		3: High
5.4 Fishing, killing and harvesting aquatic resources	1	0: N/A
		1: Low
		2: Medium
		3: High
6. Human intrusions and disturbance within a protected area		
Threats from human activities that alter, destroy or disturb habitats and species associated with non-consumptive uses of biological resources		
6.1 Recreational activities and tourism	1	0: N/A
		1: Low
		2: Medium
		3: High
6.2 War, civil unrest and military exercises	0	0: N/A

		1: Low
		2: Medium
		3: High
6.3 Research, education and other work-related activities in protected areas	1	0: N/A
		1: Low
		2: Medium
		3: High
6.4 Activities of protected area managers (e.g. construction or vehicle use, artificial watering points and dams)	0	0: N/A
		1: Low
		2: Medium
		3: High
6.5 Deliberate vandalism, destructive activities or threats to protected area staff and visitors	0	0: N/A
		1: Low
		2: Medium
		3: High
7. Natural system modifications		
Threats from other actions that convert or degrade habitat or change the way the ecosystem functions		
7.1 Fire and fire suppression (including arson)	0	0: N/A
		1: Low
		2: Medium
		3: High
7.2 Dams, hydrological modification and water management/use	0	0: N/A
		1: Low
		2: Medium
		3: High
7.3a Increased fragmentation within protected area	0	0: N/A
		1: Low
		2: Medium
		3: High
7.3b Isolation from other natural habitat (e.g. deforestation, dams without effective aquatic wildlife passages)	0	0: N/A
		1: Low
		2: Medium
		3: High

7.3c Other 'edge effects' on park values	1	0: N/A
		1: Low
		2: Medium
		3: High
7.3d Loss of keystone species (e.g. top predators, pollinators etc)	0	0: N/A
		1: Low
		2: Medium
		3: High
8. Invasive and other problematic species and genes		
Threats from terrestrial and aquatic non-native and native plants, animals, pathogens/microbes or genetic materials that have or are predicted to have harmful effects on biodiversity following introduction, spread and/or increase		
8.1 Invasive non-native/alien plants (weeds)	0	0: N/A
		1: Low
		2: Medium
		3: High
8.1a Invasive non-native/alien animals	1	0: N/A
		1: Low
		2: Medium
		3: High
8.1b Pathogens (non-native or native but creating new/increased problems)	0	0: N/A
		1: Low
		2: Medium
		3: High
8.2 Introduced genetic material (e.g. genetically modified organisms)	0	0: N/A
		1: Low
		2: Medium
		3: High
9. Pollution entering or generated within protected area		
Threats from introduction of exotic and/or excess materials or energy from point and non-point sources		
9.1 Household sewage and urban waste water	0	0: N/A
		1: Low
		2: Medium
		3: High

9.1a Sewage and waste water from protected area facilities (e.g. toilets, hotels etc)	0	0: N/A
		1: Low
		2: Medium
		3: High
9.2 Industrial, mining and military effluents and discharges (e.g. poor water quality discharge from dams, e.g. unnatural temperatures, de-oxygenated, other pollution)	0	0: N/A
		1: Low
		2: Medium
		3: High
9.3 Agricultural and forestry effluents (e.g. excess fertilizers or pesticides)	0	0: N/A
		1: Low
		2: Medium
		3: High
9.4 Garbage and solid waste	0	0: N/A
		1: Low
		2: Medium
		3: High
9.5 Air-borne pollutants	0	0: N/A
		1: Low
		2: Medium
		3: High
9.6 Excess energy (e.g. heat pollution, lights etc)	0	0: N/A
		1: Low
		2: Medium
		3: High
10. Geological events		
Geological events may be part of natural disturbance regimes in many ecosystems. But they can be a threat if a species or habitat is damaged and has lost its resilience and is vulnerable to disturbance. Management capacity to respond to some of these changes may be limited.		
10.1 Volcanoes	0	0: N/A
		1: Low
		2: Medium
		3: High
10.2 Earthquakes/Tsunamis	0	0: N/A
		1: Low

		2: Medium
		3: High
10.3 Avalanches/ Landslides	1	0: N/A
		1: Low
		2: Medium
		3: High
10.4 Erosion and siltation/ deposition (e.g. shoreline or riverbed changes)	0	0: N/A
		1: Low
		2: Medium
		3: High
11. Climate change and severe weather		
Threats from long-term climatic changes which may be linked to global warming and other severe climatic/weather events outside of the natural range of variation		
11.1 Habitat shifting and alteration	0	0: N/A
		1: Low
		2: Medium
		3: High
11.2 Droughts	1	0: N/A
		1: Low
		2: Medium
		3: High
11.3 Temperature extremes	1	0: N/A
		1: Low
		2: Medium
		3: High
11.4 Storms and flooding	1	0: N/A
		1: Low
		2: Medium
		3: High
12. Specific cultural and social threats		
12.1 Loss of cultural links, traditional knowledge and/or management practices	0	0: N/A
		1: Low
		2: Medium

		3: High
12.2 Natural deterioration of important cultural site values	0	0: N/A
		1: Low
		2: Medium
		3: High
12.3 Destruction of cultural heritage buildings, gardens, sites etc	0	0: N/A
		1: Low
		2: Medium
		3: High
Assessment Form Para el llenado, se siguieron las orientaciones del SERNANP, de acuerdo al Documento de Trabajo 25		
1. Legal status: Does the protected area have legal status (or in the case of private reserves is covered by a covenant or similar)?	3	0: The protected area is not gazetted/covenanted 1: There is agreement that the protected area should be gazetted/covenanted but the process has not yet begun 2: The protected area is in the process of being gazetted/covenanted but the process is still incomplete (includes sites designated under international conventions, such as Ramsar, or local/traditional law such as community conserved areas, which do not yet have national legal status or covenant) 3: The protected area has been formally gazetted/covenanted
Comments and Next Steps	Established by Supreme Decree N° 644-73-AG of 29th May 1973	
2. Protected area regulations: Are appropriate regulations in place to control land use and activities (e.g. hunting)?	3	0: There are no regulations for controlling land use and activities in the protected area
		1: Some regulations for controlling land use and activities in the protected area exist but these are major weaknesses
		2: Regulations for controlling land use and activities in the protected area exist but there are some weaknesses or gaps

		3: Regulations for controlling inappropriate land use and activities in the protected area exist and provide an excellent basis for management
Comments and Next Steps	Law of PAs, their Regulation and PA Zoning	
3. Law	3	0: The staff have no effective capacity/resources to enforce protected area legislation and regulations
Enforcement: Can staff (i.e. those with responsibility for managing the site) enforce protected area rules well enough?		1: There are major deficiencies in staff capacity/resources to enforce protected area legislation and regulations (e.g. lack of skills, no patrol budget, lack of institutional support)
		2: The staff have acceptable capacity/resources to enforce protected area legislation and regulations but some deficiencies remain
		3: The staff have excellent capacity/resources to enforce protected area legislation and regulations
Comments and Next Steps	Park Guards are responsible for compliance with norms within PAs	
4. Protected area objectives: Is management undertaken according to agreed objectives?	3	0: No firm objectives have been agreed for the protected area
		1: The protected area has agreed objectives, but is not managed according to these objectives
		2: The protected area has agreed objectives, but is only partially managed according to these objectives
		3: The protected area has agreed objectives and is managed to meet these objectives
Comments and Next Steps		
5. Protected area design: Is the protected area the right size and shape to protect species, habitats, ecological processes and water catchments of key conservation concern?	3	0: Inadequacies in protected area design mean achieving the major objectives of the protected area is very difficult
		1: Inadequacies in protected area design mean that achievement of major objectives is difficult but some mitigating actions are being taken (e.g. agreements with adjacent land owners for wildlife corridors or introduction of appropriate catchment management)

		2: Protected area design is not significantly constraining achievement of objectives, but could be improved (e.g. with respect to larger scale ecological processes)
		3: Protected area design helps achievement of objectives; it is appropriate for species and habitat conservation; and maintains ecological processes such as surface and groundwater flows at a catchment scale, natural disturbance patterns etc
Comments and Next Steps		
6. Protected area boundary demarcation:	2	0: The boundary of the protected area is not known by the management authority or local residents/neighbouring land users
Is the boundary known and demarcated?		1: The boundary of the protected area is known by the management authority but is not known by local residents/neighbouring land users
		2: The boundary of the protected area is known by both the management authority and local residents/neighbouring land users but is not appropriately demarcated
		3: The boundary of the protected area is known by the management authority and local residents/neighbouring land users and is appropriately demarcated
Comments and Next Steps		
It is necessary to adjust the delimitation of the Park in order to resolve problems of superposition with native communities: installation of markers.		
7. Management plan: Is there a management plan and is it being implemented?	3	0: There is no management plan for the protected area
		1: A management plan is being prepared or has been prepared but is not being implemented
		2: A management plan exists but it is only being partially implemented because of funding constraints or other problems
		3: A management plan exists and is being implemented
Comments and Next Steps		
The Master Plans are produced through participatory processes		

7.a Planning process: The planning process allows adequate opportunity for key stakeholders to influence the management plan	1	0: No 1: Yes
Comments and Next Steps		
7.b Planning process: There is an established schedule and process for periodic review and updating of the management plan	1	0: No 1: Yes
Comments and Next Steps	According to the PA Law, Master Plans should be updated every 5 years.	
7.c Planning process: The results of monitoring, research and evaluation are routinely incorporated into planning	1	0: No 1: Yes
Comments and Next Steps		
8. Regular work plan: Is there a regular work plan and is it being implemented	3	0: No regular work plan exists
		1: A regular work plan exists but few of the activities are implemented
		2: A regular work plan exists and many activities are implemented
		3: A regular work plan exists and all activities are implemented
Comments and Next Steps	The 2013 Annual Plan of Operations is being implemented and that of 2014 is being produced	
9. Resource inventory: Do you have enough information to manage the area?	2	0: There is little or no information available on the critical habitats, species and cultural values of the protected area
		1: Information on the critical habitats, species, ecological processes and cultural values of the protected area is not sufficient to support planning and decision making
		2: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient for most key areas of planning and decision making
		3: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient to support all areas of planning and decision making
Comments and Next Steps		

10. Protection systems:	3	0: Protection systems (patrols, permits etc) do not exist or are not effective in controlling access/resource use
Are systems in place to control access/resource use in the protected area?		1: Protection systems are only partially effective in controlling access/resource use
		2: Protection systems are moderately effective in controlling access/resource use
		3: Protection systems are largely or wholly effective in controlling access/ resource use
Comments and Next Steps	For 2014 336 routine patrols are foreseen, and 3 supervisions of concessions and the tourism use zone.	
11. Research: Is there a programme of management-orientated survey and research work?	2	0: There is no survey or research work taking place in the protected area
		1: There is a small amount of survey and research work but it is not directed towards the needs of protected area management
		2: There is considerable survey and research work but it is not directed towards the needs of protected area management
		3: There is a comprehensive, integrated programme of survey and research work, which is relevant to management needs
Comments and Next Steps		
12. Resource management: Is active resource management being undertaken?	3	0: Active resource management is not being undertaken
		1: Very few of the requirements for active management of critical habitats, species, ecological processes and cultural values are being implemented
		2: Many of the requirements for active management of critical habitats, species, ecological processes and, cultural values are being implemented but some key issues are not being addressed
		3: Requirements for active management of critical habitats, species, ecological processes and, cultural values are being substantially or fully implemented

Comments and Next Steps		
13. Staff numbers: Are there enough people employed to manage the protected area?	2	<p>0: There are no staff</p> <p>1: Staff numbers are inadequate for critical management activities</p> <p>2: Staff numbers are below optimum level for critical management activities</p> <p>3: Staff numbers are adequate for the management needs of the protected area</p>
Comments and Next Steps	Current staff: 1 chief, 2 administrative, 3 specialists and 28 park guards	
14. Staff training: Are staff adequately trained to fulfill management objectives?	2	<p>0: Staff lack the skills needed for protected area management</p> <p>1: Staff training and skills are low relative to the needs of the protected area</p> <p>2: Staff training and skills are adequate, but could be further improved to fully achieve the objectives of management</p> <p>3: Staff training and skills are aligned with the management needs of the protected area</p>
Comments and Next Steps		
15. Current budget: Is the current budget sufficient?	3	<p>0: There is no budget for management of the protected area</p> <p>1: The available budget is inadequate for basic management needs and presents a serious constraint to the capacity to manage</p> <p>2: The available budget is acceptable but could be further improved to fully achieve effective management</p> <p>3: The available budget is sufficient and meets the full management needs of the protected area</p>
Comments and Next Steps		
16. Security of budget: Is the budget secure?	2	0: There is no secure budget for the protected area and management is wholly reliant on outside or highly variable funding

		1: There is very little secure budget and the protected area could not function adequately without outside funding
		2: There is a reasonably secure core budget for regular operation of the protected area but many innovations and initiatives are reliant on outside funding
		3: There is a secure budget for the protected area and its management needs
Comments and Next Steps	SERNANP covers the annual budget	
17. Management of budget: Is the budget managed to meet critical management needs?	2	0: Budget management is very poor and significantly undermines effectiveness (e.g. late release of budget in financial year)
		1: Budget management is poor and constrains effectiveness
		2: Budget management is adequate but could be improved
		3: Budget management is excellent and meets management needs
Comments and Next Steps		
18. Equipment: Is equipment sufficient for management needs?	3	0: There are little or no equipment and facilities for management needs
		1: There are some equipment and facilities but these are inadequate for most management needs
		2: There are equipment and facilities, but still some gaps that constrain management
		3: There are adequate equipment and facilities
Comments and Next Steps	Principal infrastructure and equipment: 1 administrative base, 1 technical base, 2 interpretation centres, 7 control posts, 1 refuge, 7 pickups, 6 wooden boats, 8 outboard motors, 5 canoe motors	
19. Maintenance of equipment: Is equipment adequately maintained?	3	0: There is little or no maintenance of equipment and facilities
		1: There is some ad hoc maintenance of equipment and facilities
		2: There is basic maintenance of equipment and facilities

		3: Equipment and facilities are well maintained
Comments and Next Steps		
20. Education and awareness: Is there a planned education programme linked to the objectives and needs?	2	0: There is no education and awareness programme 1: There is a limited and ad hoc education and awareness programme 2: There is an education and awareness programme but it only partly meets needs and could be improved 3: There is an appropriate and fully implemented education and awareness programme
Comments and Next Steps		
21. Planning for land and water use: Does land and water use planning recognise the protected area and aid the achievement of objectives?	3	0: Adjacent land and water use planning does not take into account the needs of the protected area and activities/policies are detrimental to the survival of the area 1: Adjacent land and water use planning does not takes into account the long term needs of the protected area, but activities are not detrimental the area 2: Adjacent land and water use planning partially takes into account the long term needs of the protected area 3: Adjacent land and water use planning fully takes into account the long term needs of the protected area
Comments and Next Steps		
21a. Land and water planning for habitat conservation: Planning and management in the catchment or landscape containing the protected area incorporates provision for adequate environmental conditions (e.g. volume, quality and timing of water flow, air pollution levels etc) to sustain relevant habitats.	1	0: No 1: Yes
Comments and Next Steps		

21b. Land and water planning for habitat conservation: Management of corridors linking the protected area provides for wildlife passage to key habitats outside the protected area (e.g. to allow migratory fish to travel between freshwater spawning sites and the sea, or to allow animal migration).	1	0: No 1: Yes
Comments and Next Steps		
21c. Land and water planning for habitat conservation: "Planning addresses ecosystem-specific needs and/or the needs of particular species of concern at an ecosystem scale (e.g. volume, quality and timing of freshwater flow to sustain particular species, fire management to maintain savannah habitats etc.)"	1	0: No 1: Yes
Comments and Next Steps		
22. State and commercial neighbours: Is there co-operation with adjacent land and water users?	3	0: There is no contact between managers and neighbouring official or corporate land and water users
		1: There is contact between managers and neighbouring official or corporate land and water users but little or no cooperation
		2: There is contact between managers and neighbouring official or corporate land and water users, but only some co-operation
		3: There is regular contact between managers and neighbouring official or corporate land and water users, and substantial co-operation on management
Comments and Next Steps	They participate through their representatives on the PA Management Committee	
23. Indigenous people: Do indigenous and traditional peoples resident or regularly using the protected area have input to management decisions?	2	0: Indigenous and traditional peoples have no input into decisions relating to the management of the protected area
		1: Indigenous and traditional peoples have some input into discussions relating to management but no direct role in management
		2: Indigenous and traditional peoples directly contribute to some relevant decisions relating to management but their involvement could be improved

		3: Indigenous and traditional peoples directly participate in all relevant decisions relating to management, e.g. co-management
Comments and Next Steps	They participate through their representatives on the PA Management Committee	
24. Local communities: Do local communities resident or near the protected area have input to management decisions?	2	0: Local communities have no input into decisions relating to the management of the protected area
		1: Local communities have some input into discussions relating to management but no direct role in management
		2: Local communities directly contribute to some relevant decisions relating to management but their involvement could be improved
		3: Local communities directly participate in all relevant decisions relating to management, e.g. co-management
Comments and Next Steps	They participate through their representatives on the PA Management Committee	
24 a. Impact on communities: There is open communication and trust between local and/or indigenous people, stakeholders and protected area managers	1	0: No 1: Yes
Comments and Next Steps		
24 b. Impact on communities: Programmes to enhance community welfare, while conserving protected area resources, are being implemented	1	0: No 1: Yes
Comments and Next Steps		
24 c. Impact on communities: Local and/or indigenous people actively support the protected area	1	0: No 1: Yes
Comments and Next Steps		
25. Economic benefit: Is the protected area providing economic benefits to local communities, e.g. income, employment, payment for environmental services?	2	0: The protected area does not deliver any economic benefits to local communities
		1: Potential economic benefits are recognised and plans to realise these are being developed
		2: There is some flow of economic benefits to local communities

		3: There is a major flow of economic benefits to local communities from activities associated with the protected area
Comments and Next Steps		
26. Monitoring and evaluation: Are management activities monitored against performance?	3	0: There is no monitoring and evaluation in the protected area 1: There is some ad hoc monitoring and evaluation, but no overall strategy and/or no regular collection of results 2: There is an agreed and implemented monitoring and evaluation system but results do not feed back into management 3: A good monitoring and evaluation system exists, is well implemented and used in adaptive management
Comments and Next Steps		
27. Visitor facilities: Are visitor facilities adequate?	3	0: There are no visitor facilities and services despite an identified need 1: Visitor facilities and services are inappropriate for current levels of visitation 2: Visitor facilities and services are adequate for current levels of visitation but could be improved 3: Visitor facilities and services are excellent for current levels of visitation
Comments and Next Steps		
28. Commercial tourism operators: Do commercial tour operators contribute to protected area management?	3	0: There is little or no contact between managers and tourism operators using the protected area 1: There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters 2: There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values

		3: There is good co-operation between managers and tourism operators to enhance visitor experiences, and maintain protected area values
Comments and Next Steps		
29. Fees: If fees (i.e. entry fees or fines) are applied, do they help protected area management?	2	0: Although fees are theoretically applied, they are not collected 1: Fees are collected, but make no contribution to the protected area or its environs 2: Fees are collected, and make some contribution to the protected area and its environs 3: Fees are collected and make a substantial contribution to the protected area and its environs
Comments and Next Steps		
30. Condition of values: What is the condition of the important values of the protected area as compared to when it was first designated?	3	0: Many important biodiversity, ecological or cultural values are being severely degraded 1: Some biodiversity, ecological or cultural values are being severely degraded 2: Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted 3: Biodiversity, ecological and cultural values are predominantly intact
Comments and Next Steps		
30a: Condition of values: The assessment of the condition of values is based on research and/or monitoring	1	0: No 1: Yes
Comments and Next Steps		
30b: Condition of values Specific management programmes are being implemented to address threats to biodiversity, ecological and cultural values	1	0: No 1: Yes
Comments and Next Steps		
30c: Condition of values: Activities to maintain key biodiversity, ecological and cultural values are a routine part of park management	1	0: No 1: Yes
Comments and Next Steps		

TOTAL SCORE	90	Pls add up numbers from assessment form (questions 1 to 30)



Tracking Tool for Biodiversity Projects in GEF-3, GEF-4, and GEF-5

Objective 1: Catalyzing Sustainability of Protected Area Systems

SECTION II: Management Effectiveness Tracking Tool for Protected Areas

Note: Please complete the management effectiveness tracking tool for **EACH** protected area that is the target of the GEF intervention and create a new worksheet for each.

