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PERU FOREST SECTOR INITIATIVE Final Evaluation



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Cover photo: “*La danza de la yuca dulce*,” painting by Amazonian artist Darwin Rodriguez Torres, displayed in the office of the *Instituto del Bien Común*, Iquitos, Loreto. Photo by B. Byers.

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ABBREVIATIONS AND ACRONYMS

AFSI	Amazon Forest Sector Initiative
ARA	<i>Autoridad Regional Ambiental</i> (Regional Environmental Authority)
BPP	<i>Bosques de Producción Permanente</i> (Permanent Production Forests)
CDCS	Country Development Cooperation Strategy
CIAM	<i>Consejo Interregional Amazónico</i> (Interregional Council of the Amazon)
CITES	Convention on International Trade in Endangered Species
CONAFOR	Peruvian National Forest and Wildlife Commission
DGFFS	<i>Dirección General Forestal y de Fauna Silvestre</i> (Office of Forests and Wildlife) E3 Economic Growth, Education and Environment (USAID Bureau for)
FAO	Food and Agriculture Organization of the United Nations
FGA	Annex on Forest Sector Governance
GOP	government of Peru
IDER	<i>Infraestructura de Datos Espaciales Regional</i> (Regional Spatial Data Platform)
IR	intermediate result
M&E	monitoring and evaluation
NGO	non-governmental organization
OSINFOR	<i>Organismo de Supervisión de Recursos Forestales y de Fauna Silvestre</i> (Forest Resources Supervisory Agency)
PAPA	participating agency program agreement
PMP	performance monitoring plan
PPL	Policy, Planning and Learning (USAID Bureau for)
PTPA	United States-Peru Trade Promotion Agreement
SERFOR	<i>Servicio Nacional Forestal</i> (National Forest Service)
SNIFF-MC	<i>Sistema Nacional de Información Forestal y de Fauna Silvestre – Modulo de Control</i> (National Forest and Wildlife Information System – Control Module)
SOW	statement of work
UNAP	<i>Universidad Nacional de la Amazonía Peruana</i> (National University of the Peruvian Amazon)
USAID	U.S. Agency for International Development
USAID/Peru	USAID/Peru mission
USFS	United States Forest Service
USFS-IPUSFS	International Programs
PFSI	Peru Forest Sector Initiative
USTR	United States Trade Representative

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More than 50 people who have been involved with the Perú Forest Sector Initiative (PFSI) program since its inception in 2009 willingly and graciously made time to offer their knowledge, opinions, and insights about the successes and challenges of this important program, and I would like to express my deep appreciation to all of them.

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As the lead evaluation consultant, I received a great deal of information and heard many diverse opinions from the key informants I met; if in any way I have misunderstood them or misrepresented their views, the responsibility is mine.

EXECUTIVE SUMMARY

EVALUATION BACKGROUND AND OBJECTIVES

The Peru Forest Sector Initiative (PFSI), a program of technical cooperation of the U.S. Forest Service International Programs Office (USFS-IP), has been assisting the government of Peru to comply with obligations detailed in the Annex on Forest Sector Governance (FGA) of the United States-Peru Trade Promotion Agreement (PTPA) since 2009. PFSI has been funded through a Participating Agency Program Agreement (PAPA) with the U.S. Agency for International Development (USAID). This final evaluation of PFSI is being conducted to assess the effectiveness of the various types of assistance provided by PFSI, document its achievements and remaining challenges, and make recommendations that could inform the design of similar programs in the future.

METHODOLOGY

This evaluation was structured by an evaluation framework, methodology, and work plan; four main themes guided the information-gathering process that provided evidence about PFSI's achievements and effectiveness: 1) context and program design; 2) effectiveness in improving sustainable forest management; 3) monitoring and evaluation (M&E) systems; and 4) adaptive management.

Review of a large number of relevant documents was an important source of secondary, background information. The findings and results reported here are based primarily on analysis of the content of the key informant interviews. Specific questions were developed under each of the four evaluation themes, forming flexible guides or “scripts” that were used during interviews of key informants. Interviews with nine USFS staff associated with PFSI were conducted in June 2017; interviews with 41 key informants in Perú took place in July 2017, in Lima, and in the regional capitals of Iquitos (Loreto) and Pucallpa (Ucayali).

Information contained in the interviews made it possible to work backward from the outcomes and achievements of PFSI to identify their origins in specific activities and inputs. This innovative evaluation method allows results chains of actions and effects to be explained retrospectively, even if those processes were not documented by the program's M&E system at the time they were occurring. This ex-post-facto analysis is used to develop **retrospective causal narratives** that communicate the successes (or challenges) of the program being evaluated.

Evaluations, especially final evaluations, always create sensitivities among the implementers, funders, and partners of the programs being evaluated. To minimize those sensitivities this evaluation used a participatory, transparent, “friendly” approach, aimed primarily at learning what was effective and what was not as effective in achieving PFSI's results. The evaluation was transparent, objective, and independent.

EVALUATION FINDINGS

The historical, political, and institutional context in which PFSI was developed, and to which it responded, shaped the program's design and set the trajectory for its achievements. The US-Peru Trade Promotion Agreement, which entered into force in 2009, included an Annex on Forest Sector Governance (FGA) that contained a long list of specific actions with which Perú had agreed to comply within 18 months. The U.S. Trade Representative (USTR) was responsible for enforcing the terms of the PTPA, but USAID became responsible for funding activities under the environmental cooperation agreement and the FGA. The USFS had been working in Peru for several years and approached USAID

with a proposal to provide support to the government of Perú. In this context of need for rapid response and action, PFSI was designed and initiated.

The FGA placed a strong emphasis on the control of illegal logging, but it was clear at the time to anyone with any knowledge of Peru's forest sector that the 18-month time frame given in the FGA was completely unrealistic. USFS-IP recognized this, but nevertheless developed a proposal for what could be done to begin to work toward some of the highest-priority provisions of the annex.

Almost all of the USFS key informants involved in the design and early implementation of PFSI said that the original design of the program was sound. After assessing priorities among the list of actions in the FGA, and with the agreement of USAID, USTR, and the U.S. Department of State, PFSI initially proposed to focus on supporting the development of a new Forest Law and Regulations, including facilitating consultations with indigenous communities required by international law; a national forest inventory and information system; and a prototype of a chain-of-custody, timber-tracking system for commercial timber concessions.

Results framework diagrams are a standard way of communicating the general causal logic of a project or program. A results framework diagram for the original PFSI proposal of 2009 apparently was never developed or published, but it is possible to retrospectively construct one from information given by key informants (see Figure 1). PFSI's first results framework diagram was developed for the Performance Monitoring Plan (PMP) for the 2011 bilateral PAPA with USAID/Perú (see Figure 2), and evolved to a second version given in the PFSI M&E plan of 2015 (see Figure 3), reflecting a restructuring of its responsibilities vis-à-vis the Peru Bosques Project. For this evaluation, an end-of-project results framework for PFSI was constructed based on information gathered in the evaluation process. It presents a retrospective picture of how the results chains of PFSI were actually structured to lead to the outcomes and results achieved (see Figure 4).

PFSI made significant contributions to the improvement of forest governance and management in Perú in several ways:

- *Development and consultation of the new Forest and Wildlife Law:* PFSI supported both development and public input to the new Forest and Wildlife Law, which was passed in 2011 and took effect in 2015. PFSI worked with government of Perú counterparts to use the development and consultation of the new Forest and Wildlife Law to push for changes in land and forest management that had been needed, but stalled, for decades. The 2011 Forest and Wildlife Law reflected a new, modern vision of forests and forest management, and initiated a major advance in its institutionalization. PFSI provided technical and financial support for consultations with indigenous communities to obtain "prior informed consent" (*consulta previa* in Spanish) for the Forest and Wildlife Law, as required by international law. This was the first time such a consultative process had been used in Peru.
- *National Forest Inventory:* Many key informants placed this at the top of the list of PFSI's achievements, along with support for the Forest Law. PFSI had identified a national forest inventory as a key need in its initial project design. This achievement was the result of an interaction of PFSI study tours and visits from USFS expert detailers – input-level activities that built institutional capacity and information systems that resulted in a national inventory. The inventory is now institutionalized, with its own office and director in SERFOR, and its work to finish the first five-year cycle of the inventory is ongoing.
- *Constructing the SNIFF-MC prototype:* Another major achievement attributed to PFSI by most of the key informants we interviewed was the concept and design – the prototype, in other words – for

the chain-of-custody, timber-tracking system, SNIFF-MC, as the *Sistema Nacional de Información Forestal y de Fauna Silvestre – Modulo de Control* is abbreviated. The SNIFF-MC prototype was handed over to the Perú Bosques Project for completion and implementation. This system is not completely operational yet, but a trial run was scheduled for August 2017.

- “*Protocolo de convergencia*”: Another significant achievement noted by many key informants is what they called the *protocolo de convergencia*, referring to the agreement among the Forest Resources Supervisory Agency (OSINFOR), the National Forest Service (SERFOR) and regional governments to harmonize or standardize methodologies for forest inventory and monitoring. Many key informants felt that this was a very important achievement, which involved and affected the National Forest Inventory and inventories in permanent production forests (BPPs) as well as the SNIFF-MC and regional spatial information platforms (IDERS).
- *Support to regional governments and formation of Regional Environmental Authorities (ARAs)*: PFSI played an important role in empowering and strengthening the institutional and technical capacity of regional governments in the Amazon in the forest sector. PFSI facilitated the establishment and institutionalization of the *Consejo Interregional Amazónico*, CIAM, which played an important role in reforms taking place in the forest sector. Support from PFSI to regional governments helped them to create Regional Environmental Authorities (ARAs), and to develop regional systems of geospatial information (IDERS) needed for land use and forest planning.

Other achievements of PFSI include work with indigenous communities in the Amazonas Region in the Condorcanqui Project; support to OSINFOR on the “*Mochila Forestal*,” a methodology and set of visual aids that can be carried in a backpack by forestry extension workers to explain the basic requirements of the Forest and Wildlife Law and Regulations to communities; and incorporating the theme of wildlife into the vision and system of forest management in Perú.

All of these major and minor achievements of PFSI resulted from the activities funded and implemented by the program (see Figs. 1 and 4), at least to some extent, although other factors and actions not initiated by PFSI may also have contributed in some cases. Study tours and visits by USFS experts, called “detailers,” were two of the main types of PFSI input-level activities. Many of the people we interviewed described both as keys in creating PFSI’s successes. One key informant with extensive PFSI involvement stated that “Study tours were where some later results were born.” PFSI tried to design study tours so that they would support the institutionalization of some aspect of forest management in Perú. USFS experts often travelled to Perú to follow up on and provide further support to processes that were initiated by study tours.

Analysis of key informant interviews made it possible to work backward from the outcomes and achievements of PFSI to identify their origins in specific activities and inputs, and create retrospective narratives of results chains initiated by the program. Three such retrospective causal narratives are presented in the report:

- *Seeding a Vision of Modern Multiple-Use Forest Management*: Interviews with a number of key informants who were deeply involved in the initial design and early implementation of PFSI activities make it possible to retrospectively reconstruct a picture of how a few key PFSI inputs led to one of the most significant outcomes of the project. It appears that the interplay between a detailer’s visit and a study tour played a role in creating a major shift in the vision for forest management in Perú.
- *National Forest Inventory*: The design and implementation of the National Forest Inventory provides another example of how PFSI inputs and activities nourished processes that achieved a high-level

outcome. In this case, a series of five study tours, and repeated visits by USFS experts, led from the inception of the inventory to its ongoing implementation.

- *Chain-of-Custody Timber-tracking System – SNIFF-MC:* A final example of how our key informant interviews were used to reconstruct results chains of cause and effect that were set in motion by PFSI activities is that of the development of the concept and design (i.e. prototype) for a chain-of-custody timber-tracking system for Perú. Three study tours to Washington, D.C., started the process, and lots of support by USFS detailers in Peru supported it.

REMAINING CHALLENGES

Forest management and governance in Perú is significantly stronger now than in 2009 when the PTPA and FGA took effect, in part due to important contributions by PFSI. Many challenges remain, of course, and the progress already made in institutional capacity and information systems is opening new frontiers and opportunities for progress in forest conservation and management. Major challenges and opportunities include:

- *Forest Zoning and Planning:* The challenge of applying, on the ground, through land and forest administration, the vision and model of sustainable forest management reflected in the Forest Law and Regulations is large and somewhat daunting. National and regional information systems now established will need to be applied and expanded.
- *Empowering Indigenous Communities:* The Bagua incident marked a turning point in forest management in Perú, as discussed in the report. PFSI and the Perú Bosques Project assisted the Peruvian government in consultations with indigenous communities as the Forest Law and Regulations were being developed. Despite this progress, the need for continuing participation by empowered indigenous communities throughout Perú in conserving and sustainably managing ecological resources, including forests, is critical.
- *Controlling Illegal Logging:* Although controlling illegal logging of high-value, CITES-listed species seemed to be a central commitment of the FGA, it is not clear how much progress has been made. Developments discussed in this report have begun to establish conditions for the eventual control of illegal logging, but much work remains.

CONCLUSIONS

PFSI made very significant contributions to some major aspects of the reform of the Peruvian forest sector, and can be very proud of its record in that regard. Among those are its support for the 2011 Forest Law and Regulations, the institutionalization of a National Forest Inventory, its assistance to regional environmental management, and development of a prototype for a chain-of-custody timber-tracking system to combat illegal logging.

Roles and responsibilities of PFSI began to evolve and expand rapidly starting in 2009, when the PTPA came into force and there was an urgent need to assist the Peruvian government with compliance with the FGA. As the Perú Bosques contract got underway in 2011, there was a lot of confusion about roles and responsibilities. Better articulation and communication of those roles and responsibilities might have created a smoother transition.

PFSI did not initially develop a results framework diagram to communicate the causal logic and hypothesized “results chains” of the program. However, the logical design and structure of the program

was relatively well developed and well planned from the beginning, and resulted in many of the achievements that were wanted. The program later developed various results framework diagrams, but those could have explained the logic and structure of PFSI more clearly. Information gathered in this final evaluation was used to construct a retrospective end-of-project results framework diagram (Figure 4) that shows how the results chains of PFSI were actually structured to lead to the outcomes and results achieved.

PFSI was perceived by most informants interviewed to have a unique approach, which was said to focus on “processes” rather than “products.” In fact, PFSI’s achievements resulted from actions and inputs that had the intended results, even if the exact path to, or timeline of, achieving those results was difficult to predict in advance. In hindsight, **retrospective causal narratives** can unravel the logic of the results chains (i.e., “processes”) that led from inputs to higher-level outcomes. In designing similar programs in the future, giving more time and effort to the development of **prospective causal narratives** that would clarify and communicate the design of the program to USAID and in-country partners would be very helpful.

RECOMMENDATIONS

- 1) USFS International Programs and USAID/Peru should continue to work to extend the achievements of PFSI, maintaining and strengthening the relationships with institutions and individuals in Perú that have been built by the program since 2009 and earlier.
- 2) In the future, USFS-IP should clearly communicate the program design and results-framework logic (i.e. theories of change, results chains, causal hypotheses). This should include strong **prospective causal narratives** that describe how the unique approach of USFS-IP that was responsible for the achievements of PFSI will lead to a series of important high-level results and outcomes that address some of the major challenges now facing the Peruvian forest sector. USFS-IP should emphasize the kinds of activities and inputs that were shown to be effective in achieving PFSI results. Those activities should be demand-driven, but not reactive – that is, there should be a clear results-chain logic, identified in advance, for any activity/input. An initial M&E plan should be developed that reflects the design of the program; U.S. State Department Standard Indicators should be used as appropriate and custom indicators developed if essential to document progress up the results chains proposed. USAID and USFS-IP should discuss appropriate indicators for USFS support for long-term processes in forest management where technical assistance to a host government may be catalytic, but unpredictable and sometimes slow.
- 3) Both USAID and USFS-IP should ensure, through adequate training and supervision, that staff who manage or coordinate PAPAs are clear about the different management approaches needed for contracts and these kinds of interagency agreements.

I. EVALUATION BACKGROUND AND OBJECTIVES

I.1. Background

The U.S. Forest Service (USFS) supported a program of technical cooperation, the Peru Forest Sector Initiative (PFSI), which from 2009 to 2017 has assisted the government of Peru to comply with obligations detailed in the Annex on Forest Sector Governance (FGA) of the U.S.-Peru Trade Promotion Agreement (PTPA). PFSI has been funded through a Participating Agency Program Agreement (PAPA). From 2009-2011 the PAPA was through USAID Washington's EGAT Bureau; from 2011-2017 this work was funded through the USAID/Peru Mission. This final evaluation of PFSI is being conducted to document its achievements and remaining challenges and to make recommendations that could inform the design of similar programs in the future. This evaluation is in no way an evaluation of the PTPA, the FGA, or any U.S. or Peruvian government departments or agencies that negotiated them.

The statement of work for this final evaluation was developed by USFS International Programs (USFS-IP). The final evaluation consultant (see Annex B) was contracted through Management and Engineering Technologies International, Inc.

I.2. Objectives

The Statement of Work (SOW) for this final evaluation of the Peru Forest Sector Initiative (PFSI) program stated its objective as: "To design and carry out an evaluation of the PFSI [program and] produce an evaluation report with findings for USAID and other public audiences on achievement of the objectives established in the inter-agency agreement, and a report with recommendations for USFS-IP and in-country implementing partners with findings on the effectiveness of the delivery of technical assistance and recommendations for improvement in future programs."

The USFS, through the PFSI program, provided technical assistance aimed at improving forest governance in Peru, in part to enable Perú to comply with the environmental cooperation agreement of the U.S.-Peru Trade Promotion Agreement of 2009, especially its Annex on Forest Sector Governance. Therefore, a top-level objective for this evaluation is to assess the effectiveness of the various types of assistance provided by PFSI (e.g., technical assistance and trainings provided by USFS experts ("detailers"), study tours to the United States by Peruvians working in the forest sector, facilitation of participatory processes, development of information systems) in improving conditions for the sustainable management and conservation of forests by the relevant Peruvian government agencies.

2. METHODOLOGY

2.1. Evaluation Framework

This evaluation was structured by an evaluation framework, methodology, and work plan that was first developed in December 2016, and revised based on discussions between USFS-PFSI managers and the evaluation consultant in May 2017 (Annex C). Four main evaluation themes guided the information-gathering process that provided evidence about PFSI's achievements and effectiveness:

- Theme 1: Context and Program Design
- Theme 2: Effectiveness in Improving Sustainable Forest Management
- Theme 3: Monitoring and Evaluation (M&E) Systems
- Theme 4: Adaptive Management of PFSI

Evaluation Theme 2 is the central theme of the evaluation, while Evaluation Theme 1 placed that core theme in its important historical, political, and institutional context. Themes 3 and 4 were mainly aimed at providing evidence about the effectiveness of internal monitoring and evaluation (M&E) systems and adaptive management to PFSI managers and staff.

The SOW for this final evaluation implied that it would cover only the 2011-2017 PAPA, and initial discussions with the current USFS staff managing PFSI also suggested that the first phase of the program, 2009-2011, would not be evaluated. However, after reviewing background documents and conducting interviews with USFS and PFSI staff who were involved in the initial design of the program, it became clear that the 2009-2011 phase was formative, and conditioned the later trajectory of PFSI. Because the initial design and implementation of PFSI under the 2009-2011 PAPA set the stage for the later successes and challenges of the program, this final evaluation will cover the entire life of the program from 2009-2017.

2.2. Methodology

Specific questions were developed under each of the four evaluation themes. Questions were selected and adapted for two main groups of key informants, forming flexible guides or “scripts” that were used during interviews. Questions tailored for current and former USFS staff associated with PFSI are given in Annex D, and those used for other key informants are given in Annex E. Key informant interviews using these semi-structured question guides were the main tool for gathering the views and opinions about the achievements and effectiveness of PFSI. The guides were used flexibly, not rigidly, during key informant interviews, which allowed more detailed lines of questioning to be pursued with key informants when appropriate. Although all questions were not asked of each key informant, the interviews provided a reasonable sample of responses to each key question across a range of key informants who had been involved with PFSI. This allowed a comparison of responses to be made, and helped to validate the conclusions derived from analysis of the interviews.

Interviews with USFS staff (N = 9) associated with PFSI (Annex F) were conducted in June 2017, before the evaluation consultant travelled to Perú. Interviews with key informants (N = 41) in Perú (Annex F) took place in July 2017, in Lima, and in the regional capitals of Iquitos (Loreto) and Pucallpa (Ucayali). PFSI's Monitoring and Evaluation Specialist, María Paz Montoya, joined the evaluation consultant in conducting the interviews in Perú. Almost all of those interviews were recorded for later review, with the permission of the interviewees.

The findings and results reported below are based primarily on analysis of the content of the key informant interviews. Review of a large number of relevant documents was an important source of secondary, background information. Information contained in the interviews made it possible work

backward from the outcomes and achievements of PFSI to identify their origins in specific activities and inputs. This innovative evaluation method allows results chains of actions and effects to be explained retrospectively, even if those processes were not documented by the program's M&E system at the time they were occurring. This ex-post-facto analysis is somewhat akin to investigative journalism, allowing the creation of **retrospective narratives** that communicate the successes (or challenges) of the program being evaluated.

2.3. Evaluation Approach

Evaluations, especially final evaluations, always create sensitivities among the implementers, funders, and partners of the programs being evaluated – in this case USFS-IP and PFSI staff and managers, USAID/Peru, and relevant GOP forest sector agencies. Although this is a final evaluation, its main purpose is learning what was achieved and what the remaining challenges are, not blaming any of the partners for any negative findings. The evaluation sought to understand how and why PFSI was successful in realizing its objectives and also why it was not successful in realizing all of them due to challenges both anticipated and unanticipated. Both the successes and unresolved challenges will inform the recommendations for future work of a similar nature. In its approach, this evaluation:

- Took a participatory, transparent, “friendly” approach that recognized the potential sensitivities common in any evaluation process
- Used a mix of information-gathering methods to “triangulate” findings
- Started with the expectation of finding both successes and remaining challenges, with the view that both positive and negative results can be expected, and negative findings are as important and useful as positive ones for informing the design and implementation of future programs
- Sought to be an independent, unbiased process, conducted with complete professional integrity

2.4. Limitations

Various factors always limit the degree to which any evaluation can determine and attribute the results, outcomes, and impacts of project inputs. The findings of this final evaluation of PFSI must be viewed in the context of:

- The complex history and nature of the program
- The evolution of project activities required during implementation to adapt to changing conditions and partners
- Normal and expected biases among program participants and stakeholders in opinions about program successes and failures

Despite these potential limitations, which are not uncommon in the evaluation of any complex program, the results of this final evaluation present clear evidence of the important achievements of the PFSI program.

2.5. Relationship with 2014 Mid-term Evaluation

A Mid-term evaluation of PFSI was conducted in late 2013 and early 2014 under a contract from USAID/Peru to Partners for Global Research and Development LLC (PGRD) (USAID, 2014). The SOW for this final evaluation did not explicitly reference the 2014 mid-term evaluation or suggest that it be used as an input to this evaluation. However, because the mid-term evaluation report stated that it “will serve as an important input for its [PFSI’s] final evaluation,” its methodology and conclusions were compared carefully with those of this final evaluation. The mid-term evaluation was based primarily on

interviews with 28 key informants from five Amazonian regions, six of whom had not previously heard of PFSI. It was based on a version of the PFSI results framework in use at that time, similar to that shown in Figure 2 in Section 3.2., and used a series of complicated, semi-quantitative interview guides with key informants. The mid-term evaluation concluded that some of PFSI's proposed Intermediate Results were being achieved, while others were lagging behind – a typical finding in most evaluations. Despite the statement made in the mid-term evaluation report that it would serve as an important input for this final evaluation, because of its methodology and small sample size it was not possible to meaningfully compare its findings and recommendations with those of this evaluation.