Structure and content of the Tracking Tool - Objective 1. Section II:

The Tracking Tool has two main sections: datasheets and assessment form. Both sections should be completed.

1. Datasheets: the data sheet comprises of two separate sections:

ü Data sheet 1: records details of the assessment and some basic information about the site, such as name, size and location etc.

ü Data sheet 2: provides a generic list of threats which protected areas can face. On this data sheet the assessors are asked to identify threats and rank their impact on the protected area.

2. Assessment Form: the assessment is structured around 30 questions presented in table format which includes three columns for recording details of the assessment, all of which should be completed.

Important: Please read the Guidelines posted on the GEF website before entering your data

Data Sheet 1: Reporting Progress at Protected Area Sites	Please indicate your answer here	Notes
Name, affiliation and contact details for person responsible for completing the METT (email etc.)	Arsenio Calle, PA Chief acalle@sernanp.gob.pe	
Date assessment carried out	Ene 05, 2018	Month DD, YYYY (e.g., May 12, 2010)
Name of protected area	Alto Purús National Park	
WDPA site code (these codes can be found on	-	

www.unep-wcmc.org/wdpa/		
Designations(please choose 1-3)	3	1: National 2: IUCN Category 3: International (please complete lines 35-69 as necessary)
Country	Perú	
Location of protected area (province and if possible map reference)	Región Ucayali (Provincia Purús) and Región Madre de Dios (Provincias Tahuamanu y Tambopata)	
Date of establishment	2004	
Ownership details (please choose 1-4)	1	1: State 2: Private 3: Community 4: Other
Management Authority	SERNANP	
Size of protected area (ha)	2510694	
Number of Permanent staff	23	
Number of Temporary staff	51	
Annual budget (US\$) for recurrent (operational) funds – excluding staff salary costs	59,000	
Annual budget (US\$) for project or other supplementary funds – excluding staff salary costs	55,000	

What are the main values for which the area is designated	Constitutes one of the most important and best conserved refuges of tropical forests in South America, integrating one of the most important biological corridors of the region	
List the two primary protected area management objectives in below:	-	
Management objective 1	Conserves a representative sample of tropical moist forest and its transitional life zones, the evolutionary processes which develop in them, and endemic and threatened species of flora and fauna	
Management objective 2	To protect the area inhabited by indigenous people in voluntary isolation and/or in initial or sporadic contact in the interior of the PA, in order to guarantee their physical and cultural integrity.	
No. of people involved in completing assessment	8	La jefatura y equipo, con apoyo del proyecto AR
Including: (please choose 1-8)	2	1: PA manager 2: PA staff 3: Other PA agency staff

		4: Donors 5: NGOs 6: External experts 7: Local community 8: Other
Information on International Designations	Please indicate your answer here	
	-	
UNESCO World Heritage site (see: http://whc.unesco.org/en/list)	-	
Date Listed	-	
Site name	-	
Site area	-	
Geographical co-ordinates	-	
	-	
Criteria for designation	-	(i.e. criteria i to x)
Statement of Outstanding Universal Value	-	
	-	
Ramsar site (see: http://ramsar.wetlands.org)	Considered a corridor for migratory birds	
Date Listed	-	
Site name	-	
Site area	-	
Geographical number	-	
Reason for Designation (see Ramsar Information Sheet)	-	
	-	

UNESCO Man and Biosphere Reserves (see: http://www.unesco.org/new/en/natural-sciences/environment/ecological-sciences/man-and-biosphere-programme/)	-	
Date Listed	-	
Site name	-	
Site area	-	Total, Core, Buffer, and Transition
Geographical co-ordinates	-	
Criteria for designation	-	
Fulfilment of three functions of MAB	-	conservation, development and logistic support
	-	
Please list other designations (i.e. ASEAN Heritage, Natura 2000) and any supporting information below	-	
	Forms part of the Vilcabamba-Amoró Conservation Corridor	Name
Data Sheet 2: Protected Areas Threats (please complete a Data Sheet of threats and assessment for each protected area of the project).		
Please choose all relevant existing threats as either of high, medium or low significance. Threats ranked as of high significance are those which are seriously degrading values; medium are those threats having some negative impact and those characterised as low are threats which are present but not seriously impacting values or N/A where the threat is not present or not applicable in the protected area.		
1. Residential and commercial development within a protected area		
Threats from human settlements or other non-agricultural land uses with a substantial footprint		
1.1 Housing and settlement	0	0: N/A 1: Low 2: Medium 3: High

1.2 Commercial and industrial areas	0	0: N/A
		1: Low
		2: Medium
		3: High
1.3 Tourism and recreation infrastructure	0	0: N/A
		1: Low
		2: Medium
		3: High
2. Agriculture and aquaculture within a protected area		
Threats from farming and grazing as a result of agricultural expansion and intensification, including silviculture, mariculture and aquaculture		
2.1 Annual and perennial non-timber crop cultivation	0	0: N/A
		1: Low
		2: Medium
		3: High
2.1a Drug cultivation	0	0: N/A
		1: Low
		2: Medium
		3: High
2.2 Wood and pulp plantations	0	0: N/A
		1: Low
		2: Medium
		3: High
2.3 Livestock farming and grazing	0	0: N/A
		1: Low
		2: Medium
		3: High
2.4 Marine and freshwater aquaculture	0	0: N/A
		1: Low
		2: Medium
		3: High
3. Energy production and mining within a protected area		
Threats from production of non-biological resources		
3.1 Oil and gas drilling	0	0: N/A

		1: Low
		2: Medium
		3: High
3.2 Mining and quarrying	0	0: N/A
		1: Low
		2: Medium
		3: High
3.3 Energy generation, including from hydropower dams	0	0: N/A
		1: Low
		2: Medium
		3: High
4. Transportation and service corridors within a protected area		
Threats from long narrow transport corridors and the vehicles that use them including associated wildlife mortality		
4.1 Roads and railroads (include road-killed animals)	2	0: N/A
		1: Low
		2: Medium
		3: High
4.2 Utility and service lines (e.g. electricity cables, telephone lines,)	0	0: N/A
		1: Low
		2: Medium
		3: High
4.3 Shipping lanes and canals	0	0: N/A
		1: Low
		2: Medium
		3: High
4.4 Flight paths	0	0: N/A
		1: Low
		2: Medium
		3: High
5. Biological resource use and harm within a protected area		
Threats from consumptive use of "wild" biological resources including both deliberate and unintentional harvesting effects; also persecution or control of specific species (note this includes hunting and killing of animals)		
	1	0: N/A

5.1 Hunting, killing and collecting terrestrial animals (including killing of animals as a result of human/wildlife conflict)		1: Low
		2: Medium
		3: High
5.2 Gathering terrestrial plants or plant products (non-timber)	0	0: N/A
		1: Low
		2: Medium
		3: High
5.3 Logging and wood harvesting	0	0: N/A
		1: Low
		2: Medium
		3: High
5.4 Fishing, killing and harvesting aquatic resources	1	0: N/A
		1: Low
		2: Medium
		3: High
6. Human intrusions and disturbance within a protected area		
Threats from human activities that alter, destroy or disturb habitats and species associated with non-consumptive uses of biological resources		
6.1 Recreational activities and tourism	0	0: N/A
		1: Low
		2: Medium
		3: High
6.2 War, civil unrest and military exercises	1	0: N/A
		1: Low
		2: Medium
		3: High
6.3 Research, education and other work-related activities in protected areas	0	0: N/A
		1: Low
		2: Medium
		3: High
6.4 Activities of protected area managers (e.g.	0	0: N/A
		1: Low

construction or vehicle use, artificial watering points and dams)		2: Medium
		3: High
6.5 Deliberate vandalism, destructive activities or threats to protected area staff and visitors	1	0: N/A
		1: Low
		2: Medium
		3: High
7. Natural system modifications		
Threats from other actions that convert or degrade habitat or change the way the ecosystem functions		
7.1 Fire and fire suppression (including arson)	1	0: N/A
		1: Low
		2: Medium
		3: High
7.2 Dams, hydrological modification and water management/use	0	0: N/A
		1: Low
		2: Medium
		3: High
7.3a Increased fragmentation within protected area	0	0: N/A
		1: Low
		2: Medium
		3: High
7.3b Isolation from other natural habitat (e.g. deforestation, dams without effective aquatic wildlife passages)	0	0: N/A
		1: Low
		2: Medium
		3: High
7.3c Other 'edge effects' on park values	1	0: N/A
		1: Low
		2: Medium
		3: High
7.3d Loss of keystone species (e.g. top predators, pollinators etc)	0	0: N/A
		1: Low
		2: Medium
		3: High

8. Invasive and other problematic species and genes		
Threats from terrestrial and aquatic non-native and native plants, animals, pathogens/microbes or genetic materials that have or are predicted to have harmful effects on biodiversity following introduction, spread and/or increase		
8.1 Invasive non-native/alien plants (weeds)	0	0: N/A
		1: Low
		2: Medium
		3: High
8.1a Invasive non-native/alien animals	0	0: N/A
		1: Low
		2: Medium
		3: High
8.1b Pathogens (non-native or native but creating new/increased problems)	0	0: N/A
		1: Low
		2: Medium
		3: High
8.2 Introduced genetic material (e.g. genetically modified organisms)	0	0: N/A
		1: Low
		2: Medium
		3: High
9. Pollution entering or generated within protected area		
Threats from introduction of exotic and/or excess materials or energy from point and non-point sources		
9.1 Household sewage and urban waste water	0	0: N/A
		1: Low
		2: Medium
		3: High
9.1a Sewage and waste water from protected area facilities (e.g. toilets, hotels etc)	0	0: N/A
		1: Low
		2: Medium
		3: High
9.2 Industrial, mining and military effluents and discharges (e.g. poor water quality discharge from dams, e.g. unnatural)	0	0: N/A
		1: Low
		2: Medium
		3: High

temperatures, de-oxygenated, other pollution)		
9.3 Agricultural and forestry effluents (e.g. excess fertilizers or pesticides)	0	0: N/A 1: Low 2: Medium 3: High
9.4 Garbage and solid waste	0	0: N/A 1: Low 2: Medium 3: High
9.5 Air-borne pollutants	0	0: N/A 1: Low 2: Medium 3: High
9.6 Excess energy (e.g. heat pollution, lights etc)	0	0: N/A 1: Low 2: Medium 3: High
10. Geological events		
Geological events may be part of natural disturbance regimes in many ecosystems. But they can be a threat if a species or habitat is damaged and has lost its resilience and is vulnerable to disturbance. Management capacity to respond to some of these changes may be limited.		
10.1 Volcanoes	0	0: N/A 1: Low 2: Medium 3: High
10.2 Earthquakes/Tsunamis	0	0: N/A 1: Low 2: Medium 3: High
10.3 Avalanches/Landslides	1	0: N/A 1: Low 2: Medium 3: High

10.4 Erosion and siltation/ deposition (e.g. shoreline or riverbed changes)	1	0: N/A
		1: Low
		2: Medium
		3: High
11. Climate change and severe weather		
Threats from long-term climatic changes which may be linked to global warming and other severe climatic/weather events outside of the natural range of variation		
11.1 Habitat shifting and alteration	1	0: N/A
		1: Low
		2: Medium
		3: High
11.2 Droughts	1	0: N/A
		1: Low
		2: Medium
		3: High
11.3 Temperature extremes	1	0: N/A
		1: Low
		2: Medium
		3: High
11.4 Storms and flooding	1	0: N/A
		1: Low
		2: Medium
		3: High
12. Specific cultural and social threats		
12.1 Loss of cultural links, traditional knowledge and/or management practices	2	0: N/A
		1: Low
		2: Medium
		3: High
12.2 Natural deterioration of important cultural site values	0	0: N/A
		1: Low
		2: Medium
		3: High
	0	0: N/A

12.3 Destruction of cultural heritage buildings, gardens, sites etc		1: Low
		2: Medium
		3: High
Assessment Form Para el llenado, se siguieron las orientaciones del SERNANP, de acuerdo al Documento de Trabajo 25		
1. Legal status: Does the protected area have legal status (or in the case of private reserves is covered by a covenant or similar)?	3	0: The protected area is not gazetted/covenanted 1: There is agreement that the protected area should be gazetted/covenanted but the process has not yet begun 2: The protected area is in the process of being gazetted/covenanted but the process is still incomplete (includes sites designated under international conventions, such as Ramsar, or local/traditional law such as community conserved areas, which do not yet have national legal status or covenant) 3: The protected area has been formally gazetted/covenanted
Comments and Next Steps	Establecido por Decreto Supremo N° 040-2004-AG del 18 de noviembre de 2004	
2. Protected area regulations: Are appropriate regulations in place to	3	0: There are no regulations for controlling land use and activities in the protected area

control land use and activities (e.g. hunting)?		<p>1: Some regulations for controlling land use and activities in the protected area exist but these are major weaknesses</p> <p>2: Regulations for controlling land use and activities in the protected area exist but there are some weaknesses or gaps</p> <p>3: Regulations for controlling inappropriate land use and activities in the protected area exist and provide an excellent basis for management</p>
Comments and Next Steps	Ley de Áreas Naturales Protegidas, su Reglamento y la Zonificación del ANP, y la estrategia de vigilancia y protección del ANP	
3. Law	2	0: The staff have no effective capacity/resources to enforce protected area legislation and regulations
Enforcement: Can staff (i.e. those with responsibility for managing the site) enforce protected area rules well enough?		1: There are major deficiencies in staff capacity/resources to enforce protected area legislation and regulations (e.g. lack of skills, no patrol budget, lack of institutional support)
		2: The staff have acceptable capacity/resources to enforce protected area legislation and regulations but some deficiencies remain

		3: The staff have excellent capacity/resources to enforce protected area legislation and regulations
Comments and Next Steps	Los Guardaparques son los encargados de hacer cumplir la normatividad dentro del ANP	
4. Protected area objectives: Is management undertaken according to agreed objectives?	3	0: No firm objectives have been agreed for the protected area
		1: The protected area has agreed objectives, but is not managed according to these objectives
		2: The protected area has agreed objectives, but is only partially managed according to these objectives
		3: The protected area has agreed objectives and is managed to meet these objectives
Comments and Next Steps	Cumplimiento de los objetivos: Ambiental 100%, economico 71.4% y sociocultural 78.6%	
5. Protected area design: Is the protected area the right size and shape to protect species, habitats, ecological processes and water catchments of key conservation concern?	3	0: Inadequacies in protected area design mean achieving the major objectives of the protected area is very difficult
		1: Inadequacies in protected area design mean that achievement of major objectives is difficult but some mitigating actions are being taken (e.g. agreements with adjacent land owners for wildlife corridors or introduction of

		appropriate catchment management)
		2: Protected area design is not significantly constraining achievement of objectives, but could be improved (e.g. with respect to larger scale ecological processes)
		3: Protected area design helps achievement of objectives; it is appropriate for species and habitat conservation; and maintains ecological processes such as surface and groundwater flows at a catchment scale, natural disturbance patterns etc
Comments and Next Steps		
6. Protected area boundary demarcation:	2	0: The boundary of the protected area is not known by the management authority or local residents/neighbouring land users
Is the boundary known and demarcated?		1: The boundary of the protected area is known by the management authority but is not known by local residents/neighbouring land users
		2: The boundary of the protected area is known by both the management authority and local

		residents/neighbouring land users but is not appropriately demarcated
		3: The boundary of the protected area is known by the management authority and local residents/neighbouring land users and is appropriately demarcated
Comments and Next Steps		
7. Management plan: Is there a management plan and is it being implemented?	3	<p>0: There is no management plan for the protected area</p> <p>1: A management plan is being prepared or has been prepared but is not being implemented</p> <p>2: A management plan exists but it is only being partially implemented because of funding constraints or other problems</p> <p>3: A management plan exists and is being implemented</p>
Comments and Next Steps	Informe de avance de la implementación del Plan Maestro periodo 2017 avances en lineas de acción y actividades: ambiental 100%, economico 84.6%, sociocultural 78.6%	
7.a Planning process: The planning process allows adequate opportunity for key stakeholders to influence the management plan	1	<p>0: No</p> <p>1: Yes</p>
Comments and Next Steps	The Master Plans are produced through participatory processes	

7.b Planning process: There is an established schedule and process for periodic review and updating of the management plan	1	0: No 1: Yes
Comments and Next Steps	According to the PA Law, Master Plans should be updated every 5 years	
7.c Planning process: The results of monitoring, research and evaluation are routinely incorporated into planning	1	0: No 1: Yes
Comments and Next Steps		
8. Regular work plan: Is there a regular work plan and is it being implemented	3	0: No regular work plan exists
		1: A regular work plan exists but few of the activities are implemented
		2: A regular work plan exists and many activities are implemented
		3: A regular work plan exists and all activities are implemented
Comments and Next Steps	Metas Fisicas: X: 88.48 Gestión del Programa:100%, ANPs con Control y Vigilancia permanente:100%, Gestión Participativa en ANPs: 97.62%	
9. Resource inventory: Do you have enough information to manage the area?	2	0: There is little or no information available on the critical habitats, species and cultural values of the protected area
		1: Information on the critical habitats, species, ecological processes and cultural values of the protected area is not sufficient to support

		planning and decision making
		2: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient for most key areas of planning and decision making
		3: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient to support all areas of planning and decision making
Comments and Next Steps		
10. Protection systems:	2	0: Protection systems (patrols, permits etc) do not exist or are not effective in controlling access/resource use
Are systems in place to control access/resource use in the protected area?		1: Protection systems are only partially effective in controlling access/resource use
		2: Protection systems are moderately effective in controlling access/resource use
		3: Protection systems are largely or wholly effective in controlling access/ resource use
Comments and Next Steps		

<p>11. Research: Is there a programme of management-orientated survey and research work?</p>	<p>2</p>	<p>0: There is no survey or research work taking place in the protected area</p> <p>1: There is a small amount of survey and research work but it is not directed towards the needs of protected area management</p> <p>2: There is considerable survey and research work but it is not directed towards the needs of protected area management</p> <p>3: There is a comprehensive, integrated programme of survey and research work, which is relevant to management needs</p>
<p>Comments and Next Steps</p>		
<p>12. Resource management: Is active resource management being undertaken?</p>	<p>2</p>	<p>0: Active resource management is not being undertaken</p> <p>1: Very few of the requirements for active management of critical habitats, species, ecological processes and cultural values are being implemented</p> <p>2: Many of the requirements for active management of critical habitats, species, ecological processes and, cultural values are being implemented but some key</p>

		issues are not being addressed
		3: Requirements for active management of critical habitats, species, ecological processes and, cultural values are being substantially or fully implemented
Comments and Next Steps		
13. Staff numbers: Are there enough people employed to manage the protected area?	2	0: There are no staff
		1: Staff numbers are inadequate for critical management activities
		2: Staff numbers are below optimum level for critical management activities
		3: Staff numbers are adequate for the management needs of the protected area
Comments and Next Steps	Current staff: 1 chief, 1 specialist and 21 park guards	
14. Staff training: Are staff adequately trained to fulfill management objectives?	2	0: Staff lack the skills needed for protected area management
		1: Staff training and skills are low relative to the needs of the protected area
		2: Staff training and skills are adequate, but could be further improved to fully achieve the objectives of management
		3: Staff training and skills are aligned with the

		management needs of the protected area
Comments and Next Steps		
15. Current budget: Is the current budget sufficient?	1	<p>0: There is no budget for management of the protected area</p> <p>1: The available budget is inadequate for basic management needs and presents a serious constraint to the capacity to manage</p> <p>2: The available budget is acceptable but could be further improved to fully achieve effective management</p> <p>3: The available budget is sufficient and meets the full management needs of the protected area</p>
Comments and Next Steps		
16. Security of budget: Is the budget secure?	2	<p>0: There is no secure budget for the protected area and management is wholly reliant on outside or highly variable funding</p> <p>1: There is very little secure budget and the protected area could not function adequately without outside funding</p> <p>2: There is a reasonably secure core budget for regular operation of the protected area but many innovations and initiatives</p>

		are reliant on outside funding
		3: There is a secure budget for the protected area and its management needs
Comments and Next Steps	SERNANP covers the annual budget	
17. Management of budget: Is the budget managed to meet critical management needs?	2	0: Budget management is very poor and significantly undermines effectiveness (e.g. late release of budget in financial year)
		1: Budget management is poor and constrains effectiveness
		2: Budget management is adequate but could be improved
		3: Budget management is excellent and meets management needs
Comments and Next Steps		
18. Equipment: Is equipment sufficient for management needs?	2	0: There are little or no equipment and facilities for management needs
		1: There are some equipment and facilities but these are inadequate for most management needs
		2: There are equipment and facilities, but still some gaps that constrain management
		3: There are adequate equipment and facilities
Comments and Next Steps	8 9m aluminium boats arr urgently required	

19. Maintenance of equipment: Is equipment adequately maintained?	2	0: There is little or no maintenance of equipment and facilities
		1: There is some ad hoc maintenance of equipment and facilities
		2: There is basic maintenance of equipment and facilities
		3: Equipment and facilities are well maintained
Comments and Next Steps		
20. Education and awareness: Is there a planned education programme linked to the objectives and needs?	2	0: There is no education and awareness programme
		1: There is a limited and ad hoc education and awareness programme
		2: There is an education and awareness programme but it only partly meets needs and could be improved
		3: There is an appropriate and fully implemented education and awareness programme
Comments and Next Steps		
21. Planning for land and water use: Does land and water use planning recognise the protected area and aid the achievement of objectives?	2	0: Adjacent land and water use planning does not take into account the needs of the protected area and activities/policies are detrimental to the survival of the area
		1: Adjacent land and water use planning does not take into account the long

		term needs of the protected area, but activities are not detrimental the area
		2: Adjacent land and water use planning partially takes into account the long term needs of the protected area
		3: Adjacent land and water use planning fully takes into account the long term needs of the protected area
Comments and Next Steps		
21a. Land and water planning for habitat conservation: Planning and management in the catchment or landscape containing the protected area incorporates provision for adequate environmental conditions (e.g. volume, quality and timing of water flow, air pollution levels etc) to sustain relevant habitats.	1	0: No 1: Yes
Comments and Next Steps		
21b. Land and water planning for habitat conservation: Management of corridors linking the protected area provides for wildlife passage to key habitats outside the protected area (e.g. to allow migratory fish to travel between freshwater spawning sites and the sea,	1	0: No 1: Yes

or to allow animal migration).		
Comments and Next Steps		
21c. Land and water planning for habitat conservation: "Planning addresses ecosystem-specific needs and/or the needs of particular species of concern at an ecosystem scale (e.g. volume, quality and timing of freshwater flow to sustain particular species, fire management to maintain savannah habitats etc.)"	1	0: No 1: Yes
Comments and Next Steps		
22. State and commercial neighbours: Is there co-operation with adjacent land and water users?	2	0: There is no contact between managers and neighbouring official or corporate land and water users 1: There is contact between managers and neighbouring official or corporate land and water users but little or no cooperation 2: There is contact between managers and neighbouring official or corporate land and water users, but only some co-operation 3: There is regular contact between managers and neighbouring official or

		corporate land and water users, and substantial co-operation on management
Comments and Next Steps	They participate through their representatives on PA management committees	
23. Indigenous people: Do indigenous and traditional peoples resident or regularly using the protected area have input to management decisions?	3	0: Indigenous and traditional peoples have no input into decisions relating to the management of the protected area
		1: Indigenous and traditional peoples have some input into discussions relating to management but no direct role in management
		2: Indigenous and traditional peoples directly contribute to some relevant decisions relating to management but their involvement could be improved
		3: Indigenous and traditional peoples directly participate in all relevant decisions relating to management, e.g. co-management
Comments and Next Steps	They participate through their representatives on PA management committees. 85% of park guards are from the native communities	
24. Local communities: Do local communities resident or near the protected area have input to management decisions?	2	0: Local communities have no input into decisions relating to the management of the protected area
		1: Local communities have some input into discussions relating to management but

		no direct role in management
		2: Local communities directly contribute to some relevant decisions relating to management but their involvement could be improved
		3: Local communities directly participate in all relevant decisions relating to management, e.g. co-management
Comments and Next Steps	They participate through their representatives on PA management committees	
24 a. Impact on communities: There is open communication and trust between local and/or indigenous people, stakeholders and protected area managers	1	0: No 1: Yes
Comments and Next Steps		
24 b. Impact on communities: Programmes to enhance community welfare, while conserving protected area resources, are being implemented	1	0: No 1: Yes
Comments and Next Steps	Management of taricaya by organized producers	
24 c. Impact on communities: Local and/or indigenous people actively support the protected area	1	0: No 1: Yes
Comments and Next Steps	There are communal vigilance committees	
25. Economic benefit: Is the protected area providing	2	0: The protected area does not deliver any economic

economic benefits to local communities, e.g. income, employment, payment for environmental services?		benefits to local communities
		1: Potential economic benefits are recognised and plans to realise these are being developed
		2: There is some flow of economic benefits to local communities
		3: There is a major flow of economic benefits to local communities from activities associated with the protected area
Comments and Next Steps	An estimated 500 tonnes/year of native fish (catfish) harvested by local people	
26. Monitoring and evaluation: Are management activities monitored against performance?	2	0: There is no monitoring and evaluation in the protected area
		1: There is some ad hoc monitoring and evaluation, but no overall strategy and/or no regular collection of results
		2: There is an agreed and implemented monitoring and evaluation system but results do not feed back into management
		3: A good monitoring and evaluation system exists, is well implemented and used in adaptive management
Comments and Next Steps		
27. Visitor facilities: Are visitor facilities adequate?	0	0: There are no visitor facilities and services despite an identified need

		1: Visitor facilities and services are inappropriate for current levels of visitation
		2: Visitor facilities and services are adequate for current levels of visitation but could be improved
		3: Visitor facilities and services are excellent for current levels of visitation
Comments and Next Steps		
28. Commercial tourism operators: Do commercial tour operators contribute to protected area management?	0	0: There is little or no contact between managers and tourism operators using the protected area
		1: There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters
		2: There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values
		3: There is good co-operation between managers and tourism operators to enhance visitor experiences, and maintain protected area values
Comments and Next Steps		
29. Fees: If fees (i.e. entry fees or fines) are applied,	0	0: Although fees are theoretically applied, they are not collected

do they help protected area management?		<p>1: Fees are collected, but make no contribution to the protected area or its environs</p> <p>2: Fees are collected, and make some contribution to the protected area and its environs</p> <p>3: Fees are collected and make a substantial contribution to the protected area and its environs</p>
Comments and Next Steps		
30. Condition of values: What is the condition of the important values of the protected area as compared to when it was first designated?	2	<p>0: Many important biodiversity, ecological or cultural values are being severely degraded</p> <p>1: Some biodiversity, ecological or cultural values are being severely degraded</p> <p>2: Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted</p> <p>3: Biodiversity, ecological and cultural values are predominantly intact</p>
Comments and Next Steps		
30a: Condition of values: The assessment of the condition of values is based on research and/or monitoring	1	<p>0: No</p> <p>1: Yes</p>
Comments and Next Steps		

30b: Condition of values Specific management programmes are being implemented to address threats to biodiversity, ecological and cultural values	1	0: No 1: Yes
Comments and Next Steps	Management programme for taricayas, anthropological plan, communications plan	
30c: Condition of values: Activities to maintain key biodiversity, ecological and cultural values are a routine part of park management	1	0: No 1: Yes
Comments and Next Steps		
TOTAL SCORE	72	Pls add up numbers from assessment form (questions 1 to 30)



ool for Biodiversity Projects in GEF-3, GEF-4, and GEF-5

Objective 1: Catalyzing Sustainability of Protected Area Systems

SECTION II: Management Effectiveness Tracking Tool for Protected Areas

Note: Please complete the management effectiveness tracking tool for **EACH** protected area that is the target of the GEF intervention and create a new worksheet for each.

Structure and content of the Tracking Tool - Objective 1. Section II:

The Tracking Tool has two main sections: datasheets and assessment form. Both sections should be completed.

1. Datasheets: the data sheet comprises of two separate sections:

ü Data sheet 1: records details of the assessment and some basic information about the site, such as name, size and location etc.

ü Data sheet 2: provides a generic list of threats which protected areas can face. On this data sheet the assessors are asked to identify threats and rank their impact on the protected area.

2. Assessment Form: the assessment is structured around 30 questions presented in table format which includes three columns for recording details of the assessment, all of which should be completed.

Important: Please read the Guidelines posted on the GEF website before entering your data

Data Sheet 1: Reporting Progress at Protected Area Sites	Please indicate your answer here	Notes
Name, affiliation and contact details for person responsible for completing the METT (email etc.)	Rafael Pino, Area Chief, rpino@sernanp.gob.pe	
Date assessment carried out	Ene.18,2018	Month DD, YYYY (e.g., May 12, 2010)
Name of protected area	Purús Communak Reserve	
WDPA site code (these codes can be found on www.unep-wcmc.org/wdpa/)	-	
Designations(please choose 1-3)	3	1: National

		2: IUCN Category	
		3: International (please complete lines 35-69 as necessary)	
Country	Perú		
Location of protected area (province and if possible map reference)	1		
Date of establishment	2004		
Ownership details (please choose 1-4)	1		
		1: State	
		2: Private	
		3: Community	
		4: Other	
Management Authority	SERNANP		
Size of protected area (ha)	202033		
Number of Permanent staff	5		
Number of Temporary staff	34	Voluntary Park Guards	
Annual budget (US\$) for recurrent (operational) funds – excluding staff salary costs	23,656		
Annual budget (US\$) for project or other supplementary funds – excluding staff salary costs	82,000		
What are the main values for which the area is designated	Conserve a great variety of species of fauna and flora utilized by the native population as medicine, food, hunting and fish poison, building materials and other uses		
List the two primary protected area management objectives in below:	-		

Management objective 1	To conserve the biological diversity of the area and the sustainable management of the resources for the benefit of the local populations in its area of influence		
Management objective 2	To strengthen local capacities for the management of the area and for other actions leading to the conservation of the biodiversity in its interior and in the areas of neighbouring local populations		
No. of people involved in completing assessment	2	Jefatura con apoyo del proyecto AR	
Including: (please choose 1-8)	2		
		1: PA manager	
		2: PA staff	
		3: Other PA agency staff	
		4: Donors 5: NGOs 6: External experts 7: Local community 8: Other	
Information on International Designations	Please indicate your answer here		

	-		
UNESCO World Heritage site (see: http://whc.unesco.org/en/list)	-		
Date Listed	-		
Site name	-		
Site area	-		
Geographical co-ordinates	-		
	-		
Criteria for designation	-	(i.e. criteria i to x)	
Statement of Outstanding Universal Value	-		
	-		
Ramsar site (see: http://ramsar.wetlands.org)	-		
Date Listed	-		
Site name	-		
Site area	-		
Geographical number	-		
Reason for Designation (see Ramsar Information Sheet)	-		
	-		
UNESCO Man and Biosphere Reserves (see: http://www.unesco.org/new/en/natural-sciences/environment/ecological-sciences/man-and-biosphere-programme/)	-		
Date Listed	-		
Site name	-		
Site area	-	Total, Core, Buffer, and Transition	
Geographical co-ordinates	-		
Criteria for designation	-		
Fulfilment of three functions of MAB	-	conservation, development and logistic support	
	-		
Please list other designations (i.e. ASEAN Heritage, Natura 2000) and any supporting information below	Forms part of the Vilcabamba-Amboró		

	Conservation Corridor		
	-	Name	
	-	Detail	
	-	Name	
	-	Detail	
	-		
	-	Name	
	-	Detail	
Data Sheet 2: Protected Areas Threats (please complete a Data Sheet of threats and assessment for each protected area of the project).			Notes
Please choose all relevant existing threats as either of high, medium or low significance. Threats ranked as of high significance are those which are seriously degrading values; medium are those threats having some negative impact and those characterised as low are threats which are present but not seriously impacting values or N/A where the threat is not present or not applicable in the protected area.			
1. Residential and commercial development within a protected area			
Threats from human settlements or other non-agricultural land uses with a substantial footprint			
1.1 Housing and settlement	0	0: N/A	Actualmente existe un asentamiento de No contactados-14 casas y 05 hectareas aprox.
		1: Low	
		2: Medium	
		3: High	
1.2 Commercial and industrial areas	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
1.3 Tourism and recreation infrastructure	0	0: N/A	
		1: Low	
		2: Medium	

		3: High	
2. Agriculture and aquaculture within a protected area			
Threats from farming and grazing as a result of agricultural expansion and intensification, including silviculture, mariculture and aquaculture			
2.1 Annual and perennial non-timber crop cultivation	0	0: N/A	2017* Frente a CN Laureano y Monterrey habian chacras. Ahora en Monterrey no hay; en Laureano se han reubicado debajo de su comunidad y han hecho chacra frente
		1: Low	
		2: Medium	
		3: High	
2.1a Drug cultivation	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
2.2 Wood and pulp plantations	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
2.3 Livestock farming and grazing	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
2.4 Marine and freshwater aquaculture	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
3. Energy production and mining within a protected area			
Threats from production of non-biological resources			
3.1 Oil and gas drilling	0	0: N/A	

		1: Low	
		2: Medium	
		3: High	
3.2 Mining and quarrying	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
3.3 Energy generation, including from hydropower dams	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
4. Transportation and service corridors within a protected area			
Threats from long narrow transport corridors and the vehicles that use them including associated wildlife mortality			
4.1 Roads and railroads (include road-killed animals)	1	0: N/A	
		1: Low	
		2: Medium	
		3: High	
4.2 Utility and service lines (e.g. electricity cables, telephone lines,)	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
4.3 Shipping lanes and canals	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
4.4 Flight paths	1	0: N/A	
		1: Low	
		2: Medium	
		3: High	
5. Biological resource use and harm within a protected area			
Threats from consumptive use of "wild" biological resources including both deliberate and unintentional harvesting effects; also persecution or control of specific species (note this includes hunting and killing of animals)			

5.1 Hunting, killing and collecting terrestrial animals (including killing of animals as a result of human/wildlife conflict)	1	0: N/A	2017* A partir de los acuerdos menores se tiene mayor control. Registro de cacería anualmente, información que dan en el puesto de vigilancia, se debe precisar el lugar. 31 spp registradas. Es necesario hacer monitoreo de causas por ejemplo: disminución de caza de maquisapa.
		1: Low	
		2: Medium	
		3: High	
5.2 Gathering terrestrial plants or plant products (non-timber)	1	0: N/A	
		1: Low	
		2: Medium	
		3: High	
5.3 Logging and wood harvesting	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
5.4 Fishing, killing and harvesting aquatic resources	2	0: N/A	2017* Quelonios - charapa, problema de crias perdidas - manejo en siembra. Desde 2007 se maneja Falta asistencia técnica para el manejo, ha habido ausencia de personal. Se debe capacitar al personal