3. EVALUATION FINDINGS

3.1. Context and Program Design

The historical, political, and institutional context in which PFSI was developed, and to which it responded, shaped the program's design and set the trajectory for its achievements. Understanding and evaluating this context and its relationship to the design of PFSI is, therefore, ultimately important for this evaluation.

PTPA and its Annex on Forest Sector Governance must be viewed in its historical and political context; it came during a time of reform and decentralization in Perú. When the PTPA was being negotiated, Perú had an old forest law, designed for a different era; tropical forests were looked upon as places to clear and settle. It also came as Perú was in the process of devolving authority and responsibility for many government functions to the regions. Indigenous communities were starting to make land-rights demands for timber, water, and the development of a rural economy. National and international organizations wanted to reform the forest sector in Perú.

Negotiations for a US-Perú Trade Promotion Agreement began in 2004 and concluded in 2006; the agreement was ratified by legislative bodies of the two countries by 2007, and entered into force in February 2009. The PTPA included an Environmental Chapter from early in the negotiations and an Annex on Forest Sector Governance (the "Forest Governance Annex," or FGA), which was added later. Inclusion of the FGA is generally attributed to pressure from U.S.-based international environmental NGOs.

With the approval of the Peruvian Congress, President Alan Garcia issued an executive decree, "*Decreto Legislativo 1090*," which set off a conflict with indigenous communities, who had not been properly consulted in the process. Months of protests and civil disobedience eventually led to a violent confrontation at Bagua in the northern Peruvian Amazon in which 32 police and 10 indigenous people were killed. This violence led to the withdrawal of DL 1090, and set the stage for the development of a new Forest Law that would have the required consultation with, and "prior informed consent" (*consulta previa* in Spanish) of, indigenous communities.

PFSI was "dropped into this mess," as one key informant put it. In his view, however, it was a positive, needed moment of crisis and change in Perú; when the PTPA went into effect, forest sector reform began. PFSI was, he said, the "tip of the spear." The USTR was responsible for enforcing the terms of the PTPA, but USAID became responsible for funding activities under the environmental cooperation agreement and the FGA (USTR, 2009). The USFS had been working in Peru for several years, and approached USAID with a to provide support to the government of Perú. In this context of need for rapid response and action, PFSI was design and initiated.

The FGA (USTR, 2009) states that "In order to further strengthen the governance of its forest sector, Peru shall, within 18 months after the date of entry into force of this Agreement, take the following actions:" and proceeds to list 13 actions and 22 sub-actions, such as:

- "Strengthening the legal, policy, and institutional framework governing the forest estate and the international trade in forest products
- Fully implement existing laws and regulations for forest sector governance and strengthen institutions responsible for enforcing these laws and any aspect of forest management in Peru

- Develop systems to verify the legal origin and chain of custody of CITES-listed tree species and develop systems, including requirements for management oversight and record keeping, to reliably track specimens from harvest through transport, processing and export
- Conduct a comprehensive inventory including analysis of the populations of these [CITES-listed] tree species to determine their geographic distribution, density, size, age-class structure and regeneration dynamics, as well as threats to their survival”

In general, the list of actions in the FGA range widely from very specific provisions to much more general ones. Some of the more general ones, such as strengthening the institutional capacity of relevant agencies in Peru, may be necessary for the achievement of more specific actions, such as developing a timber-tracking chain-of-custody system. The list of actions strongly emphasizes the control of illegal logging, especially of high-value species such as Bigleaf Mahogany and Spanish Cedar, which are listed in Appendix II of the Convention on International Trade in Endangered Species (CITES).

It was clear at the time to anyone with knowledge of Peru’s forest sector that the 18-month time frame for controlling illegal logging given in the FGA was completely unrealistic. They knew that most of the actions listed in the FGA would require years, if not decades, of work – however, the 18-month time frame has never been enforced.

USFS International Programs had provided technical assistance to Perú since at least 2002 on topics such as forest fires and forest concessions. Even before the PTPA entered into force, technical teams from USFS-IP had been developing plans for supporting the Peruvian forest sector. Several USFS assessment and design teams went to Perú starting in 2005, as negotiations for the US-PTPA were getting underway. USFS staff developed a proposal to respond to the conditions spelled out in the FTA. They recognized that the timeframe for the actions spelled out in the FGA was unrealistic, but nevertheless developed a proposal for what could be done to begin to work toward some of the provisions of the annex. They emphasized several priorities: development of the new Forest and Wildlife Law; a national forest inventory and information system; and indigenous community consultation and support.

With USAID funding, a management team for PFSI was formed in the middle of 2009. USFS-IP had not set up a program like this before. They had worked with NGO partners and universities in other countries, but in Peru what was essentially a government-to-government relationship was required. The PFSI team was meant to be small; its role was to help bring the technical expertise of the USFS to support the priority needs of the Peruvian forest sector. PFSI’s first coordinator, a recently-retired career employee of the USFS, had the experience to coordinate between USTR, USAID, and the USFS; the Peruvian deputy coordinator had experience within the GOP and could coordinate between PFSI and the relevant GOP agencies. The composition of the PFSI team is seen by key USFS informants as one of the design “successes” that allowed PFSI to enter into this complicated and sometimes contentious political and institutional arena.

At the time, one key USFS informant said, PFSI was seen as an “interim, partial response” to an urgent need. Budget and staffing was not adequate for even the smaller tasks that USFS initially agreed to take on. It was understood that the large contract USAID/Peru would award would also support Peru in complying with the terms of the FGA. That contract award was delayed, however, and PFSI took on additional responsibilities and grew rapidly, creating some program design and management challenges.

3.2. Evolution of Results Frameworks and Indicators

Almost all the USFS key informants involved in the design and early implementation of PFSI said that the original design of the program was sound. After assessing priorities among the list of actions in the FGA,

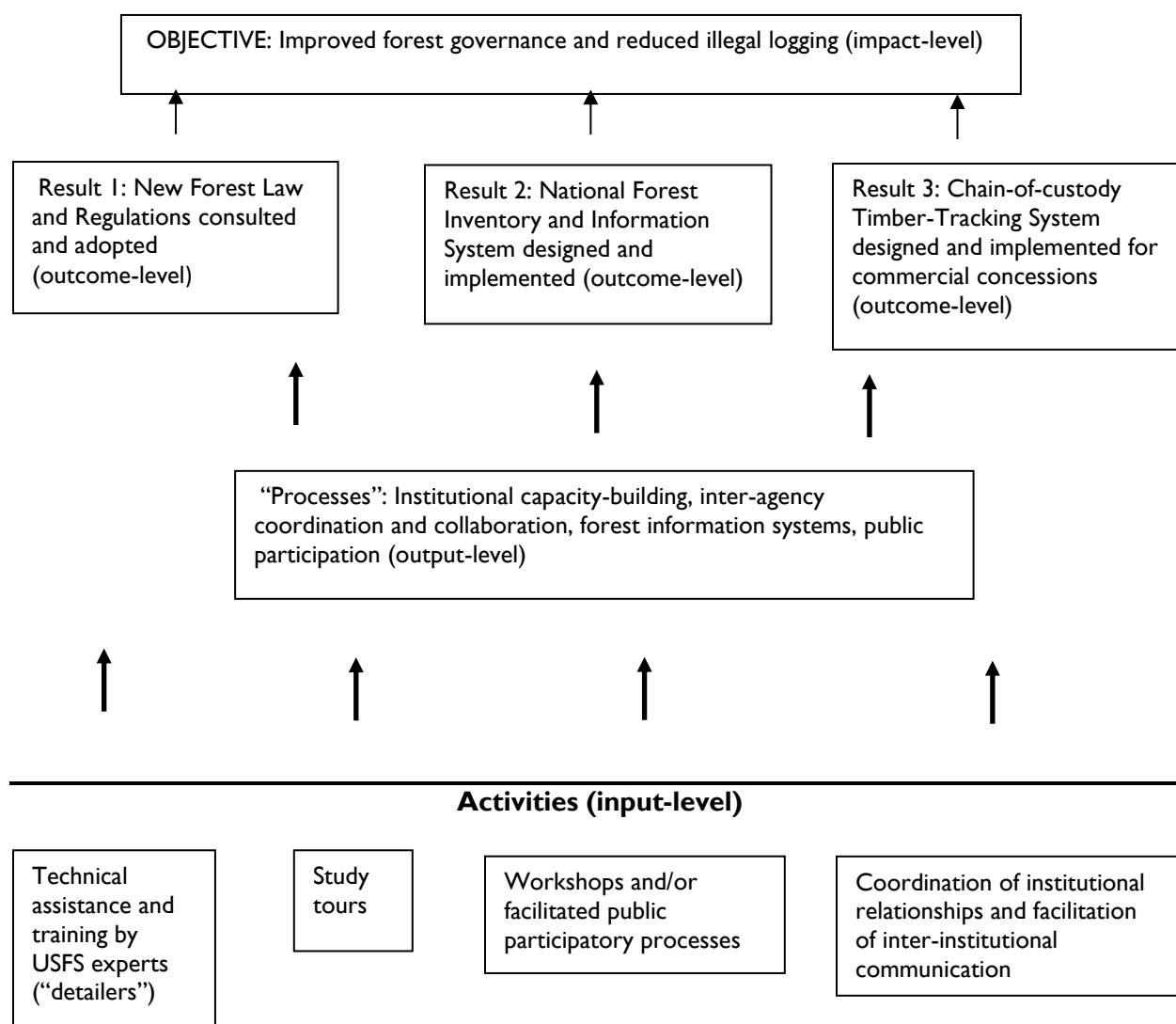
PFSI initially proposed to focus on supporting the development of a new Forest and Wildlife Law and Regulations, including facilitating consultations with indigenous communities required by international law; a national forest inventory and information system; and a prototype of a chain-of-custody, timber-tracking system for commercial timber concessions. Generally speaking, the hypothesis was that “systematic ways” to address illegal logging were needed, and that “If you want to stop illegal logging, you need a system for sustainable forest management, including government agency coordination and civil society participation,” in the words of one USFS key informant involved in PFSI’s design. A forest inventory was needed for control of CITES-listed species, and many people hypothesized that fostering legal logging in a systematic way would reduce illegal logging.

Key USFS informants who were involved in the initial design and formation of PFSI in 2008 and 2009 all reported that there was a clear vision at the time – shared by staff at USAID, the U.S. Embassy, and USFS – that PFSI would provide ideas, advice, and guidance for forest sector support to the government of Peru and to the eventual USAID contractor. Eventually, the original design, with PFSI as the leader and coordinator, was only partially implemented as envisioned. It may have been naïve on the part of USAID and USFS to think that a large for-profit contractor such as Chemonics International, which eventually won the contract for the project (called Perú Bosques) in 2011, would be willing to be directed, guided, or in any way controlled by USFS. This change in the original vision and design created a need for adaptive changes and management of PFSI, discussed in Section 3.5.

Results framework diagrams are a standard way of communicating the general causal logic of a project or program. The four PFSI results frameworks presented below give an impression of the evolution of the program’s causal logic between 2009 and 2017.

A results framework diagram for the original proposal of 2009 apparently was never developed or published. Figure 1 is a retrospective reconstruction of what such a diagram might have looked like; it is based on descriptions of the initial project design by USFS key informants involved in the process. In this original design, the proposed outcome-level results are quite straightforward, although the processes needed to achieve them are not detailed and may have been quite complicated. The activities or inputs shown in this Results Framework are also relatively clear, simple, and understandable.

Figure 1. Implicit Results Framework of Original PFSI Design (circa 2009)



(Source: Key informant interviews with USFS staff involved in the initial design of PFSI)

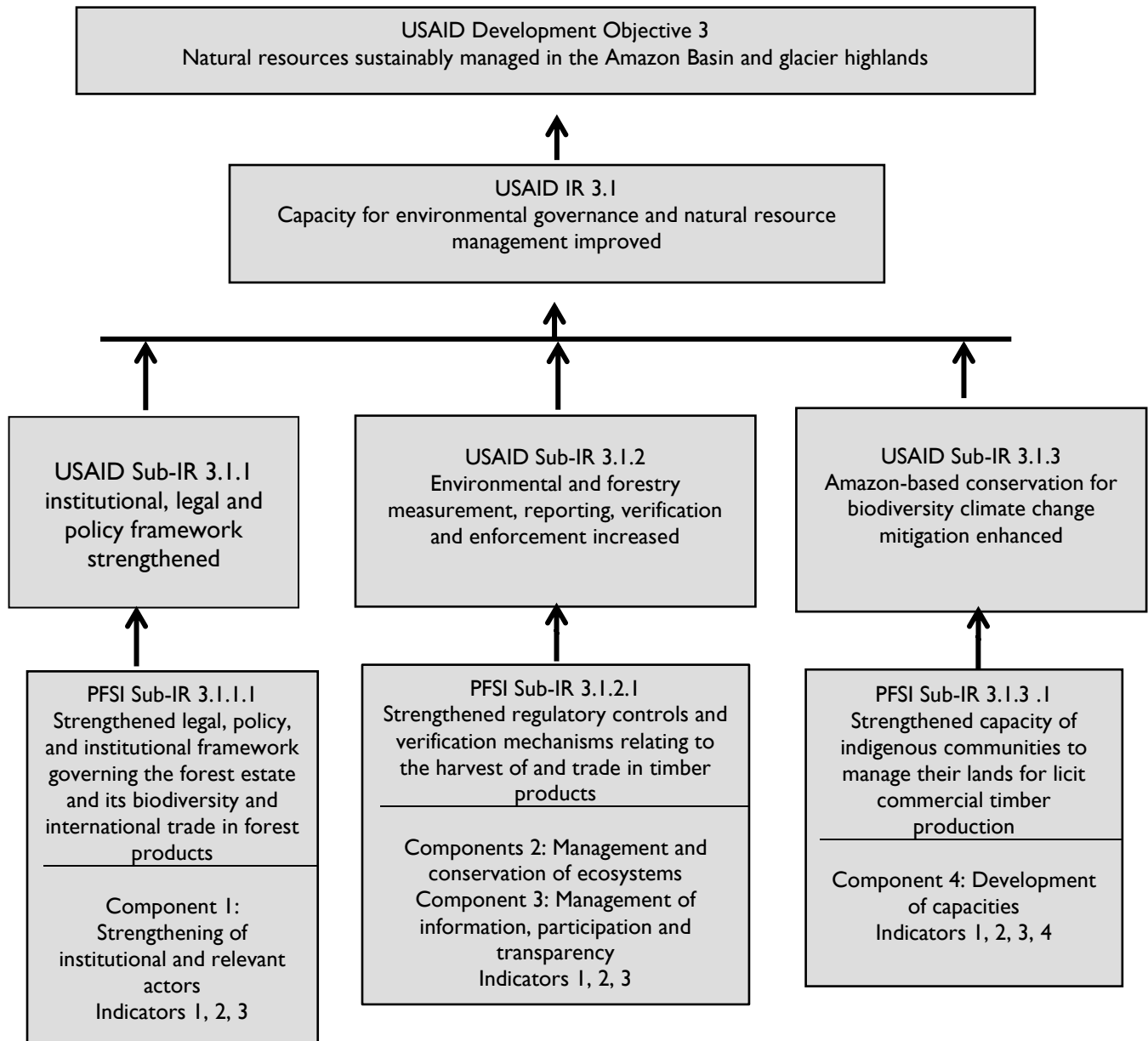
The results framework diagram in Figure 2 was constructed for the 2011 PAPA with USAID/Perú; it is given in the 2012 PFSI Performance Monitoring Plan (PMP). This results framework was deliberately linked with the Peru Country Development Cooperation Strategy (CDCS) 2012-2016 (USAID/Peru, 2012) through one of the Development Objectives (DOs) and Intermediate Results (IRs) and three associated sub-Intermediate Results (sub-IRs). In the diagram, four PFSI “components” are linked with the three CDCS sub-IRs. This results framework is much more complicated than that of Figure 1. The language describing the IRs, sub-IRs, and “components” is generally quite vague and non-specific, which makes it difficult to understand or assess the causal logic reflected in the diagram. The PFSI sub-IRs or components correspond roughly to the “processes” of the original design. Input-level activities are not shown.

Associated with this results framework, the PMP for the 2011 PAPA specifies that PFSI will track the following standard indicators (USFS, 2012, p. 10):

- **Indicator 1 (standard):** Number of people receiving USG supported training in natural resources management and/or biodiversity conservation; number of policies
- **Indicator 2 (standard):** Laws agreements or regulations promoting sustainable natural resource management and conservation that are implemented as assistance
- **Indicator 3 (standard):** Quantity of greenhouse gas emissions, measured in metric tons CO₂ equivalent, reduced or sequestered as a result of USG assistance in natural resource management, agriculture, and/or biodiversity sectors
- **Indicator 4 (custom):** Effectiveness of the processes implemented by key Peruvian institutions involved in forestry and conservation of biological diversity.

This set of indicators does not appear to be adequate for a program as complicated and multi-faceted as PFSI. Indicator 1 appears to combine language from two U.S. State Department Standard Indicators (U.S. State Department, 2017): “number of people trained,” EG.10.2-4, a low-level output indicator; and “number of laws, policies, or regulations,” EG.10.2-5, a higher-level outcome indicator. This must certainly be an error. Indicator 2 seems to be a truncated version of the latter indicator, EG.10.2-5, part of which was combined with Indicator 1 in the document. Indicator 3 is a top-level impact indicator for USAID “Sustainable Landscapes” funding, Standard Indicator EG.13-6; this indicator has proven to be very difficult, if not impossible, to measure. Indicator 4 is listed as a “custom” indicator, apparently developed specifically for PFSI. Although the “effectiveness of processes implemented” in some ways sounds good, defining and measuring it would be extremely difficult. It is worth noting also that what is probably the most common and important impact-level Standard Indicator for forest and biodiversity conservation, Standard Indicator EG.10.2-2, “Number of hectares of biologically significant areas under improved natural resource management as a result of USG assistance,” is not included in this PMP. That indicator is generally required for USAID biodiversity funding, so the fact that it is not included is somewhat surprising.

Figure 2. Results Framework for 2011 PAPA



(Source: PFSI Performance Monitoring Plan, USFS, 2012, p. 9)

The results framework diagram in Figure 3 was given in the PFSI monitoring and evaluation plan FY 2015 – FY 2016 (USFS-PFSI, 2015), which was developed after the 2014 Mid-term Evaluation. This version was simpler and more understandable than the diagram given in the 2012 PMP (Figure 2), although it is still not easy to understand the underlying causal logic and there appears to be some logical confusion represented in the diagram. What PFSI called “components” in the 2012 PMP diagram have been relabeled as intermediate results (IRs) 1-3 here. However, the IRs given in Figure 3 are not really the outcomes that are sought, they are the outputs, processes, or steps needed to achieve some higher-level outcomes, such as a national forest inventory, SNIFF-MC, and forest law and regulations, which in

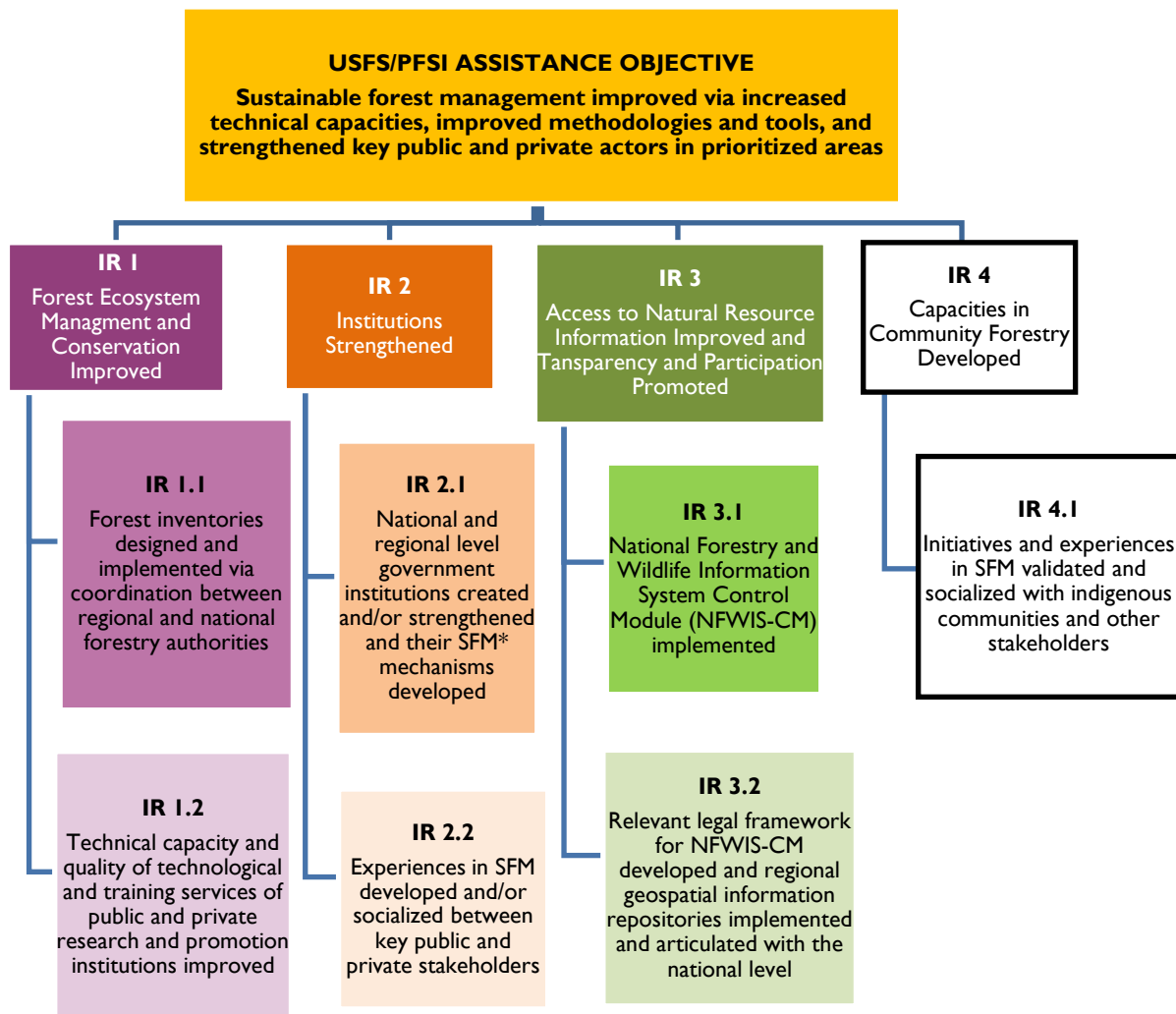
turn are needed for sustainable forest management in Perú. This results framework is no longer linked explicitly with the USAID/Perú CDCS results framework. It should be noted that IR 4, the indigenous communities support component, had by this time been shifted to the Chemonics Perú Bosques project contract. As in the 2012 PMP version, input-level activities are not shown.

The 2015 M&E plan proposed a new set of indicators to partially replace those of the 2012 PMP, in part to reflect changes in USAID reporting requirements for indicators. The first three are U.S. State Department Standard Indicators (U.S. State Department, 2017). Indicator identification numbers have changed since 2015, as noted below.