		1: Low	
		2: Medium	
		3: High	
6. Human intrusions and disturbance within a protected area			
Threats from human activities that alter, destroy or disturb habitats and species associated with non-consumptive uses of biological resources			
6.1 Recreational activities and tourism	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
6.2 War, civil unrest and military exercises	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
6.3 Research, education and other work-related activities in protected areas	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
6.4 Activities of protected area managers (e.g. construction or vehicle use, artificial watering points and dams)	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
6.5 Deliberate vandalism, destructive activities or threats to protected area staff and visitors	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
7. Natural system modifications			
Threats from other actions that convert or degrade habitat or change the way the ecosystem functions			
7.1 Fire and fire suppression (including arson)	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
	0	0: N/A	

7.2 Dams, hydrological modification and water management/use		1: Low	
		2: Medium	
		3: High	
7.3a Increased fragmentation within protected area	0	0: N/A	
		1: Low	
		2: Medium	
7.3b Isolation from other natural habitat (e.g. deforestation, dams without effective aquatic wildlife passages)	0	3: High	
		0: N/A	
		1: Low	
7.3c Other 'edge effects' on park values	0	2: Medium	
		3: High	
		0: N/A	
7.3d Loss of keystone species (e.g. top predators, pollinators etc)	0	1: Low	
		2: Medium	
		3: High	
8. Invasive and other problematic species and genes			
Threats from terrestrial and aquatic non-native and native plants, animals, pathogens/microbes or genetic materials that have or are predicted to have harmful effects on biodiversity following introduction, spread and/or increase			
8.1 Invasive non-native/alien plants (weeds)	0	0: N/A	
		1: Low	
		2: Medium	
8.1a Invasive non-native/alien animals	0	3: High	
		0: N/A	
		1: Low	
8.1b Pathogens (non-native or native but creating new/increased problems)	0	2: Medium	
		3: High	
		0: N/A	
		1: Low	
		2: Medium	

		3: High	
8.2 Introduced genetic material (e.g. genetically modified organisms)	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
9. Pollution entering or generated within protected area			
Threats from introduction of exotic and/or excess materials or energy from point and non-point sources			
9.1 Household sewage and urban waste water	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
9.1a Sewage and waste water from protected area facilities (e.g. toilets, hotels etc)	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
9.2 Industrial, mining and military effluents and discharges (e.g. poor water quality discharge from dams, e.g. unnatural temperatures, de-oxygenated, other pollution)	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
9.3 Agricultural and forestry effluents (e.g. excess fertilizers or pesticides)	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
9.4 Garbage and solid waste	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
9.5 Air-borne pollutants	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
9.6 Excess energy (e.g. heat pollution, lights etc)	0	0: N/A	
		1: Low	

		2: Medium	
		3: High	
10. Geological events			
Geological events may be part of natural disturbance regimes in many ecosystems. But they can be a threat if a species or habitat is damaged and has lost its resilience and is vulnerable to disturbance. Management capacity to respond to some of these changes may be limited.			
10.1 Volcanoes	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
10.2 Earthquakes/Tsunamis	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
10.3 Avalanches/ Landslides	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
10.4 Erosion and siltation/ deposition (e.g. shoreline or riverbed changes)	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
11. Climate change and severe weather			
Threats from long-term climatic changes which may be linked to global warming and other severe climatic/weather events outside of the natural range of variation			
11.1 Habitat shifting and alteration	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
11.2 Droughts	1	0: N/A	De acuerdo a los estudios, las proyecciones a 50 años, este sector va a sufrir las mayores

			serquias de la amazonia peruana
		1: Low	
		2: Medium	
		3: High	
11.3 Temperature extremes	1	0: N/A	2017* En temporadas secas, se ha presentado lo que ha ocasionado incendios en ZA, dentro no se ha identificado *Riesgo que lo que se haga en ZA pueda afectar la RC. Estrategia--> brigadas contra incendio dentro y ZA - ECA
		1: Low	
		2: Medium	
		3: High	
11.4 Storms and flooding	2	0: N/A	2017* Inundaciones en 2011, 2015, cada 2 años se dan, incrementándose afectando chacras
		1: Low	
		2: Medium	
		3: High	
12. Specific cultural and social threats			
12.1 Loss of cultural links, traditional knowledge and/or management practices	2	0: N/A	2017* Sharanahua son los que destacan Estan perdiendo sus tradiciones, relacionamiento con comerciantes. Son los

			que han salido a buscar trabajo
		1: Low	
		2: Medium	
		3: High	
12.2 Natural deterioration of important cultural site values	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
12.3 Destruction of cultural heritage buildings, gardens, sites etc	0	0: N/A	
		1: Low	
		2: Medium	
		3: High	
Assessment Form			
Para el llenado, se siguieron las orientaciones del SERNANP, de acuerdo al Documento de Trabajo 25			
1. Legal status: Does the protected area have legal status (or in the case of private reserves is covered by a covenant or similar)?	3	0: The protected area is not gazetted/covenanted 1: There is agreement that the protected area should be gazetted/covenanted but the process has not yet begun 2: The protected area is in the process of being gazetted/covenanted but the process is still incomplete (includes sites designated under international conventions, such as Ramsar, or local/traditional law such as community conserved areas, which do not yet have national legal status or covenant) 3: The protected area has been formally gazetted/covenanted	
Comments and Next Steps	Established by Supreme Decree N° 040-2004-AG of 18th November 2004 2012 se incriebio en registros publicos. N° Partida 11077998		

2. Protected area regulations: Are appropriate regulations in place to control land use and activities (e.g. hunting)?	3	0: There are no regulations for controlling land use and activities in the protected area	
		1: Some regulations for controlling land use and activities in the protected area exist but these are major weaknesses	
		2: Regulations for controlling land use and activities in the protected area exist but there are some weaknesses or gaps	
		3: Regulations for controlling inappropriate land use and activities in the protected area exist and provide an excellent basis for management	
Comments and Next Steps	The Law of PAs, its Regulation and PA Zoning. It is necessary to producer natural resource use plans and/or implement those currently existing 2017* Si, acuerdo de actividad menor (13) y contratos de aprovechamiento de quelonios (2) Hay que mejorar el monitoreo y evaluación de poblaciones		
3. Law	2	0: The staff have no effective capacity/resources to enforce protected area legislation and regulations	
Enforcement: Can staff (i.e. those with responsibility for managing the site) enforce protected area rules well enough?		1: There are major deficiencies in staff capacity/resources to enforce protected area legislation and regulations (e.g. lack of skills, no patrol budget, lack of institutional support)	
		2: The staff have acceptable capacity/resources to enforce protected area legislation and regulations but some deficiencies remain	
		3: The staff have excellent capacity/resources to enforce protected area legislation and regulations	
Comments and Next Steps	Park Guards are responsible for ensuring compliance with PA norms 2017* Deficiencias para superar: las personas no quieren registrarse solo 10% para registrar uso de los recurso		

4. Protected area objectives: Is management undertaken according to agreed objectives?	3	0: No firm objectives have been agreed for the protected area	
		1: The protected area has agreed objectives, but is not managed according to these objectives	
		2: The protected area has agreed objectives, but is only partially managed according to these objectives	
		3: The protected area has agreed objectives and is managed to meet these objectives	
Comments and Next Steps	De acuerdo a los objetivos: Ambiental:87.5%, Economico: 80%, SocioCultural:80%		
5. Protected area design: Is the protected area the right size and shape to protect species, habitats, ecological processes and water catchments of key conservation concern?	3	0: Inadequacies in protected area design mean achieving the major objectives of the protected area is very difficult	
		1: Inadequacies in protected area design mean that achievement of major objectives is difficult but some mitigating actions are being taken (e.g. agreements with adjacent land owners for wildlife corridors or introduction of appropriate catchment management)	
		2: Protected area design is not significantly constraining achievement of objectives, but could be improved (e.g. with respect to larger scale ecological processes)	
		3: Protected area design helps achievement of objectives; it is appropriate for species and habitat conservation; and maintains ecological processes such as surface and groundwater flows at a catchment scale, natural disturbance patterns etc	
Comments and Next Steps	2017* El área forma parte de un mosaico porque existe el PNAP, incluyendo el Manu En el PNAP hay una comunidad titulada 2017 **; Las ANPs del lado brasileiro tambien contribuyen a garantizar la calidad del diseño.		

6. Protected area boundary demarcation:	2	0: The boundary of the protected area is not known by the management authority or local residents/neighbouring land users	
Is the boundary known and demarcated?		1: The boundary of the protected area is known by the management authority but is not known by local residents/neighbouring land users	
		2: The boundary of the protected area is known by both the management authority and local residents/neighbouring land users but is not appropriately demarcated	
		3: The boundary of the protected area is known by the management authority and local residents/neighbouring land users and is appropriately demarcated	
Comments and Next Steps	2017* PIP para demarcación física, solo hay carteles provisionales (gigantografías) Se esta pensando hacer letreros de madera No tiene hitos, se ha conseguido 3 - a través de PIP		
7. Management plan: Is there a management plan and is it being implemented?	2	0: There is no management plan for the protected area	
		1: A management plan is being prepared or has been prepared but is not being implemented	
		2: A management plan exists but it is only being partially implemented because of funding constraints or other problems	
		3: A management plan exists and is being implemented	
Comments and Next Steps	There is a Master Plan for 2012-2017		
7.a Planning process: The planning process allows adequate opportunity for key stakeholders to influence the management plan	1	0: No 1: Yes	
Comments and Next Steps	Master Plans are produced through participatory processes		
7.b Planning process: There is an established schedule and process for periodic review and updating of the management plan	1	0: No 1: Yes	

Comments and Next Steps	According to the PA Law, Master Plans should be updated every 5 years	
7.c Planning process: The results of monitoring, research and evaluation are routinely incorporated into planning	1	0: No 1: Yes
Comments and Next Steps		
8. Regular work plan: Is there a regular work plan and is it being implemented	3	0: No regular work plan exists
		1: A regular work plan exists but few of the activities are implemented
		2: A regular work plan exists and many activities are implemented
		3: A regular work plan exists and all activities are implemented
Comments and Next Steps	2017* 90% de implementación del PM	
9. Resource inventory: Do you have enough information to manage the area?	2	0: There is little or no information available on the critical habitats, species and cultural values of the protected area
		1: Information on the critical habitats, species, ecological processes and cultural values of the protected area is not sufficient to support planning and decision making
		2: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient for most key areas of planning and decision making
		3: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient to support all areas of planning and decision making
Comments and Next Steps		
10. Protection systems:	2	0: Protection systems (patrols, permits etc) do not exist or are not effective in controlling access/resource use
Are systems in place to control access/resource use in the protected area?		1: Protection systems are only partially effective in controlling access/resource use

		2: Protection systems are moderately effective in controlling access/resource use	
		3: Protection systems are largely or wholly effective in controlling access/ resource use	
Comments and Next Steps	2017* Si cuenta con un sistema de control; se ve de manera integral con el PNAP		
11. Research: Is there a programme of management-orientated survey and research work?	2	0: There is no survey or research work taking place in the protected area	
		1: There is a small amount of survey and research work but it is not directed towards the needs of protected area management	
		2: There is considerable survey and research work but it is not directed towards the needs of protected area management	
		3: There is a comprehensive, integrated programme of survey and research work, which is relevant to management needs	
Comments and Next Steps	2017* Se requiere investigacion para monitoreo y quelonios		
12. Resource management: Is active resource management being undertaken?	2	0: Active resource management is not being undertaken	
		1: Very few of the requirements for active management of critical habitats, species, ecological processes and cultural values are being implemented	
		2: Many of the requirements for active management of critical habitats, species, ecological processes and, cultural values are being implemented but some key issues are not being addressed	
		3: Requirements for active management of critical habitats, species, ecological processes and, cultural values are being substantially or fully implemented	

Comments and Next Steps	A management plan for mahogany seed is being implemented 2017* Charapa problemas serios - hay acciones Peces, paiche hay disminución - hay acciones manejo de cochas, 13 años hay cambios, no hay muchos cuerpos de agua Fuera del área protegida. 2015 hubo un registro de 01 paiche Manejo de caoba hay problemas, compra de semillas para repoblar.		
13. Staff numbers: Are there enough people employed to manage the protected area?	2	0: There are no staff	
		1: Staff numbers are inadequate for critical management activities	
		2: Staff numbers are below optimum level for critical management activities	
		3: Staff numbers are adequate for the management needs of the protected area	
Comments and Next Steps	2017* RCP y PNAP total de personal, 7 + 5, faltarían 4 personal (1 social) El sector Purus se trabaja de manera conjunta, vigilar la RC es vigilar el Parque GPV para alerta temprana y uso de recursos		
14. Staff training: Are staff adequately trained to fulfill management objectives?	2	0: Staff lack the skills needed for protected area management	
		1: Staff training and skills are low relative to the needs of the protected area	
		2: Staff training and skills are adequate, but could be further improved to fully achieve the objectives of management	
		3: Staff training and skills are aligned with the management needs of the protected area	
Comments and Next Steps	2017* Plan de capacitaciones SERNANP, lista de temas Personal domina la mitad de temas que se han realizado, conoce temas, pero se olvida, hay que hacer seguimiento con supervisiones Geografía, matematica, manejo FB, motores. Monitoreo, primeros auxilios - se automedican		
15. Current budget: Is the current budget sufficient?	2	0: There is no budget for management of the protected area	

		1: The available budget is inadequate for basic management needs and presents a serious constraint to the capacity to manage	
		2: The available budget is acceptable but could be further improved to fully achieve effective management	
		3: The available budget is sufficient and meets the full management needs of the protected area	
Comments and Next Steps	2017* Presupuesto incluye aliados, ONG se cubre SERNANP 40%,20% falta		
16. Security of budget: Is the budget secure?	2	0: There is no secure budget for the protected area and management is wholly reliant on outside or highly variable funding	
		1: There is very little secure budget and the protected area could not function adequately without outside funding	
		2: There is a reasonably secure core budget for regular operation of the protected area but many innovations and initiatives are reliant on outside funding	
		3: There is a secure budget for the protected area and its management needs	
Comments and Next Steps	SERNANP covers the annual budget Gestión participativa (presupuesto es insuficiente), educación (insuficiente), investigación.		
17. Management of budget: Is the budget managed to meet critical management needs?	2	0: Budget management is very poor and significantly undermines effectiveness (e.g. late release of budget in financial year)	
		1: Budget management is poor and constrains effectiveness	
		2: Budget management is adequate but could be improved	
		3: Budget management is excellent and meets management needs	
Comments and Next Steps			

18. Equipment: Is equipment sufficient for management needs?	2	0: There are little or no equipment and facilities for management needs	
		1: There are some equipment and facilities but these are inadequate for most management needs	
		2: There are equipment and facilities, but still some gaps that constrain management	
		3: There are adequate equipment and facilities	
Comments and Next Steps	There is an administrative base and 4 control posts, 1 motorcycle, 1 boat with motor		
19. Maintenance of equipment: Is equipment adequately maintained?	2	0: There is little or no maintenance of equipment and facilities	
		1: There is some ad hoc maintenance of equipment and facilities	
		2: There is basic maintenance of equipment and facilities	
		3: Equipment and facilities are well maintained	
Comments and Next Steps	2017* Se cuenta con presupuesto de mantenimiento - motores embarcaciones, algunos electricos (radiofonía, energía solar) No tienen todos los equipos		
20. Education and awareness: Is there a planned education programme linked to the objectives and needs?	2	0: There is no education and awareness programme	
		1: There is a limited and ad hoc education and awareness programme	
		2: There is an education and awareness programme but it only partly meets needs and could be improved	
		3: There is an appropriate and fully implemented education and awareness programme	
Comments and Next Steps	2017* Plan de educacion ambiental a nivel de escuelas - tambien uno de comunicación - coincide con el punto anterior Hay problema de radioemisora sin autorización		

21. Planning for land and water use: Does land and water use planning recognise the protected area and aid the achievement of objectives?	2	0: Adjacent land and water use planning does not take into account the needs of the protected area and activities/policies are detrimental to the survival of the area	
		1: Adjacent land and water use planning does not take into account the long term needs of the protected area, but activities are not detrimental to the area	
		2: Adjacent land and water use planning partially takes into account the long term needs of the protected area	
		3: Adjacent land and water use planning fully takes into account the long term needs of the protected area	
Comments and Next Steps	2017* 75% de comunidades población reconocen, a nivel del territorio se reconoce al ANP, PV de ccnn recogen 43ccnn representan el 90% de territorio reconocen el ANP Plan de la provincia reconece; pero no hay planificacadas acciones para fortalecer el ANP desde el Plan de desarrollo, quienes manejan el territorio son las ccnn		
21a. Land and water planning for habitat conservation: Planning and management in the catchment or landscape containing the protected area incorporates provision for adequate environmental conditions (e.g. volume, quality and timing of water flow, air pollution levels etc) to sustain relevant habitats.	1	0: No 1: Yes	
Comments and Next Steps	2017* Hay residuos solidos pero pequenas proporciones		
21b. Land and water planning for habitat conservation: Management of corridors linking the protected area provides for wildlife passage to key habitats outside the protected area (e.g. to allow migratory fish to travel between freshwater spawning sites and the sea, or to allow animal migration).	1	0: No 1: Yes	