- Standard Indicator EG.10.2-2 (Old #4.8.1-26): Number of hectares of biological significance and/or natural resources under improved natural resource management as a result of USG assistance
- Standard Indicator EG.10.2-4 (Old #4.8.1-27): Number of people receiving USG supported training in natural resources management and/or biodiversity conservation
- Standard Indicator EG.10.2-5 (Old #4.8.2-28): Number of laws, policies, strategies, plans, or regulations addressing climate change (mitigation or adaptation) and/or biodiversity conservation officially proposed, or adopted as a result of USG assistance
- Custom 4: Number of people informed and sensitized on natural resource management, biodiversity conservation and climate change as a result of USG assistance
- Custom 5: Number of studies and scientific research related to environmental issues which contribute to better management of natural resources as a result of USG assistance

These indicators are a clear improvement over those in the 2012 PMP. The high-level impact indicator for USAID biodiversity funding, missing in the 2012 PMP, has now been included. The other two standard indicators have been quoted correctly. The greenhouse gas emissions indicator and the unworkable custom indicator on “effectiveness of processes implemented” also have been dropped. The two added custom indicators are relatively clear and straightforward. performance indicator reference sheets (PIRS) that provide more detail about each indicator are given in appendices in the document.

Figure 3. Results Framework for the Peru Forest Sector Initiative



(Source: PFSI Monitoring and Evaluation Plan FY 2015-FY 2016, USFS, 2015, p. 10)

The results framework in Figure 4 is a synthesis by the evaluation consultant of all information obtained from key informants. It presents a retrospective picture of how the results chains of PFSI were actually structured to lead to the outcomes and results achieved. This retrospective synthesis was discussed and validated with two PFSI staff members who have been with the program since its early days, Victor Miyakawa and Pavel Bermudez.

An interesting semantic issue was raised when discussing whether the objective, "Sustainable Forest Management Improved" was correct and sufficient. Those two key informants said that in Perú, "forest management" (*manejo forestal* in Spanish) connotes only ecological or silvicultural management, and is generally not understood to include forest governance. If true, this could certainly cause confusion, because in English "forest management" is widely understood to include forest governance and administration, not merely biological management. The fact that PFSI was initially a response to the PTPA Annex on Forest Sector Governance should make it clear that a central objective of PFSI is improved forest governance, not only biological management. In this diagram, the top-level impact objective of "Sustainable Forest Management Improved" means all aspects of forest administration, governance, and biological management.

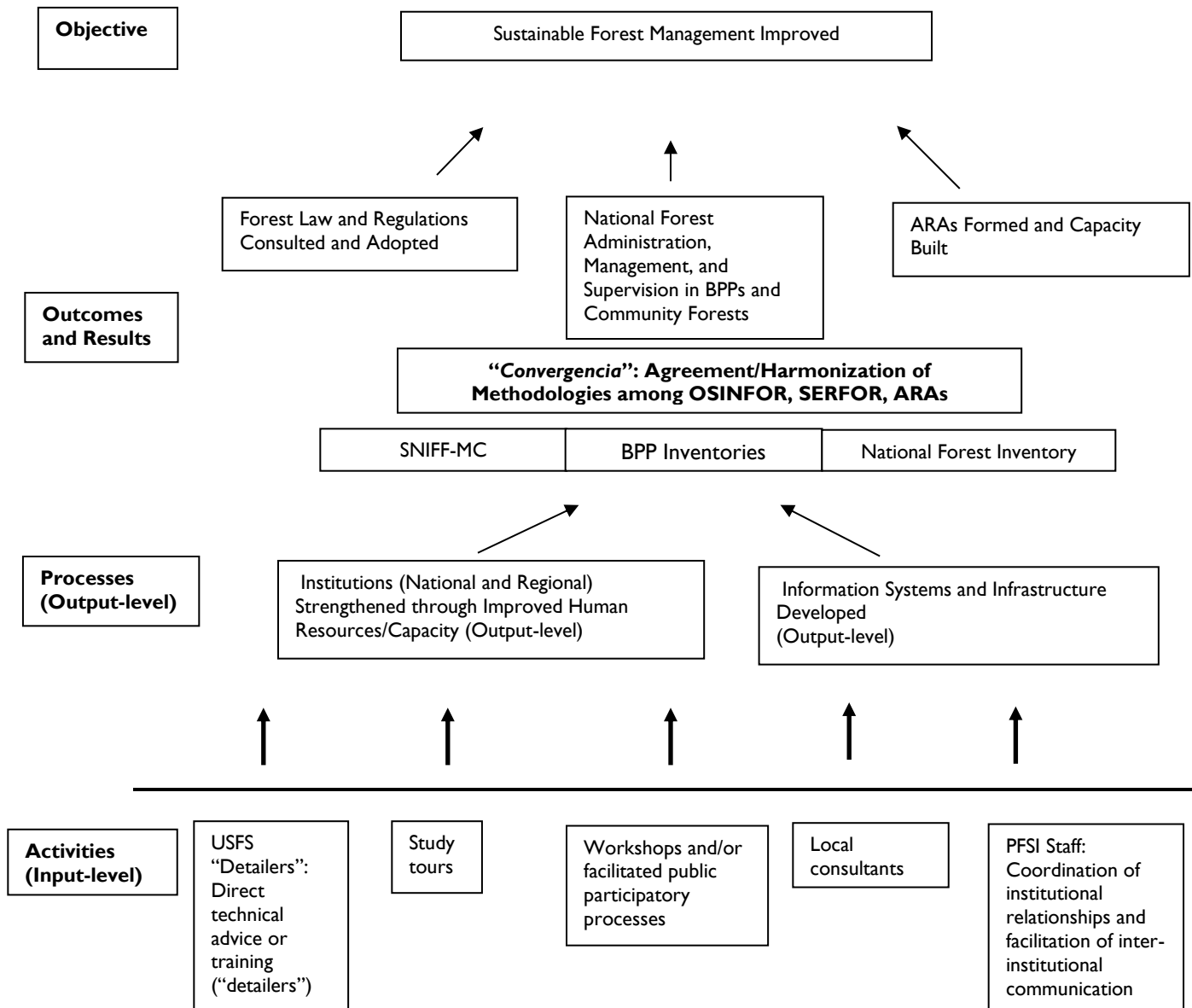
More than half of the key informants made statements about the distinctive mode of PFSI's engagement, saying things like "PFSI worked with processes, not products." A careful review of program documents reveals repeated attempts to justify and measure its support for "processes." For example, the 2012 PFSI Performance Monitoring Plan (USFS, 2012) states that "The PFSI does not produce products but assists the GOP to implement processes. The **quality of processes** it assists is as important to the PFSI as the product itself, because it thinks that high-quality process will result in **sustainability**. High-quality processes will so enroot laws, regulations and procedures in the operations of the institutions that PFSI assists that they will continue after PFSI itself ends."

The 2012 PMP listed a custom indicator titled "Effectiveness of the processes implemented by key Peruvian institutions involved in forestry and conservation of biological diversity," which was apparently developed by PFSI. The PMP described a complicated methodology for trying to quantify the "quality" of a given "process" by ranking its "stages" and "attributes." This custom indicator led to criticism of PFSI in the 2014 mid-term evaluation (USAID, 2014), which found that: "The USFS/PFSI Performance and Monitoring Plan states that the sustainability of its activities relies on high quality processes. The quality of these processes can be classified according to USFS/PFSI defined attributes. However, the program is not documenting the quality of processes using indicators of the defined attributes. USFS/PFSI should improve its reporting of its targeted attributes of high quality processes." This criticism should have been expected, given PFSI's decision to use such a vague and complex indicator to document and communicate the results of its activities. Perhaps in response to this criticism, or perhaps simply because the indicator proved to be unworkable, it was dropped in the 2015 monitoring and evaluation plan (USFS-PFSI, 2015), as was discussed above.

In fact, although PFSI did emphasize its support for ongoing and potentially long-term and uncertain "processes," those were not really mysterious. Such so-called "processes" were really just the outcomes of the activities and inputs involved in strengthening relevant forest-sector institutions, improving systems of forest information, and expanding public participation in forest decision-making. The incremental improvements or changes in institutions, information, and participation were caused, or nourished, by the activities that PFSI supported. According to key informants, the two most important of those activities were visits by USFS experts ("detailers") and study tours.

For PFSI, "processes" were certainly not ends in themselves, but rather means to the end of improving sustainable forest governance and management. Processes resulted in outputs that led to higher-level outcomes and results in the results chains of the program. Although it is debatable whether a new Forest and Wildlife Law, a national forest inventory, or an operating SNIFF-MC can be called a "product," it is clear that PFSI's inputs and activities, the processes they supported, and the outputs they created, led toward those results or outcomes. What were labeled as IR 2 and IR 3 in the PFSI 2015 results framework (Figure 3) have been relabeled as output-level processes in Figure 4.

Figure 4. Retrospective Actual Results Framework



(Source: Synthesis of key informant interviews and document review)

3.3. Achievements and Effectiveness

Major Achievements

Development and consultation of the new Forest and Wildlife Law: The process of developing a new Forest and Wildlife Law began in 2009 soon after *Directivo Legislativo 1090*, which had triggered the violence in Bagua in 2009 described in Section 3.1, was rescinded by the Peruvian Congress. PFSI assisted and accompanied the entire process. The new law, the *Ley Forestal y de Fauna Silvestre* (Ley N° 29763), was approved in 2011 and went into effect in 2015 when the regulations to implement it were passed. According to key informants from SPDA, “We would not have had the new Forest Law if we had not had technical and financial support from PFSI for the process of prior informed consent (*consulta previa*)”

with [indigenous] communities.” This was the first time a process of consultations with indigenous communities to obtain prior informed consent (*consulta previa*) had been used in Peru. This process of consultation was complicated and lengthy, and according to one key informant “there were no financial resources forthcoming from the GOP to do it.” PFSI facilitated hosted meetings and dialogues on the draft Forest and Wildlife Law in close coordination with the Peruvian government, and paid the travel costs to bring representatives of native communities to meetings. According to a key informant, “the value of this participation was worth far, far more than the cost of hosting the dialogues; in the end, the value was very high.”

The new Forest and Wildlife Law represents what one key informant called “One of the big advances is the “institutionalization of forest management”; trying to get the timber industry to accept “regulation” was very difficult, because “*informalidad*” [“informality” in English] is more convenient for them.” To facilitate the process of consultation of the draft law, PFSI assisted in forming a group of consultants to advise CIAM, the *Consejo Interregional Amazónico* (Interregional Council of the Amazon) and CIAM helped to bring the regions into a stronger political and negotiating position. This was “very important support” from PFSI, and it supported the larger process of regionalization and decentralization underway in Perú. An interesting part of this story involves a PFSI study tour conducted in October 2011 that included five regional governors from the Amazonian region. While visiting the home of the first chief of the USFS, Gifford Pinchot, the governors signed a document called the Grey Towers Declaration, stating their commitment to a new vision of integrated, multiple-use, ecosystem management in the Peruvian Amazon.

The new Forest and Wildlife Law represented more than just improved institutionalization of forest management, however; it also reflected a new vision of forests and forest management. According to one key informant, the USTR and the *Ministerio de Comercio Exterior y Turismo* (MINCETUR) viewed the FGA and the new Forest Law as important only to accomplish two things: 1) to prevent timber trade from being shut down by protests over illegal logging of CITES-listed species, and, 2) to keep indigenous communities from disrupting commercial timber production. However, PFSI used the development and consultation of the new Forest Law instead to push for changes in land and forest management in Peru that had been needed, but stalled, for 20 or 30 years. “By catalyzing a change toward a modern vision and system of forest management, USAID got far more from PFSI than it paid for,” in the view of this informant. A retrospective narrative given in Section 3.4 below explores the results chains that connect PFSI input-level activities with this high-level result.

The establishment of a new National Forest Service, the *Servicio Nacional Forestal y de Fauna Silvestre* (SERFOR), is one component of the institutionalization of forest management set in motion by the new Forest and Wildlife Law. SERFOR began to function officially in mid-2014, but one key informant described SERFOR’s establishment as “still in process.”