Comments and Next Steps	2017* Plan de vida FECONAPU si se ha considerado, en el PDL no se ha considerado los ssee, faltaría trabajarse	
21c. Land and water planning for habitat conservation: "Planning addresses ecosystem-specific needs and/or the needs of particular species of concern at an ecosystem scale (e.g. volume, quality and timing of freshwater flow to sustain particular species, fire management to maintain savannah habitats etc.)"	1	0: No 1: Yes
Comments and Next Steps		
22. State and commercial neighbours: Is there co-operation with adjacent land and water users?	2	0: There is no contact between managers and neighbouring official or corporate land and water users
		1: There is contact between managers and neighbouring official or corporate land and water users but little or no cooperation
		2: There is contact between managers and neighbouring official or corporate land and water users, but only some co-operation
		3: There is regular contact between managers and neighbouring official or corporate land and water users, and substantial co-operation on management
Comments and Next Steps	They participate through their representatives in the PA management committee 2017* Con las ccnn, concesiones maosinfron, solo una excepción de una comuniad	
23. Indigenous people: Do indigenous and traditional peoples resident or regularly using the protected area have input to management decisions?	3	0: Indigenous and traditional peoples have no input into decisions relating to the management of the protected area
		1: Indigenous and traditional peoples have some input into discussions relating to management but no direct role in management
		2: Indigenous and traditional peoples directly contribute to some relevant decisions relating

		to management but their involvement could be improved	
		3: Indigenous and traditional peoples directly participate in all relevant decisions relating to management, e.g. co-management	
Comments and Next Steps	<p>They participate in the comanagement of the reserve through an ECA, in this case ECOPURÚS, that represents 26 native communities. They also participate through their representatives in the PA management committee</p> <p>2017* ECOPURUS, sspp caazar, lugares de caaza, ccnn cpn quiens trabajar, deciden en ellos, eligen GPV, opiniones sobre uso, proyectos en el área</p> <p>Toman deciiion es dentro y en la zA del a RC (caoba, copaiba)</p>		
24. Local communities: Do local communities resident or near the protected area have input to management decisions?	2	0: Local communities have no input into decisions relating to the management of the protected area	
		1: Local communities have some input into discussions relating to management but no direct role in management	
		2: Local communities directly contribute to some relevant decisions relating to management but their involvement could be improved	
		3: Local communities directly participate in all relevant decisions relating to management, e.g. co-management	
Comments and Next Steps	<p>They participate in the comanagement of the reserve through an ECA, in this case ECOPURÚS, that represents 26 native communities. They also participate through their representatives in the PA management committee</p> <p>2017* *Comité de agricultores no son aliados, maosinfron si es aliado</p> <p>Procesos de PM si se toman decisiones</p>		

24 a. Impact on communities: There is open communication and trust between local and/or indigenous people, stakeholders and protected area managers	1	0: No 1: Yes	
Comments and Next Steps			
24 b. Impact on communities: Programmes to enhance community welfare, while conserving protected area resources, are being implemented	1	0: No 1: Yes	
Comments and Next Steps			
24 c. Impact on communities: Local and/or indigenous people actively support the protected area	1	0: No 1: Yes	
Comments and Next Steps			
25. Economic benefit: Is the protected area providing economic benefits to local communities, e.g. income, employment, payment for environmental services?	2	0: The protected area does not deliver any economic benefits to local communities	
		1: Potential economic benefits are recognised and plans to realise these are being developed	
		2: There is some flow of economic benefits to local communities	
		3: There is a major flow of economic benefits to local communities from activities associated with the protected area	
Comments and Next Steps	ECOPURÚS sells mahogany seed (it has a management plan) 2017* Acuerdos menores, pescado para venta, carne majaz, huevos de 30% Maosinfron no tendria la fauna y atractivo si no ubiera la RCP, y el área en brasil		
26. Monitoring and evaluation: Are management activities monitored against performance?	2	0: There is no monitoring and evaluation in the protected area	
		1: There is some ad hoc monitoring and evaluation, but no overall strategy and/or no regular collection of results	
		2: There is an agreed and implemented monitoring and evaluation system but results do not feed back into management	

		3: A good monitoring and evaluation system exists, is well implemented and used in adaptive management	
Comments and Next Steps	2017* Ahora se hace adecuaciones y actualizaciones con reporte de avances, ahora estan atrasados, se hace c/6 meses Formato de implementación del PM. 2017.** La nueva actualización del PM 2018-2022 permitira mejorar los sistemas de monitoreo y mejorar la gestión		
27. Visitor facilities: Are visitor facilities adequate?	0	0: There are no visitor facilities and services despite an identified need	
		1: Visitor facilities and services are inappropriate for current levels of visitation	
		2: Visitor facilities and services are adequate for current levels of visitation but could be improved	
		3: Visitor facilities and services are excellent for current levels of visitation	
Comments and Next Steps	2017* La RCP no tiene niveles altos de visitantes		
28. Commercial tourism operators: Do commercial tour operators contribute to protected area management?	0	0: There is little or no contact between managers and tourism operators using the protected area	
		1: There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters	
		2: There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values	
		3: There is good co-operation between managers and tourism operators to enhance visitor experiences, and maintain protected area values	
Comments and Next Steps	2017* *Acaban de suscribir un acuerdo de cooperacion con empresa turistica (julio 2017) - fomentar artesanía, publicidad,		

	levantar inventario turistico. Actualmente no aplica		
29. Fees: If fees (i.e. entry fees or fines) are applied, do they help protected area management?	0	0: Although fees are theoretically applied, they are not collected	
		1: Fees are collected, but make no contribution to the protected area or its environs	
		2: Fees are collected, and make some contribution to the protected area and its environs	
		3: Fees are collected and make a substantial contribution to the protected area and its environs	
Comments and Next Steps	2017* RDR comercio taricaya y teparo, la primera Reserva comunal		
30. Condition of values: What is the condition of the important values of the protected area as compared to when it was first designated?	3	0: Many important biodiversity, ecological or cultural values are being severely degraded	
		1: Some biodiversity, ecological or cultural values are being severely degraded	
		2: Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted	
		3: Biodiversity, ecological and cultural values are predominantly intact	
Comments and Next Steps	2017* Cuando se creo el ANP había madereros, 2 grupos sacaban caoba, los sacaron en 2008. Hay problemas de cacerías, charapas, amenazas, no está la población degradada		
30a: Condition of values: The assessment of the condition of values is based on research and/or monitoring	1	0: No 1: Yes	
Comments and Next Steps	2017* Supervisión, patrullajes y aprovechamiento, investigación		
30b: Condition of values Specific management programmes are being implemented to address threats to biodiversity, ecological and cultural values	1	0: No 1: Yes	

Comments and Next Steps	2017* Planes de manejo, plan de vigilancia, voluntariado		
30c: Condition of values: Activities to maintain key biodiversity, ecological and cultural values are a routine part of park management	1	0: No 1: Yes	
Comments and Next Steps			
TOTAL SCORE	73	Pls add up numbers from assessment form (questions 1 to 30)	



Objective 1: Catalyzing Sustainability of Protected Area Systems
SECTION II: Management Effectiveness Tracking Tool for Protected Areas

Note: Please complete the management effectiveness tracking tool for **EACH** protected area that is the target of the GEF intervention and create a new worksheet for each.

Structure and content of the Tracking Tool - Objective 1. Section II:

The Tracking Tool has two main sections: datasheets and assessment form. Both sections should be completed.

1. Datasheets: the data sheet comprises of two separate sections:

- ü Data sheet 1: records details of the assessment and some basic information about the site, such as name, size and location etc.
- ü Data sheet 2: provides a generic list of threats which protected areas can face. On this data sheet the assessors are asked to identify threats and rank their impact on the protected area.

2. Assessment Form: the assessment is structured around 30 questions presented in table format which includes three columns for recording details of the assessment, all of which should be completed.

Important: Please read the Guidelines posted on the GEF website before entering your data

Data Sheet 1: Reporting Progress at Protected Area Sites	Please indicate your answer here	Notes
Name, affiliation and contact details for person responsible for completing the METT (email etc.)	Erick Efraín Zamalloa Calle ezamalloa@sernanp.gob.pe	
Date assessment carried out	Ene.08 2018	Month DD, YYYY (e.g., May 12, 2010)
Name of protected area	Megantoni National Sanctuary	
WDPA site code (these codes can be found on www.unep-wcmc.org/wdpa/)	-	
Designations(please choose 1-3)	2	1: National 2: IUCN Category

		3: International (please complete lines 35-69 as necessary)
Country	Perú	
Location of protected area (province and if possible map reference)	Región Cusco (Provincia La Convención)	
Date of establishment	2004	
Ownership details (please choose 1-4)	1	1: State 2: Private 3: Community 4: Other
Management Authority	SERNANP	
Size of protected area (ha)	215,869	
Number of Permanent staff	15	
Number of Temporary staff	1	Voluntary Park Guards
Annual budget (US\$) for recurrent (operational) funds – excluding staff salary costs		
Annual budget (US\$) for project or other supplementary funds – excluding staff salary costs		Financiamiento de TGP (Transportadora de Gas del Perú)
What are the main values for which the area is designated	It conserves samples of ten life zones that include intact forests, catchment headwaters and sacred sites for the Machiguenga people, maintaining connectivity between Manu NP and Vilcabamba PA Complex	
List the two primary protected area management objectives in below:	-	

Management objective 1	To conserve untouched the ecosystems that are developed in the Megantoni mountains	
Management objective 2	To protect the area inhabited by voluntarily isolated indigenous people, for their exclusive use, safeguarding their rights including their ancestral territories.	
No. of people involved in completing assessment	5	
Including: (please choose 1-8)	1,2,3	1: PA manager 2: PA staff 3: Other PA agency staff 4: Donors 5: NGOs 6: External experts 7: Local community 8: Other

Information on International Designations	Please indicate your answer here	
	-	
UNESCO World Heritage site (see: http://whc.unesco.org/en/list)	-	
Date Listed	-	
Site name	-	
Site area	-	
Geographical co-ordinates	-	
	-	
Criteria for designation	-	(i.e. criteria i to x)

Statement of Outstanding Universal Value	-	
	-	
Ramsar site (see: http://ramsar.wetlands.org)	-	
Date Listed	-	
Site name	-	
Site area	-	
Geographical number	-	
Reason for Designation (see Ramsar Information Sheet)	-	
	-	
UNESCO Man and Biosphere Reserves (see: http://www.unesco.org/new/en/natural-sciences/environment/ecological-sciences/man-and-biosphere-programme/)	-	
Date Listed	-	
Site name	-	
Site area	-	Total, Core, Buffer, and Transition
Geographical co-ordinates	-	
Criteria for designation	-	
Fulfilment of three functions of MAB	-	conservation, development and logistic support
	-	
Please list other designations (i.e. ASEAN Heritage, Natura 2000) and any supporting information below	-	
	Forms part of the Vilcabamba-Amboró Conservation Corridor	Name
	-	Detail
	There is an initiative to elaborate a proposal to establish the Megantoni Biosphere Reserve	

	-	Name
	-	Detail
	-	
	-	Name
	-	Detail

Data Sheet 2: Protected Areas Threats (please complete a Data Sheet of threats and assessment for each protected area of the project).		
Please choose all relevant existing threats as either of high, medium or low significance. Threats ranked as of high significance are those which are seriously degrading values; medium are those threats having some negative impact and those characterised as low are threats which are present but not seriously impacting values or N/A where the threat is not present or not applicable in the protected area.		
1. Residential and commercial development within a protected area		
Threats from human settlements or other non-agricultural land uses with a substantial footprint		
1.1 Housing and settlement	1	0: N/A 1: Low 2: Medium 3: High
1.2 Commercial and industrial areas	0	0: N/A 1: Low 2: Medium 3: High
1.3 Tourism and recreation infrastructure	0	0: N/A 1: Low 2: Medium 3: High
2. Agriculture and aquaculture within a protected area		
Threats from farming and grazing as a result of agricultural expansion and intensification, including silviculture, mariculture and aquaculture		
2.1 Annual and perennial non-timber crop cultivation	1	0: N/A 1: Low 2: Medium 3: High
2.1a Drug cultivation	0	0: N/A 1: Low

		2: Medium 3: High
2.2 Wood and pulp plantations	0	0: N/A 1: Low 2: Medium 3: High
2.3 Livestock farming and grazing	1	0: N/A 1: Low 2: Medium 3: High
2.4 Marine and freshwater aquaculture	0	0: N/A 1: Low 2: Medium 3: High
3. Energy production and mining within a protected area		
Threats from production of non-biological resources		
3.1 Oil and gas drilling	0	0: N/A 1: Low 2: Medium 3: High
3.2 Mining and quarrying	0	0: N/A 1: Low 2: Medium 3: High
3.3 Energy generation, including from hydropower dams	0	0: N/A 1: Low 2: Medium 3: High
4. Transportation and service corridors within a protected area		
Threats from long narrow transport corridors and the vehicles that use them including associated wildlife mortality		
4.1 Roads and railroads (include road-killed animals)	1	0: N/A 1: Low 2: Medium

		3: High
4.2 Utility and service lines (e.g. electricity cables, telephone lines,)	0	0: N/A 1: Low 2: Medium 3: High
4.3 Shipping lanes and canals	0	0: N/A 1: Low 2: Medium 3: High
4.4 Flight paths	1	0: N/A 1: Low 2: Medium 3: High
5. Biological resource use and harm within a protected area		
Threats from consumptive use of "wild" biological resources including both deliberate and unintentional harvesting effects; also persecution or control of specific species (note this includes hunting and killing of animals)		
5.1 Hunting, killing and collecting terrestrial animals (including killing of animals as a result of human/wildlife conflict)	1	0: N/A 1: Low 2: Medium 3: High
5.2 Gathering terrestrial plants or plant products (non-timber)	0	0: N/A 1: Low 2: Medium 3: High
5.3 Logging and wood harvesting	1	0: N/A 1: Low 2: Medium 3: High
5.4 Fishing, killing and harvesting aquatic resources	1	0: N/A 1: Low 2: Medium 3: High
6. Human intrusions and disturbance within a protected area		

Threats from human activities that alter, destroy or disturb habitats and species associated with non-consumptive uses of biological resources		
6.1 Recreational activities and tourism	1	0: N/A 1: Low 2: Medium 3: High
6.2 War, civil unrest and military exercises	0	0: N/A 1: Low 2: Medium 3: High
6.3 Research, education and other work-related activities in protected areas	0	0: N/A 1: Low 2: Medium 3: High
6.4 Activities of protected area managers (e.g. construction or vehicle use, artificial watering points and dams)	0	0: N/A 1: Low 2: Medium 3: High
6.5 Deliberate vandalism, destructive activities or threats to protected area staff and visitors	0	0: N/A 1: Low 2: Medium 3: High
7. Natural system modifications		
Threats from other actions that convert or degrade habitat or change the way the ecosystem functions		
7.1 Fire and fire suppression (including arson)	1	0: N/A 1: Low 2: Medium 3: High
7.2 Dams, hydrological modification and water management/use	0	0: N/A 1: Low 2: Medium 3: High
7.3a Increased fragmentation within protected area	0	0: N/A 1: Low

		2: Medium 3: High
7.3b Isolation from other natural habitat (e.g. deforestation, dams without effective aquatic wildlife passages)	0	0: N/A 1: Low 2: Medium 3: High
7.3c Other 'edge effects' on park values	0	0: N/A 1: Low 2: Medium 3: High
7.3d Loss of keystone species (e.g. top predators, pollinators etc)	0	0: N/A 1: Low 2: Medium 3: High
8. Invasive and other problematic species and genes		
Threats from terrestrial and aquatic non-native and native plants, animals, pathogens/microbes or genetic materials that have or are predicted to have harmful effects on biodiversity following introduction, spread and/or increase		
8.1 Invasive non-native/alien plants (weeds)	0	0: N/A 1: Low 2: Medium 3: High
8.1a Invasive non-native/alien animals	1	0: N/A 1: Low 2: Medium 3: High
8.1b Pathogens (non-native or native but creating new/increased problems)	0	0: N/A 1: Low 2: Medium 3: High
8.2 Introduced genetic material (e.g. genetically modified organisms)	0	0: N/A 1: Low 2: Medium 3: High

9. Pollution entering or generated within protected area		
Threats from introduction of exotic and/or excess materials or energy from point and non-point sources		
9.1 Household sewage and urban waste water	0	0: N/A 1: Low 2: Medium 3: High
9.1a Sewage and waste water from protected area facilities (e.g. toilets, hotels etc)	0	0: N/A 1: Low 2: Medium 3: High
9.2 Industrial, mining and military effluents and discharges (e.g. poor water quality discharge from dams, e.g. unnatural temperatures, de-oxygenated, other pollution)	0	0: N/A 1: Low 2: Medium 3: High
9.3 Agricultural and forestry effluents (e.g. excess fertilizers or pesticides)	0	0: N/A 1: Low 2: Medium 3: High
9.4 Garbage and solid waste	0	0: N/A 1: Low 2: Medium 3: High
9.5 Air-borne pollutants	0	0: N/A 1: Low 2: Medium 3: High
9.6 Excess energy (e.g. heat pollution, lights etc)	0	0: N/A 1: Low 2: Medium 3: High
10. Geological events		
Geological events may be part of natural disturbance regimes in many ecosystems. But they can be a threat if a species or habitat is damaged and has lost its resilience and is vulnerable to disturbance. Management capacity to respond to some of these changes may be limited.		

10.1 Volcanoes	1	0: N/A 1: Low 2: Medium 3: High
10.2 Earthquakes/Tsunamis	0	0: N/A 1: Low 2: Medium 3: High
10.3 Avalanches/ Landslides	1	0: N/A 1: Low 2: Medium 3: High
10.4 Erosion and siltation/ deposition (e.g. shoreline or riverbed changes)	1	0: N/A 1: Low 2: Medium 3: High
11. Climate change and severe weather		
Threats from long-term climatic changes which may be linked to global warming and other severe climatic/weather events outside of the natural range of variation		
11.1 Habitat shifting and alteration	0	0: N/A 1: Low 2: Medium 3: High
11.2 Droughts	0	0: N/A 1: Low 2: Medium 3: High
11.3 Temperature extremes	1	0: N/A 1: Low 2: Medium 3: High
11.4 Storms and flooding	1	0: N/A 1: Low

		2: Medium 3: High
12. Specific cultural and social threats		
12.1 Loss of cultural links, traditional knowledge and/or management practices	0	0: N/A 1: Low 2: Medium 3: High
12.2 Natural deterioration of important cultural site values	0	0: N/A 1: Low 2: Medium 3: High
12.3 Destruction of cultural heritage buildings, gardens, sites etc	0	0: N/A 1: Low 2: Medium 3: High

Assessment Form Para el llenado, se siguieron las orientaciones del SERNANP, de acuerdo al Documento de Trabajo 25		
1. Legal status: Does the protected area have legal status (or in the case of private reserves is covered by a covenant or similar)?	3	0: The protected area is not gazetted/covenanted 1: There is agreement that the protected area should be gazetted/covenanted but the process has not yet begun 2: The protected area is in the process of being gazetted/covenanted but the process is still incomplete (includes sites designated under international conventions, such as Ramsar, or local/traditional law such as community conserved areas, which do not yet have national legal status or covenant) 3: The protected area has been formally gazetted/covenanted
Comments and Next Steps	Established by Supreme Decree N° 030-2004-AG of 17th August 2004	

<p>2. Protected area regulations: Are appropriate regulations in place to control land use and activities (e.g. hunting)?</p>	<p>3</p>	<p>0: There are no regulations for controlling land use and activities in the protected area 1: Some regulations for controlling land use and activities in the protected area exist but these are major weaknesses 2: Regulations for controlling land use and activities in the protected area exist but there are some weaknesses or gaps 3: Regulations for controlling inappropriate land use and activities in the protected area exist and provide an excellent basis for management</p>
<p>Comments and Next Steps</p>		<p>Law of PAs, its Regulation and PA Zoning.</p>
<p>3. Law Enforcement: Can staff (i.e. those with responsibility for managing the site) enforce protected area rules well enough?</p>	<p>2</p>	<p>0: The staff have no effective capacity/resources to enforce protected area legislation and regulations 1: There are major deficiencies in staff capacity/resources to enforce protected area legislation and regulations (e.g. lack of skills, no patrol budget, lack of institutional support) 2: The staff have acceptable capacity/resources to enforce protected area legislation and regulations but some deficiencies remain 3: The staff have excellent capacity/resources to enforce protected area legislation and regulations</p>
<p>Comments and Next Steps</p>		<p>Park Guards are responsible for ensuring compliance with PA norms</p>
<p>4. Protected area objectives: Is management undertaken according to agreed objectives?</p>	<p>2</p>	<p>0: No firm objectives have been agreed for the protected area 1: The protected area has agreed objectives, but is not managed according to these objectives 2: The protected area has agreed objectives, but is only partially managed according to these objectives 3: The protected area has agreed objectives and is managed to meet these objectives</p>
<p>Comments and Next Steps</p>		

<p>5. Protected area design: Is the protected area the right size and shape to protect species, habitats, ecological processes and water catchments of key conservation concern?</p>	<p>3</p>	<p>0: Inadequacies in protected area design mean achieving the major objectives of the protected area is very difficult 1: Inadequacies in protected area design mean that achievement of major objectives is difficult but some mitigating actions are being taken (e.g. agreements with adjacent land owners for wildlife corridors or introduction of appropriate catchment management) 2: Protected area design is not significantly constraining achievement of objectives, but could be improved (e.g. with respect to larger scale ecological processes) 3: Protected area design helps achievement of objectives; it is appropriate for species and habitat conservation; and maintains ecological processes such as surface and groundwater flows at a catchment scale, natural disturbance patterns etc</p>
<p>Comments and Next Steps</p>	<p>The western sector of the Sanctuary is narrower and therefore more vulnerable to threats from uncontrolled hunting, fishing and agriculture</p>	
<p>6. Protected area boundary demarcation: Is the boundary known and demarcated?</p>	<p>1</p>	<p>0: The boundary of the protected area is not known by the management authority or local residents/neighbouring land users 1: The boundary of the protected area is known by the management authority but is not known by local residents/neighbouring land users 2: The boundary of the protected area is known by both the management authority and local residents/neighbouring land users but is not appropriately demarcated 3: The boundary of the protected area is known by the management authority and local residents/neighbouring land users and is appropriately demarcated</p>
<p>Comments and Next Steps</p>		

7. Management plan: Is there a management plan and is it being implemented?	2	0: There is no management plan for the protected area 1: A management plan is being prepared or has been prepared but is not being implemented 2: A management plan exists but it is only being partially implemented because of funding constraints or other problems 3: A management plan exists and is being implemented
Comments and Next Steps		
7.a Planning process: The planning process allows adequate opportunity for key stakeholders to influence the management plan	1	0: No 1: Yes
Comments and Next Steps	The Master Plans are produced through participatory processes	
7.b Planning process: There is an established schedule and process for periodic review and updating of the management plan	1	0: No 1: Yes
Comments and Next Steps	According to PA Law, Master Plans should be updated every 5 years.	
7.c Planning process: The results of monitoring, research and evaluation are routinely incorporated into planning	1	0: No 1: Yes
Comments and Next Steps		
8. Regular work plan: Is there a regular work plan and is it being implemented	3	0: No regular work plan exists 1: A regular work plan exists but few of the activities are implemented 2: A regular work plan exists and many activities are implemented 3: A regular work plan exists and all activities are implemented
Comments and Next Steps	The 2013 Annual Plan of Operations is being implemented and the 2014 Plan has been produced.	
9. Resource inventory: Do you have enough information to manage the area?	1	0: There is little or no information available on the critical habitats, species and cultural values of the protected area

		<p>1: Information on the critical habitats, species, ecological processes and cultural values of the protected area is not sufficient to support planning and decision making</p> <p>2: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient for most key areas of planning and decision making</p> <p>3: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient to support all areas of planning and decision making</p>
Comments and Next Steps		
<p>10. Protection systems:</p> <p>Are systems in place to control access/resource use in the protected area?</p>	2	<p>0: Protection systems (patrols, permits etc) do not exist or are not effective in controlling access/resource use</p> <p>1: Protection systems are only partially effective in controlling access/resource use</p> <p>2: Protection systems are moderately effective in controlling access/resource use</p> <p>3: Protection systems are largely or wholly effective in controlling access/ resource use</p>
Comments and Next Steps		
<p>11. Research: Is there a programme of management-orientated survey and research work?</p>	0	<p>0: There is no survey or research work taking place in the protected area</p> <p>1: There is a small amount of survey and research work but it is not directed towards the needs of protected area management</p> <p>2: There is considerable survey and research work but it is not directed towards the needs of protected area management</p> <p>3: There is a comprehensive, integrated programme of survey and research work, which is relevant to management needs</p>
Comments and Next Steps		

12. Resource management: Is active resource management being undertaken?	0	<p>0: Active resource management is not being undertaken</p> <p>1: Very few of the requirements for active management of critical habitats, species, ecological processes and cultural values are being implemented</p> <p>2: Many of the requirements for active management of critical habitats, species, ecological processes and, cultural values are being implemented but some key issues are not being addressed</p> <p>3: Requirements for active management of critical habitats, species, ecological processes and, cultural values are being substantially or fully implemented</p>
Comments and Next Steps		
13. Staff numbers: Are there enough people employed to manage the protected area?	2	<p>0: There are no staff</p> <p>1: Staff numbers are inadequate for critical management activities</p> <p>2: Staff numbers are below optimum level for critical management activities</p> <p>3: Staff numbers are adequate for the management needs of the protected area</p>
Comments and Next Steps		
Current staff: 1 chief, 1 administrator, 2 specialists and 7 Park Guards		
14. Staff training: Are staff adequately trained to fulfill management objectives?	2	<p>0: Staff lack the skills needed for protected area management</p> <p>1: Staff training and skills are low relative to the needs of the protected area</p> <p>2: Staff training and skills are adequate, but could be further improved to fully achieve the objectives of management</p> <p>3: Staff training and skills are aligned with the management needs of the protected area</p>
Comments and Next Steps		
15. Current budget: Is the current budget sufficient?	1	0: There is no budget for management of the protected area

		<p>1: The available budget is inadequate for basic management needs and presents a serious constraint to the capacity to manage</p> <p>2: The available budget is acceptable but could be further improved to fully achieve effective management</p> <p>3: The available budget is sufficient and meets the full management needs of the protected area</p>
Comments and Next Steps		
16. Security of budget: Is the budget secure?	1	<p>0: There is no secure budget for the protected area and management is wholly reliant on outside or highly variable funding</p> <p>1: There is very little secure budget and the protected area could not function adequately without outside funding</p> <p>2: There is a reasonably secure core budget for regular operation of the protected area but many innovations and initiatives are reliant on outside funding</p> <p>3: There is a secure budget for the protected area and its management needs</p>
Comments and Next Steps	SERNANP covers annual budgets	
17. Management of budget: Is the budget managed to meet critical management needs?	2	<p>0: Budget management is very poor and significantly undermines effectiveness (e.g. late release of budget in financial year)</p> <p>1: Budget management is poor and constrains effectiveness</p> <p>2: Budget management is adequate but could be improved</p> <p>3: Budget management is excellent and meets management needs</p>
Comments and Next Steps		
18. Equipment: Is equipment sufficient for management needs?	2	<p>0: There are little or no equipment and facilities for management needs</p>

		<p>1: There are some equipment and facilities but these are inadequate for most management needs</p> <p>2: There are equipment and facilities, but still some gaps that constrain management</p> <p>3: There are adequate equipment and facilities</p>
Comments and Next Steps	The Sanctuary has a technical and administrative base and 3 control posts, and 1 pickup	
19. Maintenance of equipment: Is equipment adequately maintained?	1	<p>0: There is little or no maintenance of equipment and facilities</p> <p>1: There is some ad hoc maintenance of equipment and facilities</p> <p>2: There is basic maintenance of equipment and facilities</p> <p>3: Equipment and facilities are well maintained</p>
Comments and Next Steps		
20. Education and awareness: Is there a planned education programme linked to the objectives and needs?	2	<p>0: There is no education and awareness programme</p> <p>1: There is a limited and ad hoc education and awareness programme</p> <p>2: There is an education and awareness programme but it only partly meets needs and could be improved</p> <p>3: There is an appropriate and fully implemented education and awareness programme</p>
Comments and Next Steps		
21. Planning for land and water use: Does land and water use planning recognise the protected area and aid the achievement of objectives?	1	<p>0: Adjacent land and water use planning does not take into account the needs of the protected area and activities/policies are detrimental to the survival of the area</p> <p>1: Adjacent land and water use planning does not takes into account the long term needs of the protected area, but activities are not detrimental the area</p> <p>2: Adjacent land and water use planning partially takes into account the long term needs of the protected area</p>

		3: Adjacent land and water use planning fully takes into account the long term needs of the protected area
Comments and Next Steps		
21a. Land and water planning for habitat conservation: Planning and management in the catchment or landscape containing the protected area incorporates provision for adequate environmental conditions (e.g. volume, quality and timing of water flow, air pollution levels etc) to sustain relevant habitats.	1	0: No 1: Yes
Comments and Next Steps		
21b. Land and water planning for habitat conservation: Management of corridors linking the protected area provides for wildlife passage to key habitats outside the protected area (e.g. to allow migratory fish to travel between freshwater spawning sites and the sea, or to allow animal migration).	1	0: No 1: Yes
Comments and Next Steps		
21c. Land and water planning for habitat conservation: "Planning addresses ecosystem-specific needs and/or the needs of particular species of concern at an ecosystem scale (e.g. volume, quality and timing of freshwater flow to sustain particular species, fire management to maintain savannah habitats etc.)"	1	0: No 1: Yes
Comments and Next Steps		
22. State and commercial neighbours: Is there co-operation with adjacent land and water users?	0	0: There is no contact between managers and neighbouring official or corporate land and water users 1: There is contact between managers and neighbouring official or corporate land and water users but little or no cooperation

		<p>2: There is contact between managers and neighbouring official or corporate land and water users, but only some co-operation</p> <p>3: There is regular contact between managers and neighbouring official or corporate land and water users, and substantial co-operation on management</p>
Comments and Next Steps	They participate through their representatives on the Management Committee.	
23. Indigenous people: Do indigenous and traditional peoples resident or regularly using the protected area have input to management decisions?	2	<p>0: Indigenous and traditional peoples have no input into decisions relating to the management of the protected area</p> <p>1: Indigenous and traditional peoples have some input into discussions relating to management but no direct role in management</p> <p>2: Indigenous and traditional peoples directly contribute to some relevant decisions relating to management but their involvement could be improved</p> <p>3: Indigenous and traditional peoples directly participate in all relevant decisions relating to management, e.g. co-management</p>
Comments and Next Steps	They participate through their representatives on the Management Committee.	
24. Local communities: Do local communities resident or near the protected area have input to management decisions?	2	<p>0: Local communities have no input into decisions relating to the management of the protected area</p> <p>1: Local communities have some input into discussions relating to management but no direct role in management</p> <p>2: Local communities directly contribute to some relevant decisions relating to management but their involvement could be improved</p> <p>3: Local communities directly participate in all relevant decisions relating to management, e.g. co-management</p>
Comments and Next Steps	They participate through their representatives on the Management Committee.	
24 a. Impact on communities: There is open communication and trust between local and/or	1	<p>0: No</p> <p>1: Yes</p>

indigenous people, stakeholders and protected area managers		
Comments and Next Steps		
24 b. Impact on communities: Programmes to enhance community welfare, while conserving protected area resources, are being implemented	1	0: No 1: Yes
Comments and Next Steps		
24 c. Impact on communities: Local and/or indigenous people actively support the protected area	1	0: No 1: Yes
Comments and Next Steps		
25. Economic benefit: Is the protected area providing economic benefits to local communities, e.g. income, employment, payment for environmental services?	1	0: The protected area does not deliver any economic benefits to local communities 1: Potential economic benefits are recognised and plans to realise these are being developed 2: There is some flow of economic benefits to local communities 3: There is a major flow of economic benefits to local communities from activities associated with the protected area
Comments and Next Steps		
26. Monitoring and evaluation: Are management activities monitored against performance?	2	0: There is no monitoring and evaluation in the protected area 1: There is some ad hoc monitoring and evaluation, but no overall strategy and/or no regular collection of results 2: There is an agreed and implemented monitoring and evaluation system but results do not feed back into management 3: A good monitoring and evaluation system exists, is well implemented and used in adaptive management
Comments and Next Steps		
27. Visitor facilities: Are visitor facilities adequate?	0	0: There are no visitor facilities and services despite an identified need

		<p>1: Visitor facilities and services are inappropriate for current levels of visitation</p> <p>2: Visitor facilities and services are adequate for current levels of visitation but could be improved</p> <p>3: Visitor facilities and services are excellent for current levels of visitation</p>
Comments and Next Steps		
28. Commercial tourism operators: Do commercial tour operators contribute to protected area management?	1	<p>0: There is little or no contact between managers and tourism operators using the protected area</p> <p>1: There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters</p> <p>2: There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values</p> <p>3: There is good co-operation between managers and tourism operators to enhance visitor experiences, and maintain protected area values</p>
Comments and Next Steps		
29. Fees: If fees (i.e. entry fees or fines) are applied, do they help protected area management?	0	<p>0: Although fees are theoretically applied, they are not collected</p> <p>1: Fees are collected, but make no contribution to the protected area or its environs</p> <p>2: Fees are collected, and make some contribution to the protected area and its environs</p> <p>3: Fees are collected and make a substantial contribution to the protected area and its environs</p>
Comments and Next Steps		
30. Condition of values: What is the condition of the important values of the protected area as compared to when it was first designated?	3	<p>0: Many important biodiversity, ecological or cultural values are being severely degraded</p> <p>1: Some biodiversity, ecological or cultural values are being severely degraded</p>

		2: Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted 3: Biodiversity, ecological and cultural values are predominantly intact
Comments and Next Steps	The current state of conservation is 99.41% (2014 Annual Plan of Operations)	
30a: Condition of values: The assessment of the condition of values is based on research and/or monitoring	0	0: No 1: Yes
Comments and Next Steps		
30b: Condition of values Specific management programmes are being implemented to address threats to biodiversity, ecological and cultural values	0	0: No 1: Yes
Comments and Next Steps		
30c: Condition of values: Activities to maintain key biodiversity, ecological and cultural values are a routine part of park management	1	0: No 1: Yes
Comments and Next Steps		
TOTAL SCORE	57	Pls add up numbers from assessment form (questions 1 to 30)

Tracking Tool for SFM/REDD-Plus Projects



****To be submitted at Mid-Term****

PART I - General Data		Please enter your data here	Notes
Project Title	Transforming Management of Protected Area/Landscape Complexes to Strengthen Ecosystem Resilience		
GEF ID	Coaching a SERNANP - MTR		
Agency Project ID	5152		
Country	Peru		
Region	LCR		
GEF Agency	UNDP		
Date of Council/CEO Approval	may-14		Month DD, YYYY (e.g., May 12, 2010)
GEF Grant (US\$)	8,991,434		
Date of Submission of the Tracking Tool	May 10, 2018		Month DD, YYYY (e.g., May 12, 2010)
Focal Areas	Biodiversity, Land Degradation, SFM		Climate Change, Biodiversity, Land Degradation
GEF SFM/REDD-Plus Objectives	1		1: SFM/REDD-Plus 1: Reduce pressures on forest resources and generate sustainable flows of forest ecosystem services 2: SFM/REDD-Plus 2: Strengthen the enabling environment for REDD-Plus
Scale of Project (See Below*)	6		1: Global 2: Regional 3: Sub-Regional/Transboundary 4: National 5: Sub-National – district, provincial 6: Site - landscape, watershed/catchment, river basin (Specify below)
If you selected 6 please specify	Purus-Manu and Yanachaga-EI Sira PA complexes		
Person Responsible for Completing the TT	Anna Montalván, Monitora de proyecto anna.montalvan@undp.org Michael Valqui, Coordinador de proyecto michael.valqui@undp.org		(Indicate Name, Position, Institution, E-mail)

PART II – PROJECT CONTEXT AND TARGETED IMPACTS

1. Characterization of area in which project is located

a) Areas targeted by project categorized by biome

Category	Project activity (hectares)	Indirect potential* (hectares)
TROPICAL FORESTLAND		
Tropical moist broadleaf and mixed forestland	729,529.00	<u>Dato original:</u> sumada la superficie bajo manejo forestal (indicador 2.3) 15,833ha , el cual fue modificado por dos cadenas da valor, con la superficie agrícola 317,713ha. Dado que aún no se ha determinado la superficie bajo manejo forestal con las comunidades, se considera solo el valor agrícola.
Tropical dry broadleaf and mixed forestland		
Tropical coniferous forestland		
SUBTROPICAL FORESTLAND		
Subtropical moist broadleaf and mixed forestland		
Subtropical dry broadleaf and mixed forestland		
Subtropical coniferous forestland		
TEMPERATE FORESTLAND		
Mediterranean forestland		
Non-Mediterranean forestland		
PEATLANDS		
Tropical peatland forest		
Temperate peatland forest		
Boreal peatland forest		
Non-forest peatland		
OTHER		
Boreal Forest Land		
Mangroves		
Other [fill in name here]		

b) Areas by vegetation/management characteristics targeted by the project.^A

	Project activity	Indirect potential*
	(hectares)	(hectares)
Primary Forest		
Other naturally regenerated forest		
Forest Plantation (native species)		
Forest Plantation (exotic species)		
Agroforestry system, grazing		
Agroforestry system, cropping		
Forest-related peatland system		
Other [fill in name here]	729,529.00	Dato original: 317,713ha (en función al área de agricultura en 20 distritos) El ámbito del proyecto se modificó, en el cual hay 54 distritos, por lo que la superficie agrícola total es 729,529 ha

^ANote that current non-forest areas targeted for afforestation/reforestation should be included in the targeted vegetation/management system.

c) Areas of ownership/management rights targeted by the project.