National Forest Inventory: Many key informants placed this at the top of the list of PFSI’s achievements, up with the Forest Law. PFSI had identified a national forest inventory as a key need in its initial project design, needed to comply with the FGA, as discussed in Section 3.1. This achievement was the result of an interaction of PFSI study tours and visits from USFS expert detailers – input-level activities that built institutional capacity and information systems that resulted in a national inventory. One of the retrospective narratives given in Section 3.4 below describes this case.

The director of the Office of the National Forest Inventory in SERFOR, who has been involved from the beginning of the process, told us that in 2010 there was no information available on forests to enable a national forest inventory. A USFS detailer who supported the inventory process noted that “We started with a blank slate, and built it from the ground up.” PFSI support for forest inventory was at first

oriented toward permanent production forests, and most of the BPP work was incorporated into the National Forest Inventory. The inventory is now institutionalized, with its own office and director in SERFOR, and its work to finish the first five-year cycle of the inventory is ongoing. At the same time, the Food and Agriculture Organization of the United Nations, FAO, was conducting its own forest inventory in Perú as part of the global forests resources assessments it now conducts approximately every five years. The FAO inventory had its own agenda and methods, which according to key informants were not exactly what was needed by the relevant Peruvian government institutions; said one, “the USFS did not really like the FAO methodology.” However, he said, PFSI facilitated the relationship between FAO, GOP agencies, and USFS well, and created good collaboration and developed some useful some tools.

Constructing the SNIFF-MC prototype: Another major achievement attributed to PFSI by most of the key informants we interviewed was the concept and design – the prototype, in other words – for the chain-of-custody, timber-tracking system, SNIFF-MC, as the *Sistema Nacional de Información Forestal y de Fauna Silvestre – Modulo de Control* is abbreviated. The SNIFF-MC prototype was handed over to the Perú Bosques Project for completion and implementation. This system is not completely operational yet, but there will be a trial run (*marcha blanca* in Spanish) in August 2017. One key USFS informant said: “I think we did a great job on the SNIFF-MC; the prototype looks very much like what SERFOR wanted.” A key informant heavily involved in early SNIFF-MC work said: “PFSI worked really well in negotiating with the regions to figure out what they wanted, needed, and wouldn’t be threatened by, and gradually they came along and agreed on the design of the SNIFF-MC. The technical people working with the regional governors built up a “*red de confianza* [network of confidence, in English].” PFSI conducted this prototype design work with transparency and participation of the regions, according to many key informants. After the Perú Bosques contract began in the middle of 2011, the further development of the SNIFF-MC was passed over to that project. According to many key informants, that handoff altered the approach that PFSI had been using, and caused a lot of confusion and resentment among some of the Peruvian institutions that had been involved. This situation will be discussed in more detail in Section 3.6 below. This achievement, like those already listed, also resulted from a creative interplay between study tours and detailer inputs, as will be described in another of the retrospective narratives given in Section 3.4. below.

“Protocolo de convergencia”: Another significant achievement noted by many key informants is what they called the *protocolo de convergencia*, referring to the agreement among OSINFOR, SERFOR, and the regions to harmonize or standardize methodologies for forest inventory and monitoring. Many key informants felt that this was a very big and important achievement. It was an important part of many other PFSI achievements, including the national forest inventory and inventories in permanent production forests (BPPs), and was also needed for development of the SNIFF-MC prototype. Achieving this agreement was the result of a lot of PFSI inputs and outputs, which improved information, communication, and coordination among relevant agencies in the forest sector at the national and regional levels. One key informant said that: “During the time we were working on the SNIFF-MC design, personal connections were developed inter-institutionally, over time through a series of meetings. These were very important.” Another informant from Loreto said that the SNIFF process prepared them to work across institutions, regions, and with participation in the Loreto ARA to work on the regional IDER. A key informant from Ucayali said that “PFSI helped us to bridge the gap in views between the regional and national levels through exchanges and sharing of regional experiences, and accompanied us in the process; exchanges of experience helped us a lot.” Another said that this was important because it was a new thing in Peru to work on processes of public administration (*gestión pública*) in this way, together.

Support to regional governments and formation of Regional Environmental Authorities (ARAs): Developing ARAs was part of the decentralization process that was underway in Perú. One key informant explained that “Only ten years ago everything was run from Lima.” Another said that “PFSI helped to empower the regions.” An informant from San Martín told us that “PFSI supported the “institutionalization” of CIAM – which was a powerful bloc, politically and economically.” Another informant said that through CIAM, and especially with support from the governors of Loreto and San Martín, PFSI was able to help in creating the ARAs, and IDERs. A USFS detailee heavily involved in PFSI’s institutional capacity building activities said that “PFSI really facilitated the breakdown of national-regional barriers.” She said she had seen a “big change” during the six years she worked with PFSI: “PFSI changed the way people in the [Peruvian] government thought about working together.” One specific example of PFSI’s assistance to a region is its support to the regional government of Loreto (GOREL) for the development of a wildlife management policy for the Loreto Region.

Inventories in Permanent Production Forests (BPPs): The new Forest Law placed the responsibility for sustainably managing BPPs with the regional governments, and required inventories before concessions in BPPs could be approved. Conducting or supervising these inventories required technical capacity in the ARAs and IDERs. These inventories also depended on agreement about the methodology (the *protocolo de convergencia*) among the regions and relevant national forest agencies (OSINFOR and SERFOR), as has been discussed.

Development of Regional Spatial Data Platforms (IDERs): According to a key informant who was involved in the development of the IDER in the Ucayali Region, the biggest contribution of PFSI to the spatial information platform was its hosting of meetings, roundtables, and workshops that moved the process forward. Before PFSI came to assist them, relevant information about land uses, forests, and other natural resources was scattered in several GOREU offices with little communication and coordination. In 2013 PFSI helped create committees in the regional governments to work on this problem; this was a new process. PFSI supported interregional working groups (*mesas de trabajo interregionales* in Spanish) to establish a “roadmap” for reaching the objectives of the IDERs, set priorities and discuss progress. By 2014 they had developed a “model” of spatial information, and in 2015 they held technical meetings to create the platform for “publishing” the information. In the case of Ucayali, this was basically a map portal (<http://geo.regionucayali.gob.pe/visor/>). As mentioned above, an informant from Loreto said that the participatory, interregional, and inter-institutional approach used in the SNIFF-MC design process prepared them to work on the IDER.

Other Achievements

- Work with indigenous communities in the Amazonas Region (where the Bagua massacre took place) in a project titled “*Diseño y Ejecución de Negocios Forestales en Comunidades Nativas Awajún y Wampis*.” The project was conceived by CIAM and executed by the NGO FUNDECOR from 2010-2012 with PFSI support. It was often referred to by key informants as the Condorcanqui Project, because it took place in Condorcanqui Province, Amazonas. According to one PFSI key informant involved in the process, the project and analyses of it provided important “lessons learned” about how, and how not, to deal with indigenous communities in terms of forest management (Altet, et al., 2012; Vera, 2014). This experience informed PFSI’s assistance to other Amazonian regions in the development of a platform for community forest management (*manejo forestal comunitario*). Key informants from Ucayali said that PFSI’s assistance had allowed that region to be the first to develop an Office of Community Forest Management within the GOREU
- The “*Mochila Forestal*,” (or Forestry Backpack), is a methodology and set of visual props that can be carried in a backpack by forestry extension workers to explain the basic requirements of the Forest

Law and Regulations to communities <http://www.osinfor.gob.pe/galerias/la-mochila-forestal-del-osinfor/>. PFSI supported its development with OSINFOR. According to a key informant from Loreto, this tool has proved very useful for communication with indigenous communities.

- A website <https://www.legislacionforestal.org/> and series of videos <http://www.legislacionforestal.org/5-x-5/> on the Forest Law and Regulations, developed by SPDA, was supported by PFSI in 2013-14.
- According to many key informants, PFSI activities were instrumental in incorporating the theme of wildlife into the vision and system of forest management in Perú. Although wildlife, and illegal trade in wildlife, was considered in the FGA, traditional Peruvian foresters thought only in terms of wood, not wildlife. Wildlife issues have been important in U.S. forest management for nearly a century, and PFSI detailers began asking questions about wildlife to their Peruvian counterparts early in the program. Detailer and study tours treated wildlife issues, and as mentioned above, PFSI assisted the Loreto GORE in developing a regional wildlife policy. PFSI also supported the development of simplified procedures to gather information about wildlife as part of a forest inventory.
- Because of its approach of working with multiple partners and stakeholders, PFSI insisted on involving academic institutions in its work. Key informants from the *Universidad Nacional de la Amazonía Peruana* (UNAP) in Loreto were involved in the development and field testing of the forest inventory methodology, and they have now incorporated it into their academic training, so they are building future capacity to continue and expand it, thanks to PFSI. UNAP has permanent forest study plots near Iquitos that they use for national training on the forest inventory methodology. More than ever before, these key informants from academia said, they feel that they are contributing to national processes and agreements in the forest sector.
- San Martín has been recognized for creating one of the strongest ARAs in Perú, and serves as something of a model for other regions. One result is that territorial planning and administration (*ordenamiento territorial*) is relatively strong in San Martín. PFSI activities are in part responsible for this, and for an innovative development in San Martín's spatial planning. Several key informants from the region described how a visit by a USFS detailer, an expert in watershed management, and a study tour that included watershed management issues, led San Martín to adopt watershed-based environmental planning in the region. Because of ecohydrological relationships, forest management is critical in downstream water management, and San Martín could become a model for other regions in Perú, thanks in part to PFSI.

3.4. Input-level Activities, Results Chains, and Retrospective Narratives

All the major and minor achievements of PFSI described in Section 3.3 above resulted from input-level activities implemented by the program, at least to some extent, although other factors and actions not initiated by PFSI may also have contributed in some cases. Study tours and visits by USFS experts, called “detailers,” are two of the main types of PFSI input-level activities (see Figure 4). Many of the people we interviewed described both as important inputs that were critical in bringing about the successes and achievements of the program. Many key informants interviewed in Perú had participated in study tours, interacted with detailers, or both. In many cases there was an interplay between detailers and study tours; some USFS staff who made presentations and interacted with study tour participants were later invited to Perú as detailers, and then organized or participated in later study tours.

Study Tours

One key informant with extensive PFSI involvement stated that “Study tours were where some later results were born.” According to PFSI key informants, each study tour had a technical objective and an institutional objective. The technical objectives ranged widely, from topics such as how to analyze forest inventory data to how to structure multijurisdictional forest management agreements. One informant called the institutional objective a “secret” objective, and described it as to get Peruvians from different institutions to listen to each other, work together, and compare visions, objectives, and methodologies. “Study tours created a lot of camaraderie. They broke down a lot of barriers between national and regional level people,” who travelled and lived together for a couple of weeks in the U.S., away from the distractions of their jobs and offices.

Study tours resulted in identifying and/or creating leaders in the Peruvian forest sector. Study tours gave participants up-to-date knowledge, and when they returned to Perú, that knowledge created credibility with their peers and supervisors, and confidence in themselves. By sharing the agendas, handouts, certificates of participation, photos, and other materials from the study tours, participants communicated their new knowledge and often an expanded vision.

PFSI tried to design study tours so that they would support the institutionalization of some aspect of forest management in Perú. An attempt was made to identify an institutional “niche” in advance, and carefully select participants who could help advance the agenda of institutionalization. Sometimes that meant organizing study tours with decision-makers, with the hidden (i.e., not explicitly stated) objective of raising their awareness of the need to create a certain kind of institutional structure, under the assumption that the main challenge in forest management is often political or social, and not technical. Sometimes those study tours helped to broaden and expand the perspectives of forest decision-makers, and provide new visions for the forest sector in Perú. One of the retrospective narratives presented below gives an example. After an institutional niche was identified, later study tours sometimes shifted toward participants with more technical roles, such as in the case of the National Forest Inventory discussed below as a retrospective narrative case.

Detailers

Visits by USFS experts, called “detailers” by USFS because they are temporarily leaving their regular jobs to provide technical knowledge and advice through USFS International Programs, was another major input of PFSI. Sixty-eight different experts provided advice through PFSI. Some detailers made many trips, and some trips were at least three weeks long. One former PFSI coordinator said that “Consistency was important. Some people went down on a regular basis, and relationships were built. Some of the most sustainable stuff we do is to build ongoing professional relationships.” Many Peruvian key informants mentioned USFS detailers as an important feature of PFSI and generally expressed high regard for their work. As mentioned above, study tours sometimes led to invitations to USFS presenters to follow up with trips as detailers.

Three detailers who had been most consistently involved with PFSI and most often mentioned by Peruvian key informants, were interviewed by phone. Each had made multiple trips; two had been to Perú seven times working with PFSI, and one had made more than a dozen trips. One had provided ongoing support to the National Forest Inventory process, another to the development of the SNIFF-MC prototype, and the third to institutional development and capacity building. Two of these detailers mentioned that for them, being a detailer was a two-way learning and capacity-building experience. Being a detailer “was a great opportunity to do something different than what I normally do, and it had benefits to me,” one said.

Reconstructing Results Chains and Creating Retrospective Narratives

Analysis of key informant interviews made it possible work backward from the outcomes and achievements of PFSI to identify their origins in specific activities and inputs and create retrospective narratives of causal chains initiated by PFSI, as described in Section 2.2. A few examples are presented here.

Seeding a Vision of Modern Multiple-Use Forest Management: Interviews with a number of key informants who were deeply involved in the initial design and early implementation of PFSI activities make it possible to retrospectively reconstruct a picture of how a few key PFSI inputs led to one of the most significant outcomes of the project. It appears that the interplay between a detailer's visit and a study tour played a major role in creating a major shift in the vision for forest management in Perú. One key input, according to the informants interviewed, was a visit by a USFS forest planning expert, who gave a training at which participants were asked to develop a hypothetical forest management plan. In that context, he raised the question of wildlife management in forest planning, and most of the participants, trained in traditional timber-focused forestry, had never thought of wildlife as part of forest management before. "That opened up the whole idea – a new idea in Peru – of integrated, multiple-use forest management," said one of the people we interviewed. That detailer interaction seems to be one "seed" that led toward a more modern concept of forest management in Peru. According to one informant, that detailer also expressed what she said was PFSI's signature approach to assisting the Peruvian government to comply with the FGA. That detailer said: "I'm not coming to give you any answers, I'm coming to ask questions. I don't have recipes, I don't have packages of solutions. I'm only bringing you experience, knowledge and help with your own process of reflection."

Another input to the processes that led to this high-level result was a study tour with Amazonian regional governors, some of their technical staff, and participants from national-level agencies. It built on and expanded the process of questioning and reflection seeded by this detailer. The study tour included visits to USFS headquarters in Washington, D.C., a tour of forestry operations on the Warm Springs Reservation in Oregon, and a stop at Grey Towers, the home of Gifford Pinchot, the first chief of the U.S. Forest Service. At Warm Springs, the governors and other participants saw the very large and successful tribal forestry program; they had never seen that kind of a sophisticated forest management program in Peru. According to key informants, the study tour gave Amazonian governors a "new view of the world," and "showed them how to manage a forest for multiple uses." One called the USFS a "laboratory for multiple-use forest management." A participant in the study tour from one of the national forest agencies said that "The study tour with the governors was important because when we returned to Perú, we felt like we were speaking the same language as the governors." During their time at Grey Towers, now a U.S. National Historic Site managed by USFS (<https://www.fs.usda.gov/greytowers>), the participants crafted what PFSI called the Grey Towers Declaration. It articulates a vision of sustainable ecosystem management in the Peruvian Amazon. In the Declaration, the governors gave their commitment to economic development that was fully compatible with biodiversity conservation and respect for the rights of indigenous communities. The declaration reflects a new vision for environmentally sustainable development in Perú.

A different study tour probably played a role in achieving a new vision for forest management, according to a USFS key informant. During an early PFSI study tour, participants learned about how forest governance and management responsibilities are distributed and coordinated across multiple jurisdictions in the U.S. Participants visited situations where the USFS was working with state forestry agencies, national wildlife refuges, national parks and monuments, native tribal governments, and the private sector. This key informant speculated that discussions with the U.S. National Association of State Foresters (<http://stateforesters.org/about/who-we-are>) provided a model for the creation of CIAM,

under whose name the Amazonian governors signed the Grey Towers Declaration. This case provides a specific example of the statement from one key informant, quoted earlier, that “Study tours were where some later results were born.”

National Forest Inventory: The implementation of a National Forest Inventory provides another example of how PFSI inputs and activities nourished processes that achieved a high-level outcome. In this case, a series of five study tours led from the inception of the inventory to its implementation. The first study tour, on inventory planning, was critical in laying the foundation; it brought together participants from relevant national government agencies and regional governments and posed the question “Why do you want a national forest inventory – what is it for?” That study tour began the process of getting Peruvians from different institutions to work together and compare visions, objectives, and methodologies. Participants realized that there were different interests in the inventory; for example, the *Ministerio de Ambiente* (MINAM) was interested in measuring forest carbon stocks as a basis for REDD+ programs, DGFFS/SERFOR was interested in measuring timber volume, universities were interested in scientific information on forest ecology, and regional governments had diverse interests based on what types of forests they had. Study tours on inventory planning, implementation, data processing, and data analysis followed, advancing the technical issues and building capacity once the scope and purposes of the inventory had been clarified. USFS experts in forest inventory methods became involved with the process through the study tours, and some began making regular trips to Perú to support the inventory.

Chain-of-Custody Timber-tracking System – SNIFF-MC: A final example of how our key informant interviews were used to reconstruct results chains of cause and effect that were set in motion by PFSI activities is that of the development of the concept and design for a chain-of-custody timber-tracking system for Perú. Three study tours to Washington, D.C., started the process.

During these study tours, said one USFS informant who played a leading role, “We brought stuff to the table that they hadn’t even thought about. They couldn’t even answer our questions.” The third of these “study tours” was really a workshop or working session. One question that arose was “How do you make a tracking system in regions that don’t trust the central government? And in regions where there is no internet or cell phone connection, and the inspection is done by a kid on a bicycle with a flashlight and clipboard inspecting log trucks at night?” PFSI then realized that they needed some experts to come to Perú on detail and see the situation on the ground. U.S. vendors were trying sell a “pretty end product” to Perú, said a key USFS informant, but “creating the background for that to work – the infrastructure, access, and security – that is a deep process.” Eventually the interplay between study tours and detailer visits led toward the design of a prototype of the SNIFF timber-tracking system. This component was then handed off to the Perú Bosques Project, creating some confusion and a need for adaptive management by PFSI, as will be discussed in Section 3.6.

3.5. PFSI Approach and Way of Working

The achievements of PFSI were attributed by a majority of key informants to what they described as a unique approach and way of working, compared to other projects. Quotations from key informants given below capture this view.

- “PFSI entered into complicated processes, where many actors were afraid to enter. No one wanted to talk about a new law or policy at that moment.”
- “PFSI was a distinct type of international cooperation – they didn’t come with money, but with technical experts.”

- “For us, as an NGO, it was very important to have PFSI as an ally because they thought about processes. They had a long-term vision, which corresponded well with our vision.”
- “[PFSI’s] mode of assistance is much more effective than other types of assistance projects, a better way of building capacity. Other projects are interested in their own results, not as much in building capacity.”
- “PFSI played the role of articulator between the national government, regional governments, and other international actors.”
- “PFSI was focused on processes, and Peru Bosques was focused on products. These two approaches represent different philosophical approaches to development, and have very different time horizons.”
- “PFSI had a distinct culture; it “dynamized,” organized, and systematized processes, and involved the relevant stakeholders from government, academia, and civil society.”
- “When PFSI arrived, it stimulated a change in the way we saw things in academia.”
- “I never saw an organization that motivated so many people.”
- “It is very difficult to open spaces for work for long-term goals; PFSI helped the government with “processes,” not “products” – not “check lists,” which is how Perú Bosques worked. PFSI tried to open spaces for dialogue among multiple stakeholders.”
- “PFSI is one of the few USAID implementers that built fruitful relations at all levels.”
- “What the government of Perú needs most is technical advice and consultation – and that is the strength of PFSI. They have a line of intervention, but the flexibility to adapt as needed. This is not like other donors or projects that have their pre-determined plan, and this is why PFSI can accompany ongoing processes.”
- “The fundamental difference between PFSI and Peru Bosques was that PFSI worked with processes and agreements, and Peru Bosques produced products.”
- PFSI asked Peruvian forest managers hard questions, and brought USFS experience to help answer them.”
- “The beauty of PFSI was that it had its roots, or tendrils, at many levels of the natural resources management infrastructure [i.e., institutional system] in Perú.”

It should be noted that some of these quotations reflect certain key informant’s opinions about the Perú Bosques Project and contrast it with PFSI. This final evaluation of PFSI was not in any way intended to evaluate the Perú Bosques Project, which was received its own final evaluation in 2016 (USAID, 2016). That evaluation documented the achievements of Perú Bosques and noted ongoing challenges in strengthening sustainable forest management in Perú.

3.6. Adaptive Management of PFSI

The relationship between the USFS and USAID evolved and changed over the life of the program, which necessitated adaptive management on the part of both agencies. As described in Section 3.1, when the

PTPA entered into force in 2009, USFS-IP developed and expanded the PFSI program very rapidly. At that time, key informants we interviewed reported that there was a clear vision of the structure and role of PFSI, shared by USAID and USFS. But, as alluded to in Section 3.2, the awarding of the contract for the Perú Bosques Project led to gradual changes in relationships.

Informants from USAID and from USFS interviewed for this evaluation agreed that awarding the Perú Bosques contract took longer than expected, and that because of the urgent need to support certain priorities of the Peruvian government in complying with the FGA, PFSI had already initiated some tasks when Chemonics received the contract for Perú Bosques. USAID/Peru had to make what it thought of as administrative adjustments to try to achieve complementarity and synergy between PFSI and Perú Bosques, but that proved to be “not an easy task,” according to a USAID key informant. “Coordination was not the best through all of these changes,” he said.

According to all of the USFS staff involved in the original design of PFSI, it was envisioned that the program would have a high-level coordination role, but that model was gradually abandoned as USAID staff changed, and in any case, it was probably naïve to think that a large international consulting firm with a contract with USAID would allow a different federal agency to “coordinate” its project. A USFS informant deeply involved in PFSI said that “We didn’t understand that the overlap of roles and responsibilities would be so problematic. Chemonics was not interested in collaborating with USFS.” Another said that “Chemonics wasn’t on board with PFSI steering the work, and we entered into a really confused relationship.”

The SNIFF-MC issue was the biggest source of confusion and hard feelings. The Perú Bosques contract had a large chain-of-custody component, but PFSI had already been developing the prototype, with good participation and “buy in” from GOP agencies and GOREs, as described in Section 3.3. When this component was handed over to Peru Bosques, the project wanted to work only with SERFOR, and not play a coordinating role between the national and regional level, as PFSI had been doing.

Another issue where there seems to be some regret among key informants we interviewed was regarding the support for work with indigenous communities. As discussed in Section 3.3, PFSI had facilitated the prior informed consent consultations of the Forest and Wildlife Law in indigenous communities, and had developed strong institutional relationships. This component was shifted from PFSI to Perú Bosques sometime around 2013; it is part of the PFSI results framework developed for the 2011 PAPA (see Figure 2 above), but was removed by the time the PFSI M&E plan was created (see Figure 3 above). Perú Bosques was then involved in consultations of the Regulations of the Forest Law (USAID, 2016).