		Project activities (hectares)
Private forests	Community managed forests	
	Non-community managed forests	
Federal/State/Other Public	Community managed forests	por determinarse con las comunidades que implementen las cadenas de valor de productos no maderables
	Non-community managed forests	

2. Socio economic benefits - Characterization of communities and populations that are expected to directly benefit from the project

		Number
Forest-dependent people	Male	11,000
	Female	9,000
Poor people	Male	11,000
	Female	9,000
Indigenous peoples	Male	9,000
	Female	6,000

PART III – PROJECT OUTCOMES

Core Results (Planned Target)			
SFM/REDD-plus (Core Results and Outcomes)	Indicators	Area (ha)	tonnes CO2eq
Carbon stored in forest ecosystems and emissions avoided from deforestation and forest degradation from this project (Direct lifetime)	Conservation & enhancement of carbon in forests	N/A	N/A
	Avoided deforestation and forest degradation	14,535	1'350,366
Carbon stored in forest ecosystems and emissions avoided from deforestation and forest degradation from this project (Indirect lifetime)	Conservation & enhancement of carbon in forests	N/A	N/A
	Avoided deforestation and forest degradation	N/A	N/A
Outcomes (Current Situation)			
1.1: An enhanced enabling environment within the forest sector	Forest Sector Policy/ Regulation Framework *	3	<p>1: no sector policy/regulation framework in place</p> <p>2: sector policy/regulation framework has been discussed and formally proposed</p> <p>3: sector policy/regulation framework have been formally proposed but not adopted</p> <p>4: sector policy/regulation framework formally adopted by the Government but weak enforcement mechanisms</p> <p>5: sector policy/regulation framework are enforced</p>

1.2: Good forest management practices applied in existing forests	Forest area certified for timber and non-timber forest products	N/A	ha
	Area covered by forest management plans	Se determinará con las comunidades con las cuales se implementen cadenas de valor de productos no maderables	ha
	Restoration/rehabilitation of degraded forests	N/A	ha
1.3 Good management practices adopted by relevant economic actors	Types and quantity of services generated through SFM	14,535.00	Area of avoided deforestation (ha)
2.1: Enhanced institutional capacity to account for GHG emission reduction and increase in carbon stocks	National carbon stock monitoring systems in place (area covered)	4	0: not an objective/component 1: no action 2: in design phase 3: mapping of forests and other land areas 4: compilation and analysis of carbon stock information 5: implementation of science based inventory/monitoring system 6: monitoring information database publicly available
			ha
Outcomes (Planned Target)			

1.1: An enhanced enabling environment within the forest sector	Forest Sector Policy/ Regulation Framework *	3				<p>1: no sector policy/regulation framework in place</p> <p>2: sector policy/regulation framework has been discussed and formally proposed</p> <p>3: sector policy/regulation framework have been formally proposed but not adopted</p> <p>4: sector policy/regulation framework formally adopted by the Government but weak enforcement mechanisms</p> <p>5: sector policy/regulation framework are enforced</p>
	Payment for ecosystem services (PES) systems established	PE S1	PE S2	PE S3	PE S4	
		2				<p>1: Carbon sequestration</p> <p>2: Watershed services (focus on water)</p> <p>3: Biodiversity conservation</p> <p>4: Soil conservation</p> <p>5: Landscape and recreational services</p> <p>6: Other (please specify):</p>
						Financial Volume (USD)
				ha		
1.2: Good forest management practices applied in existing forests	Forest area certified for timber and non-timber forest products	N/A				ha
	Area covered by forest management plans	Se determinará con las comunidades con las cuales se implementen cadenas de valor de productos no maderables				ha

	Restoration/rehabilitation of degraded forests	N/A	ha
2.1: Enhanced institutional capacity to account for GHG emission reduction and increase in carbon stocks	National carbon stock monitoring systems in place	4	0: not an objective/component 1: no action 2: in design phase 3: mapping of forests and other land areas 4: compilation and analysis of carbon stock information 5: implementation of science based inventory/monitoring system 6: monitoring information database publicly available Area Covered (ha)
2.2: New revenue for SFM created through engaging in the carbon market	Carbon credits generated	N/A	Number of credits

*Baseline assessment made during project design and planning phase and repeated annual assessments reported in PIRs

Knowledge contribution as global public goods (Describe and List ALL)		
Knowledge resources and products		
Publications		Provide citation for each
Tools and Methodologies		Provide citation for each
Best practice guidelines		Provide citation for each
Knowledge dissemination (Describe and List ALL)		
Websites	Ver reporte PIR 2018_sección Project links & social media	URL
Workshops	Ver reporte PIR 2018_sección Project links & social media	Name, Dates, Location, No. of Participants
Conferences and seminars	Ver reporte PIR 2018_sección Project links & social media	Name, Dates, Location, No. of Participants
People joined through networks	Ver reporte PIR 2018_sección Project links & social media	No.
Media products	Ver reporte PIR 2018_sección Project links & social media	Provide citation for each

Annex 15: Comparative Matrix Finding, Conclusion and Recommendation

Finding	Conclusion	Recommendation
<p>The project responds to national priorities expressed in different plans and policies at national, regional and local levels. It is seen as a great opportunity to look at the conservation of biodiversity beyond the boundaries of protected areas and integrate them into other social, productive and economic dynamics that occur around them.</p>	<p>In general, the project has a high pertinence and relevance in the national context; it responds to institutional priorities and policy guidelines. This is why it is important that other key institutions of the State, such as MINAM and MINCU, become more actively involved, which are important actors in order to give the project a greater strategic positioning and consequently strengthen its sustainability perspective.</p> <p>The project represents a great opportunity to strengthen the management and vision of conservation. For example, in the case of SERNANP, the project contributes to expanding the outlook of the NPAs; in the case of the GORES that have started the work with the systems of regional conservation areas (ACR); ECAS that can strengthen its management in order to be replicated in other sites, etc.</p>	<p>It is recommended to raise the political profile of the project, especially with the regions that have new authorities, as well as with MINAM and MINCU, important actors to give a greater strategic positioning to the project and strengthen its perspective of sustainability. It is essential to complement the technical assistance with the political intervention in the territory through a greater presence and direct involvement of the Coordinator, with the support and accompaniment of the authorities of SERNANP and UNDP.</p>
<p>At the beginning of the project, the team discovered some difficulties in the design of the indicators of the project in general and the Outcomes, for this reason, it was decided to modify several indicators, which in certain cases included revising the baseline and the proposed goal, in other cases, regrouping and reorganising, the new indicators sought to respond in a better way to the context in which the project is developed.</p> <p>This updating and modifying process of the PRODOC consumed a large part of the team's time during the start-up phase, however, it is considered as an adequate</p>	<p>The start of the project execution took longer than estimated, given that the project team invested a considerable amount of time in updating and adjusting the original planning expressed in the PRODOC. Other delays that affected the project were caused by the designation of the National Direction in SERNANP, and in the hiring of the National Coordinator, as well as the designation and recruitment, this last process took 6 months because the first contest was declared unfulfilled.</p> <p>At the beginning of the Project, the team showed that there were some difficulties in the design of</p>	

<p>investment in order to improve the quality of intervention in the two selected landscapes. The new indicators that were proposed, were presented and subsequently approved by the Steering Committee.</p>	<p>the Project and Outcome indicators. For this reason, it was decided to modify several indicators, which in certain cases included revising the baseline and the proposed goal, and in other cases regrouping and reordering. This suggests weaknesses and inconsistencies both in the concept, which had to be revised in depth, and in the delimitation of the intervention areas and the selection of priorities and intervention strategies in each site.</p>	
<p>Despite the importance of investing time in improving the quality and relevance of intervention in the territory, it is verified that the time lost has not yet been recovered. During 2018 the implementation of Outcome 2 has been accelerated, with concrete results reported to date, and the achievement of certain key Outputs of Outcome 1</p>	<p>The Project is on track and presents a good feasibility to meet the expected results for Outcome 1, however, the issue of financial sustainability should be viewed with caution because it has a relatively short time to complete the fundraising provided. Regarding Outcome 2, there is evidence of an important lag, and as such there are risks related to compliance with the results and their sustainability.</p>	
<p>In several cases they have delivered to the headquarters Outputs already prepared, with which the main discomfort is generated because the headquarters did not participate in the preparation of such documents, as well as, in previous consultations on training topics.</p>	<p>There is a weakness in relation to the participation of the head offices in the development of the different Outputs of the contracted consultancies. Likewise, the information that is generated through these spaces are not shared, or it is in a superficial manner with key stakeholders such as the GORE, ECA, heads of NPA. The latter has a particular interest in learning about these important inputs and are key partners in the implementation and sustainability of the Outputs developed.</p>	<p>It is recommended that the project actively promotes spaces for the internal socialisation of strategies implemented by partner institutions in the execution of Outcomes 1 and 2. For example, these spaces can occur in relation to strategic communication for political advocacy (ACCA), incorporation of climate approaches in productive initiatives (RA), management of micro capitals by grassroots organisations (UNDP), interculturality (IBC, AIDSESP, CONAP), strengthening of conservation areas oriented towards financial sustainability (ACCA), adaptation to climate change (UNDP).</p>

		It is fundamental that the consulting products that are generated in the Project, in relation to the NPA, be shared and socialized to the users and institutions, who will be the main users of the information.
According to the testimonies of the interviewees that are shared by the evaluation team, an unbalanced relationship with the certain actors in the territory is verified.	The Project has been related to different emphasis with the actors in the landscapes, resulting in a limited relationship with the Regional Governments of Ucayali and Madre de Dios. The conjuncture of change of authorities is propitious to improve the approach of the Project in these areas of intervention.	It is recommended to look for a more balanced relationship with the different stakeholders, particularly those with whom the project has almost no relationship, such as the Regional Government of Madre de Dios. In all cases, the project must consider a proactive approach in presenting the project to the new authorities and positioning the major issues of the project in those who are about to assume their new positions.
The appropriation of the project turns out to be relatively low, the different parties have different readings, however, they agree that the project is much more identified with the UNDP than with the SERNANP, this fact is more evident at the head office level but is also shared by stakeholders from the central level in Lima. The work through the partner institutions has not positioned the project sufficiently and practically make SERNANP appear invisible. It is necessary to give a 180-degree turn, to make the work of the national institution evident, specifically in the creation of new areas of conservation, connectivity, extension, etc.	The appropriation of the project is relatively low, the project is much more identified with the UNDP than with the SERNANP, a fact that is more evident at the head office level but is also shared by stakeholders at the central level in Lima. The document includes, in section 3.2, at least five reasons that may explain this perception and some related recommendations.	It is recommended to implement strategies to increase the ownership of the project such as lowering the profile to the corporate image of the project and upload the profile of SERNANP, change the physical location of the team and the domains of the email to SERNANP, include SERNANP in the relationship and execution of activities with implementation partners It is recommended to develop or strengthen the capacities of the project team at Lima and head offices level, to incorporate a gender and intercultural approach. Likewise, identify one or two people in the project, who support in the follow-up of the application of these approaches, in a coordinated manner with the gender and interculturality specialist of the UNDP Amazon Program.
In general, it is observed that the execution of the Project has focused specifically on the technical level. In this sense, it is necessary that the Project open spaces for dialogue with	The construction of key concepts, definition of principles and strategies, should involve the different levels of project management and key actors, which will facilitate the appropriation of	It is recommended to contact the new authorities elected in regions who will approve or inherit the plans or processes that have been developed. It is important to confirm and

<p>the new municipal authorities, in order to influence political decision-making.</p>	<p>the project and the different approaches that it promotes. In that sense, the political profile and strategic communication have a key role that should be strengthened by UNDP and SERNANP.</p>	<p>ratify the commitments regarding the execution of the different activities related to the project, this process must be led by the project team and SERNANP and supported by UNDP.</p>
<p>In the PRODOC of the project, a series of activities aimed at trying to co-finance and articulate with other cooperation stakeholders are identified. Output 6 of Outcome 1 refers to "Financial mechanisms established to increase resilience in the landscapes", which raises a number of potential sources of funding, as well as, demonstrate the need to coordinate with initiatives and agencies to promote sustainability of the landscapes. This Outcome is fundamental for the sustainability of the intervention in a large territorial area such as that covered by the project.</p>	<p>The design of the project has received contributions from other programs and projects of the UNDP portfolio, such as the Ecosystem-based Adaptation Program (EbA). In addition, the project contributed to the design of the project proposal Sustainable Productive Landscapes (PPS) and is currently articulated as with the Green Commodities Program.</p>	<p>It is necessary to work more in leveraging resources and have a more detailed and strategic management regarding the monitoring and monitoring of co-financing, this at a methodological level. At the same time, a mapping of opportunities can be developed to seek financing with other actors for resilience issues at the landscape level.</p> <p>It is evident that on the progress of the project, the corresponding adjustments were made to various indicators, the one corresponding to 1.6 did not suffer any variation, however, according to this evaluation it is suggested to adjust the scope of the indicator 1.6 so that, instead of proposing financial mechanisms established, adjusting to financial mechanisms in the implemented process. Likewise, instead of a collection goal of USD 5.4 million, it should mention a goal of committed or directed resources.</p> <p>The analysis of information also indicates that certain actions could have been executed in advance, such as the installation of the head offices and the hiring of key personnel. In the latter case, a significant delay in the incorporation of support professional to SERNANP is identified, which is a key profile in the uptake strategy of USD 5.4 million. The consultant in question was hired in June 2018, which leaves a very narrow margin to be able to coordinate with other activities considered as part of the planned strategy, to reach the</p>

		goal set in the two years remaining to the project.
<p>Output 1.6 has supported SERNANP in the preparation of 3 conceptual notes of projects totaling around USD 50,000,000. The identification of other mechanisms for the financial sustainability of conservation areas should also be mentioned.</p>		<p>Improve the linkage of the project intervention with other opportunities that are being implemented, such as Phase 2 of EbA, the PPS and other interventions of the UNDP portfolio. This proposal is made under the consideration that the aforementioned projects are in an implementation phase and fit appropriately with the activities of Outcome 2.</p> <p>Search alliances for co-financing and sustainability of productive activities, for which it is necessary to carry out a more political work from the territory, showing a greater presence in the head offices and looking for alternatives for the exit strategy of the project. Therefore, it is important to take advantage of one of the financial sustainability activities proposed in the project (Strategy 1.6), specifically designed to raise funds.</p>
<p>In general, one of the project's inconvenient is related to the monitoring of the project in relation to co-financing, which is not brought properly and a system or procedure for this purpose is not verified. There is no evidence that the issue of co-financing has been systematised yet. It is understandable that the registration of the different contributions is a complex issue, but it is necessary to show the contributions of the different institutions.</p>	<p>The working matrix for monitoring the financing and co-financing matter has been updated on the proposal in the PRODOC, it is evident that various stakeholders, in both cases, intervene and invest in the project in the same ambit and with common or complementary topics. In general, the commitment of co-financing is to support the achievement of results and complementarity of the project and also contributes to its sustainability, in this sense, it is evident that commitments have also been updated, however, a more structured effort can still be made in relation to the definition of strategic partners for the development and sustainability of the Outputs and Outcomes of the project.</p>	
<p>Initially, the PRODOC's design did not contemplate the communications area, nor a</p>	<p>The project has a lot to communicate and paradoxically shows a discrete performance in</p>	<p>The project has a lot of information to communicate, it is important to use</p>

<p>person responsible for it, however, in the PRODOC, communication activities related to each Outcome were planned, estimated at USD 90,000 and intended for the production of audio-visual material. Despite this, the design of the project did not allocate a budget destined to develop a plan or a strategic approach for the communication of the entire project, translating this into one of the weakest areas of the whole intervention and offered little function to support in the execution and specification of the project's objectives.</p>	<p>terms of its capacity to deploy better communication responses. For example, it has been shown that in the election process, the main matters managed by the project, such as regional conservation areas, connectivity or resilience, were not placed on the candidates' agenda.</p>	<p>communication as a strategic tool to achieve results. This condition must be reflected in an internal work document that serves as a Communication Plan until the end of the remaining period of execution.</p>
<p>It is considered that the communication of the project responds more to the corporate area of UNDP than to the specific objectives of the project in terms of executing the Outcomes in the territory.</p>		
<p>The central theme of resilience, which gives its name to the project, while it has been conceptualised, principles and strategies have been defined, in some cases, it is not clear how it is operationalised from the Outcomes and its results.</p>	<p>The central theme of resilience, which gives its name to the project, while it has been conceptualised principles and strategies have been defined, in some cases, it is not clear how it is operationalised from the Outcomes and their results. Likewise, resilience as a differential approach of the project remains unnoticed or in other cases as a diffuse concept for stakeholders outside of UNDP, a situation that contributes to each stakeholder awaits the priorities they identify will be accepted by the project.</p>	<p>Within project management, a greater collaboration of the whole team could be sought to strengthen Outcome 2. There are spaces for opportunities of mutual benefit, as well as talents and skills in the team that can be complementary, and that should not necessarily be categorically divided between Outcomes, on the contrary, this condition would allow work on cross-cutting issues that allow adding value from existing multiple competencies</p>
<p>There is a clear division between Outcomes 1 and 2; indeed there are spaces for opportunities of mutual benefit, as well as talents and skills in the team that can be complementary.</p>	<p>The Outcomes advance separately, with little correlation between the progress and achievements of the activities and sub-products of each Outcome. For this reason, it is evident that they do not take advantage of opportunities for mutual benefit. Although this could be seen as an inconvenience, it also opens the opportunity to correct and take better advantage</p>	<p>Within project management, a greater collaboration of the whole team could be sought to strengthen Outcome 2. There are spaces for opportunities of mutual benefit, as well as talents and skills in the team that can be complementary, and that should not necessarily be categorically divided between Outcomes, on the contrary, this condition would allow work on cross-cutting issues that</p>

	<p>of the installed capacities with a less restrictive division of tasks and functions per Outcome.</p>	<p>allow adding value from existing multiple competencies</p> <p>It is recommended that the project actively promotes spaces for the internal socialisation of strategies implemented by partner institutions in the execution of Outcomes 1 and 2. For example, these spaces can occur in relation to strategic communication for political advocacy (ACCA), incorporation of climate approaches in productive initiatives (RA), management of micro capitals by grassroots organisations (UNDP), interculturality (IBC, AIDSESEP, CONAP), strengthening of conservation areas oriented towards financial sustainability (ACCA), adaptation to climate change (UNDP).</p>
<p>The need to incorporate the intercultural approach has been markedly evident in the execution of the microcapital agreements, particularly for the advice and administrative follow-up by the Project team.</p>	<p>It is evident that part of the professionals who provide technical assistance for the ECAs, in terms of micro-financing, has previously worked in the Peruvian Amazon; however, this does not mean that they are specialised in capacity building in an intercultural context. There is a need to strengthen their capacities and provide them with management tools to improve their relationship with the beneficiaries and the effectiveness of their intervention.</p>	<p>It is recommended to strengthen the exchange of experiences between implementing partners and beneficiary organisations, for example, these may be related to the creation of new conservation areas, the execution of micro capital agreements (ECA), economic empowerment with gender equality (ECOPURUS, Mabu Hiwe), among others. These spaces would stimulate learning and would facilitate the systematisation of processes and their sustainability.</p> <p>It is recommended that the project accompanies the participation of indigenous federations and ECA in the spaces of polycentric governance promoted by the project, and contribute to clarifying the role of each one.</p>

		<p>Promote the participation of the ECAs and indigenous organisations in spaces of environmental governance, in an articulated manner to the strategy of capacity building.</p>
<p>Interculturality is not addressed explicitly in the design of the Project, rather it is indicated that the sociocultural conditions of the settlers, and the indigenous peoples for the development of resilient productive systems will be taken into account.</p>	<p>Gender and intercultural approaches can enhance the success of the processes among the stakeholders, facilitating their sustainability, while at the same time facilitating an adequate relationship and keeping communication channels open. The learning towards the intercultural dialogue is of multiple routes, from the different towns, the institutions that represent them, the institutions of the State and the institutions of the project (SERNANP, UNDP).</p>	<p>It is recommended to better prepare teams to provide technical assistance in relation to financial and administrative management, in order to have a more careful approach with intercultural aspects at the time of access to indigenous organisations. Two aspects are particularly relevant, the first relates to the skills, tools and knowledge to transfer skills in grassroots organisations. The second is related to transferring skills and action protocols to work with indigenous organisations.</p> <p>It is recommended to develop or strengthen the capacities of the project team at Lima and head offices level, to incorporate a gender and intercultural approach. Likewise, identify one or two people in the project, who support in the follow-up of the application of these approaches, in a coordinated manner with the gender and interculturality specialist of the UNDP Amazon Program.</p>
<p>The Project identified 10 local initiatives for the creation of biodiversity and agrobiodiversity conservation areas in priority areas that in total involve 284,065 ha. The articulation in these processes has been successful at the levels of regional, local government and social actors, especially in Cusco, and with less approach in Ucayali and Pasco.</p>	<p>Regarding the first Output, the project identified 10 local initiatives for the creation of biodiversity and agrobiodiversity conservation areas in priority zones that in total involve 284,065 ha, under different legal frameworks and mechanisms, between ACR, ACP, CC, in some innovative cases in the national context such as the recognition of agrobiodiversity zones in Cusco. The processes of recognition of</p>	<p>The portfolio of new conservation areas exceeds the goal; at this point, priority must be given only to those opportunities that offer a high or very high probability of being finalised within the project deadlines. It is recommended to open up the portfolio and optimise the use of existing resources.</p>

<p>The processes of recognition of conservation areas are at different levels of progress and possibilities to materialize during the project execution time, so it is convenient to support from a political role of UNDP and the project those with greater viability, accompanied by a communication strategy for the incidence in political decision makers.</p>	<p>conservation areas under the leadership of SERNANP, are at different levels of progress and possibilities to materialise during the time of execution of the project, so it is convenient to prop up from a political role of UNDP and the project to those with greater viability, accompanied by a communication strategy for the incidence in political decision makers.</p>	<p>It is necessary to actively promote the institutional participation of SERNANP in the articulation with the implementation partners of the project to demonstrate the work on the creation of new conservation areas, NPA, connectivity, extension, etc.</p> <p>Strengthen the Conservation Systems of Regional Conservation with key actions, especially in the areas where conservation areas will be created, as part of the regional institutional framework for territorial management.</p>
<p>In Output 1.2 it is necessary to conclude this process with the appropriate level of socialization, in order to formalize the existing proposals and move towards their implementation.</p>	<p>With regard to Output 1.2, the project has contributed to the conceptualisation of conservation agreements, and the definition of a proposal for guidelines to be implemented at the SINANPE level. It is necessary to conclude this process with the appropriate level of socialisation, in order to formalise the existing proposals and move towards their implementation.</p>	<p>It is recommended that SERNANP invigorate the process for approval of the guidelines with the appropriate level of socialisation and capacity building, in order to formalise the existing proposals and move towards their implementation.</p> <p>In relation to Outcome 1, it is important to balance the approach of the Project in the two areas of intervention, with the Headquarters, ECA and CoG, in order to identify opportunities for the Conservation Agreements and strengthen the participation of the communities.</p>
<p>Output 1.3 has made progress in incorporating climate change and resilience approaches into two master plans (PNAP, RCP) and another in the process (PNM). There were also 3 prior consultation processes for approval of the zoning (RCA, RCY, RCE).</p>	<p>Regarding Output 1.3, the project has made progress in incorporating climate change and resilience approaches into two master plans (PNAP, RCP) and another in (PNM) process. Also, 3 prior consultation processes for approval of the zoning (RCA, RCY, RCE) were made. The result of this Output has yet to be seen in terms of its applicability and appropriation by PAN managers, which is why it is essential to work on</p>	<p>The SERNANP Master Plan is a great opportunity, possibly the most important bet in which the project must influence to ensure the sustainability of its related products to integrate aspects of CC and resilience in the management tools at the system and site level, as well as products related to capacity building.</p>

	<p>articulation with other Outputs of this Outcome such as Output 1.4.</p>	<p>The Project must identify the basic capacities required by the key actors to internalize and operationalize these resilience and adaptation approaches to climate change in the management of the territory and conservation areas, and complement the strategies deployed with other actions articulated to a strategy of capacity building, planned in conjunction with the actors. This includes processes of collective construction of: concepts such as resilience and adaptation of landscapes, strategy to strengthen the management committees in each case; and the validation and socialization of technical studies carried out.</p> <p>Continue supporting processes within SERNANP such as the approval of guidelines for conservation agreements, and position key approaches such as resilience, climate change, connectivity, in the monitoring system and in future processes such as updating the Master Plan.</p>
<p>In Output 1.4, the results of the evaluation show that, from this product, the project accompanied and promoted different strategies aimed at strengthening capacities for the management of conservation areas.</p>	<p>In relation to Output 1.4, the project accompanied and promoted different strategies aimed at strengthening capacities for the management of conservation areas. During these processes, knowledge was strengthened and capacities for planning, participative and inclusive management were exercised, the treatment of threats, both by state managers and the related population. There is still a way to go in relation to the strengthening of the capacities of the management committees and fundamentally in strengthening the main approaches of adaptation to climate change and landscape resilience.</p>	<p>Develop a strategy and a plan for capacity building from a broad and comprehensive perspective, which reflects all the key concepts and issues proposed by the project in a tool suitable for different audiences, profiles and roles of each actor. The support of a specialised profile in institutional capacity building is recommended, which can support the team in identifying audiences, capacity gaps and developing the most appropriate strategies for each audience.</p>
<p>In relation to Output 1.5, SERNANP has established an ad hoc group to construct</p>	<p>Outputs 1.4 and 1.5 are the ones that present the least advance within this Outcome 1. On the one</p>	<p>Se It is recommended that SERNANP streamline the operation of the monitoring</p>

<p>connectivity indicators, and the project is reviewing existing studies and articulating with international initiatives to facilitate access to information for the group.</p>	<p>hand, regarding the "Monitoring mechanisms established to measure the increase of resilience in landscapes", SERNANP has established an ad hoc group to build the indicators to which the project feeds technically. As for the "Financial mechanisms established to increase resilience in landscapes", the updating of financial gaps has been supported with the leadership of 9 NPA (RCP, PNAP, RCE) and 3 ECAs, SERNANP has been supported in the elaboration of project concept notes and opportunities such as the MERESE have been identified in the case of the Ausangate ACR proposal, and the formulation of productive projects for ACP.</p>	<p>group, for the identification of variables to measure resilience and its subsequent incorporation into the SINANPE monitoring system.</p>
<p>In relation, with Output 2.1, the participation of the FFS and indigenous organizations in environmental governance spaces, no evidence was identified. Rather, it has facilitated their participation in other key areas for the management of the NPA as prior consultation processes for the zoning of NPA, and to strengthen the co-management as national meetings of ECA, and working spaces with local governments.</p>	<p>Output 2.1 refers to the "Institutional framework for the planning and management of buffer zones". The advances recorded include the analysis of risks to climate change, the preparation of PDLC and PEI of the YESI landscape, which articulates life plans and master plans in the planning of the district and province. In the PUMA landscape, the Project participates with technical contributions in the implementation of climate change strategies.</p>	<p>It is important to seek better articulation and closeness with CONAP and AIDSESEP to improve coordination and keep these organizations informed about the interventions and activities planned with their bases. It is recommended to promote a more active linkage of these actors in the different fronts of the project and maintain open channels of information, and coordination in all interventions in the territory.</p> <p>The project has promoted relevant participatory processes for territorial management through the formulation of the PDLC and PEI in the province of Oxapampa. The socialisation of these documents with the elected authorities should be encouraged, and if it is feasible to obtain their approval by the municipal councils before the change of management.</p>

		<p>Incorporate climate change and resilience approaches into actions that are planned to strengthen existing conservation areas, formulate or update management instruments, and ensure that the involvement of technical partners incorporates these approaches.</p>
<p>In Output 2.2, the Project has developed a strategy for the implementation of productive activities, which includes technical, administrative and financial-accounting support by the project.</p>	<p>Outputs 2.2 and 2.3 are angular within the design of the project and show a considerable delay in their implementation. At the moment, both sustainable production systems and forest management systems have an implementation strategy, grassroots organisations have been identified and in one case the technical partner who will be responsible for the execution in the territory, is hired. Finally, Output 2.4 closely related to the implementation of Outputs 2.2 and 2.3 also shows discrete progress in its implementation.</p>	<p>Promote the participation of the ECAs and indigenous organisations in spaces of environmental governance, in an articulated manner to the strategy of capacity building.</p>
<p>Output 2.3 shows that potential beneficiary organizations are being identified, and productive chains that could be strengthened (shiringa, crafts and copaiba oil).</p>		<p>It is recommended to take advantage of the fact that there is a Conceptual Model of Climate-Smart Practices for Coffee and Cocoa. The fact of having a strategic principle that makes it possible to differentiate the activities carried out within the framework of the project, become key points when evidencing the topics of climate change and resilience.</p> <p>It is recommended to make more flexible, the selection of productive activities so that not only coffee and cacao are prioritised in the identified zones. There is a large number of products that have been identified by the NPA heads and that would be more compatible with the concept of resilience.</p>

		<p>To have strategic principles and guidelines that make it possible to differentiate the activities carried out within the framework of the project, from those that are traditional support to the producer, evidencing issues of climate change and resilience. Specifically, it is recommended that the technical partners for the implementation of strategies 2.2 and 2.3 support the internalisation of these approaches, with indigenous and grassroots organisations that are articulated.</p>
		<p>It is recommended that future partners for strategies 2.2. and 2.3 consider in their work methodology the criteria on climate change considered by the Rainforest Alliance within the framework of the contract with the project, also incorporating the methodology for surveying the baseline.V</p>
		<p>The project strategy for the productive activities of Outcome 2 should include organisational strengthening with cultural relevance and gender focus.</p>
		<p>In relation to the goal, it is important to review a decrease in the number of hectares and the number of beneficiaries for resilient production systems, in order to improve the impact and sustainability of the intervention.</p>
<p>The budgetary execution at the beginning of the Project (2015) was USD 28.9 thousand, that is, 0.3% of the total resources executed to date. In the following years, the execution increased. This particular in the first year is normal for the standard process that all GEF projects follow, due to the time taken for the designation of the National Directorate and the preparation phase between UNDP and SERNANP. Tthat once the project began to</p>	<p>Up to June 2018, the project has executed USD 3,079 million, equivalent to 34% of the total resources available, most of the resources have been allocated to Outcome 1. Outcome 2 has executed 26% of its total budget and shows an advance of 10% in the implementation of their goals, while Outcome 1, with 43% of budget execution reaches 28% in the achievement of their goals.</p>	

<p>consolidate, budget execution also increased, that is how in 2017 USD 1.68 million was executed.</p>		
<p>Since 2016, the execution of the project has been carried out in accordance with the annual plan of the POA, in 2017 the execution was 99%. Up to the end of the first semester of 2018, 34% of resources have been executed, this shows that despite the fact that during the first year the execution was low, the project found its way to improve budget execution. The project has 2 years and 10 months to make effective the remaining budget and according to the multi-year planning, it is expected to fulfil this objective. Outcome 2 shows that it has a pending execution of 74% of the total Budget.</p>		
<p>In relation to the progress of the goals of the impact indicators of the project, it is evident that there are important advances in the achievement of each one of them. However, it is important to note that these advances do not necessarily respond to the management of the project, in some cases they could respond to interventions prior to the start of the project. Considering that the project has a life expectancy of more than 2 years, it could be inferred that it is aimed at supporting SERNANP in the achievement of the goals, if it is possible to advance with adequate planning.</p>	<p>In general, the impact indicators of the project show important advances, although it would be ideal to establish the extent to which the advances respond directly to the intervention of the project. Such is the case of the reducing indicator of the ecosystem damage probability due to anthropogenic threats, which has reached a score of 100%. The goal linked to the increase in connectivity is at 40% compliance, while the reduction of threats and the habitat loss rate maintain a 20% performance. Considering that the project has a lifetime of more than 2 years, it could be inferred that it is aimed at supporting SERNANP in the achievement of the goals if it is possible to move forward with adequate planning. However, it is also true that the fulfilment of many of these indicators depends on the good performance and management of SERNANP both in the central plant and in the territory, as well as, other external factors such as threats to the integrity of</p>	<p>It is necessary to standardise and validate the application of the METT sheet and other Tracking Tools of the project so that they keep methodological forcefulness. The project should improve the technical support for the application of the tool, aimed at reducing subjectivity and obtaining consistent information. Así mismo, su aplicación debería registrar cuál ha sido el aporte o la contribución específica del Proyecto al desempeño registrado en cada indicador. Likewise, its application should register what has been the contribution or the specific contribution of the Project to the performance registered in each indicator. It is important to evaluate the external factors that are beyond the scope of the project team and the impact on compliance with the impact indicators. It is recommended that the monitoring tools record what the specific</p>

	the NPA, which do not depend exclusively of the capacity of the project.	contribution of the project to the performance registered in each indicator has been, considering that there are other projects and initiatives whose synergistic and cumulative effects also support the achievement of the goals.
According to the measurement of the METT tool, on average it can be evidenced that it has decreased. The baseline to 2013 gave a score of 23, while for 2017 the score was 22.1, which translates into 3.4 points more than the target set (18.7 points).	The contribution of the project has been verified through the METT tool, applied to the nine NPAs, since 2013 (baseline) 8 of the 9 protected areas have shown better performance in relation to their management. In relation to the reduction of threats from the nine NPAs, the project has contributed to the fact that in 5 protected areas the indicator not only meets its goal but also falls even further than anticipated. Although there are some issues in which management has been maintained, it is evident that most of the aspects evaluated by the METT record show improvement in management, although clearly these results cannot be attributed exclusively to the management of the project.	It is necessary to standardise and validate the application of the METT sheet and other Tracking Tools of the project so that they keep methodological forcefulness. The project should improve the technical support for the application of the tool, aimed at reducing subjectivity and obtaining consistent information.
Several actors, including the same project team, confirm that in previous years there was no solid monitoring tool to measure the progress of Project execution in graphics or percentages, and it was not until the beginning of 2018 that they arrived. to specify a tool that allows to show qualitative and quantitative information of the progress of the Project.	The project manages all the monitoring and tracking tools of the GEF, its management has been adaptive and has shown an ascending performance, until reaching to the beginning of 2018 a tool that allows qualitative and quantitative information on the progress of the project. Despite this, it is still necessary to work on matters that are detailed in the recommendations, especially on the filling of the Tracking Tool and the registration of co-financing. However, the Technical Committee of the project has not been established, which is foreseen in the PRODOC.	
In the case of the Steering Committee, it played a more informative role than deciding and discussing the problems found in the Project. Which shows that it was not		The Steering Committee must strengthen its role, and become a space for decision and strategic accompaniment to the execution of the project. Likewise, the role of SERNANP in

<p>necessarily a space in which accounts can be rendered and commitments assumed, that is, there was no close and timely accompaniment to solve certain inconveniences that had been causing, especially in relation to the Competent 2.</p>		<p>promoting a greater level of involvement and participation of the different institutions that make it up is important, in order to include the project in their work agendas.</p>
<p>The SERNANP Master Plan is a great opportunity, possibly the most important bet in which the project must influence to ensure the sustainability of its related products to integrate aspects of CC and resilience in the management tools at the system and site level, as well as, products related to capacity building.</p>	<p>There is a weakness in relation to the participation of the head offices in the development of the different products of the contracted consultancies. Likewise, the information that is generated through these spaces are not shared, or it is in a superficial manner with key stakeholders such as the GORE, ECA, heads of NPA. The latter has a particular interest in learning about these important inputs and are key partners in the implementation and sustainability of the products developed.</p>	<p>It is fundamental to strengthen the common understanding of the conceptual approach of the project in relation to the resilience of the landscape so that it is shared and understood by all participating institutions equally. It is recommended to build it jointly between SERNANP, MINAM, ECAS and Management Committees, through an inclusive methodology of the actors in Lima and regions that favours the appropriation and sustainability of the project.</p>
<p>Outcome 2 has the Strategy for the implementation of the productive activities of the project, however, a high risk is identified regarding the sustainability of the interventions carried out, due to the pressure that the project faces to quickly execute the products that have a considerable delay.</p>	<p>The articulation with ongoing initiatives is a good strategy implemented by the project, which will contribute to the achievement of indicators and may influence the sustainability of the results. On the other hand, the selection of executing partners for Output 1.1, in all cases shows a clear commitment to permanence over time.</p>	<p>Improve the linkage of the project intervention with other opportunities that are being implemented, such as Phase 2 of EbA, the PPS and other interventions of the UNDP portfolio. This proposal is made under the consideration that the aforementioned projects are in an implementation phase and fit appropriately with the activities of Outcome 2.</p>