In a PAPA, the USFS is a “sister agency” in an agreement with a coequal federal agency. This unique relationship is not necessarily a familiar or very clear one to some USAID mission staff, who may not have had experience managing such an interagency agreement.

Throughout its history, PFSI adapted to changing relationships with USAID and with Peruvian government agencies. A key USAID informant praised the flexibility and adaptability of PFSI, saying essentially that the Perú Bosques contract was very inflexible and hard to modify, whereas the USFS PAPA was much more easily adapted to the needs of both USAID and the Peruvian government.

4. REMAINING CHALLENGES

Although some very significant achievements in improving sustainable forest management have been made since the PTPA and FGA entered into force in 2009, a number of challenges remain. Some major challenges for the Peruvian forest sector and some lesser challenges for USFS International Programs identified during this evaluation are briefly discussed here.

CHALLENGES FOR THE PERUVIAN FOREST SECTOR

Forest Zoning and Planning: The challenge of applying, on the ground, through land and forest administration, the vision and model of sustainable forest management reflected in the Forest Law and Regulations is large and somewhat daunting. This major challenge has several facets. Allocating areas for designated, sometimes incompatible, uses in a multiple use landscape through zonation involves the challenge of negotiating about values among diverse stakeholders. Which areas should be protected for biodiversity conservation? Which should be part of a forest concession? Which belong to indigenous groups? Which are best suited for agriculture? What about oil and gas development? Carbon sequestration? These are complex issues.

A fundamental aspect of the challenge is that although forest management institutions have been created and strengthened, many are still developing. SERFOR still needs the “political will” and technical capacity to make it effective, according to one key informant. He characterized the challenge as “building a 21st century forest agency with people who learned how to work in a 20th century model.” Many informants mentioned the challenge of retaining capacity that has been built when staff in Peruvian government agencies often change when a new administration and political party comes to power. Building a civil service that does not change with elections is needed to retain experienced professionals.

According to several key informants, the lack of up-to-date maps and spatial information presents a major challenge in land use and forest planning. The national base map of Perú is in “chaos,” according to one informant. The last official map of Loreto, from 1986, still shows the Amazon passing by Iquitos, when by now it has shifted course and passes several kilometers away. Cartography of indigenous territories and native communities presents a challenge. The *Instituto del Bien Común* has now completed a map of native and *campesino* communities for Loreto, updated from 1993. Military sensitivity regarding geospatial information in the Amazon region complicates the challenge.

Empowering Indigenous Communities: The Bagua incident marked a turning point in forest management in Perú, as discussed in Section 3.1. PFSI and the Perú Bosques Project assisted the Peruvian government in consultations with indigenous communities as the Forest Law and Regulations were being developed. Despite this progress, the need for participation by empowered indigenous communities throughout Perú in conserving and sustainably managing ecological resources, including forests, is critical.

Controlling Illegal Logging: Although controlling illegal logging of high-value, CITES-listed species seemed to be a central commitment of the FGA, it is not clear how much progress has been made. Some key informants think that illegal logging has decreased, and others don’t think so. Many think that achievements of the past eight years, such as the new Forest Law and Regulations, and implementation of the SNIFF-MC, will eventually reduce illegal logging. One key informant said that “No group in Perú really wanted to clamp down on illegal logging,” despite the approval of the FGA. Another said he thought that “A better-designed FGA could have worked better, with more realistic time frames, and more realistic incentives. The ‘nuclear option’ of shutting down U.S.-Perú trade over illegal logging just wasn’t very believable.” As far as could be determined during this evaluation, there are no serious

studies that have examined changes in illegal logging since the FGA went into effect in 2009. Illegal logging remains a challenge to be addressed.

CHALLENGES FOR USFS INTERNATIONAL PROGRAMS

- Several USFS key informants who were deeply involved in PFSI during the life of the program described the challenge of trying to explain and clarify the “sister agency” relationship between the USFS and USAID that is reflected in a PAPA agreement. This challenge seems to be one that could be resolved by better training of, and communication between, both USAID and USFS staff involved in PAPA relationships.
- Several USFS and PFSI staff informants described the challenge of “telling our story” – of developing simple, clear, convincing, and logical descriptions of causal hypotheses and expected results chains about how an institutional focus, and an emphasis on long-term “processes” and “soft relationships” are expected to lead to desired results, outcomes, and impacts. Careful attention to creating proactive causal narratives in future program designs seems likely to help resolve this challenge.
- According to some key informants, the biggest impetus for forest conservation in Perú, and the biggest source of funding from international donors, is now the Paris Climate Accord, the UNFCCC, and REDD+ carbon sequestration funding. Under a U.S. administration that has made it clear that “climate change” is a taboo subject, it seems it will be challenging for USAID and the USFS to provide Perú needed assistance. Creative strategies may be required, whatever those may be.

5. CONCLUSIONS AND RECOMMENDATIONS

5.1. Conclusions

- PFSI made very significant contributions to some major aspects of the reform of the Peruvian forest sector, and can be proud of its record in that regard. Among those are its support for the 2011 Forest Law and Regulations, institutionalization of a National Forest Inventory, assistance to regional environmental management, and development of a prototype for a chain-of-custody timber-tracking system to combat illegal logging.
- Roles and responsibilities of PFSI began to evolve and expand rapidly starting in 2009, when the PTPA came into force and there was an urgent need to assist the Peruvian government with compliance with the FGA. As the Perú Bosques contract got underway in 2011, there was a lot of confusion about roles and responsibilities, and better articulation and communication of those roles and responsibilities might have created a smoother transition.
- PFSI never developed a results framework that clearly communicated the causal logic and hypothesized “results chains” of the program. However, the logical design and structure of the program was relatively sound from the beginning and resulted in many of the achievements that were wanted. The two results framework diagrams developed during the life of the program tended to be overcomplicated and vague and sometimes included weak or unworkable indicators as part of their M&E system. An end-of-project results framework diagram constructed from information gathered in the evaluation presents a retrospective picture of how the results chains of PFSI were actually structured to lead to the outcomes and results achieved.
- PFSI was perceived by most informants interviewed to have a unique approach, which was said to focus on “processes” rather than “products.” In fact, PFSI’s achievements resulted from actions and inputs that had the intended results, even if the exact path to, or timeline of, achieving those results was difficult to predict. In hindsight, retrospective causal narratives can unravel the logic of the results chains (i.e., “processes”) that led from inputs to higher-level outcomes. In designing similar programs in the future, giving more time and effort to the development of **prospective causal narratives** that would clarify and communicate the design of the program to USAID and in-country partners is recommended.

5.2. Recommendations

1) USFS International Programs and USAID/Peru should continue to build on and extend the achievements of PFSI, maintaining and strengthening the relationships with institutions and individuals in Perú that have been built since 2009 and earlier.

2) In the future, USFS-IP should clearly communicate the program design and results-framework logic (i.e. theories of change, results chains, causal hypotheses), including strong **prospective causal narratives** that describe how the unique approach that was responsible for the achievements of PFSI will lead to a series of important high-level results and outcomes that address some of the major challenges now facing the Peruvian forest sector. USFS-IP should emphasize the kinds of activities and inputs that were shown to be effective in achieving PFSI results. Those activities should be demand-driven, but not reactive – that is, there should be a clear results-chain logic, identified in advance, for any activity/input. An initial M&E plan should be developed that reflects the design of the program; U.S. State Department Standard Indicators should be used as appropriate and custom indicators developed if essential to document progress up the results chains proposed. USAID and USFS-IP should discuss appropriate indicators for USFS support for long-term processes in forest management where technical assistance to a host government may be catalytic, but unpredictable and sometimes slow.

3) Both USAID and USFS-IP should ensure, through adequate training and supervision, that staff who manage or coordinate PAPAs are clear about the different management approaches needed for contracts and these kinds of interagency agreements.

ANNEX A. REFERENCES CITED AND OTHER BACKGROUND DOCUMENTS REVIEWED

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ANNEX B. STATEMENT OF WORK FOR PFSI FINAL EVALUATION

Agreement
No. 20161027-1

ATTACHMENT I – STATEMENT OF WORK 2204

Contract No.: AG-3187-C-13-0010
PO No.: AG-3187-D-16-0099 MOD 0041 CLIN 423
Title of Task: PFSI and AFSI Final Evaluation Consultant

The U.S. Forest Service, International Programs (hereinafter “USFS-IP”) requested Management and Engineering Technologies International, Inc. (hereinafter “METI”) secure the services of a PFSI and AFSI Final Evaluation Consultant (hereinafter “Consultant”) to carry out a final evaluation of the Peru Forest Sector Initiative (PFSI) program as well as the Amazon Forest Sector Initiative (AFSI) two (2) programs of USAID and the Forest Service.

Background: The U.S. Forest Service has developed a program of technical cooperation, the Peru Forest Sector Initiative (PFSI), to assist the government of Peru with compliance of the obligations detailed in the Forest Sector Governance Annex of the Peru Trade Promotion Agreement. Over the last five (5) years, through PFSI, the Forest Service has provided technical assistance to the Government of Peru (GoP) on such topics as forest sector governance, information systems and information management, indigenous communities, public participation, ecosystems management, forest inventories, illegal logging, and myriad other themes in the forest sector in Peru. The Amazon Forest Sector Initiative (AFSI) was created to work with multiple countries in the amazon region to address issues such as fire management, fire monitoring, deforestation, technical exchanges for South-South collaboration, and other issues at a multilateral level in the region. Both PFSI and AFSI are now coming to the end of the five (5) year agreement with USAID, and as an important final step, the USFS seeks the services of an evaluation consultant to carry out a final evaluation of these two (2) large projects.

Objective: To design and carry out an evaluation of the PFSI and AFSI programs. More weight and time will be given to the PFSI program. The objective is to produce an evaluation report with findings for USAID and other public audiences on achievement of the objectives established in the inter-agency agreement, and a report with recommendations for USFS-IP and in-country implementing partners with findings on the effectiveness of the delivery of technical assistance and recommendations for improvement in future programs.

Specific Tasks and Deliverables (continued): Specific tasks and deliverables for this program that the Consultant will perform and deliver may include, but are not limited to, the following:

- Review background documents.
- Draft Evaluation Framework, Methodology, and Work Plan and submit to USFS-IP for review.
- Revise Evaluation Framework, Methodology, and Work Plan based on USFS-IP comments.
- Develop evaluation information - gathering key informant interview guides, focal group discussion guides, and surveys/questionnaires as proposed in Methodology, in coordination with USFS PFSI staff.
- Travel to Peru for intensive information-gathering with key informants and partners.
- In-brief and out-brief with USFS-IP staff, USAID, and other partners as requested.
- Analyze evaluation information and draft Evaluation Reports to submit to USFS-IP for review.
- Evaluation reports will include USAID/External Report and USFS-IP/ABA internal report.

- Revise Evaluation Report based on USFS-IP comments.
- Submit final Evaluation Reports for approval.
- Present evaluation findings to USFS-IP in an oral (PowerPoint) presentation, as requested.

In order to complete these tasks, the Consultant should have the following background, experience, and skills:

- Ten (10) years of experience conducting evaluations;
- Demonstrated experience with evaluation design;
- Experience with quantitative and qualitative evaluation techniques;
- Demonstrated experience conducting evaluations for USAID projects, or USAID-funded projects;
- Experience working in the Latin America and Caribbean region;
- Ability to work independently;
- Ability to work in a multicultural and international setting to carry out work; and
- Basic knowledge of Spanish language.

Position Location and Anticipated Level of Effort: It is anticipated that this consultancy will require approximately fifty-five (55) days of effort to complete. Approved travel and other expenses will be paid to the Consultant.

ANNEX C. BIOGRAPHICAL SKETCH OF FINAL EVALUATION CONSULTANT

Dr. Bruce A. Byers

Bruce Byers is an ecologist and natural resources management specialist with more than 30 years of experience working in more than 40 countries in Africa, Asia, and Latin America. He has led many multi-disciplinary and international teams for major evaluations, assessments, and strategic planning exercises, on topics including biodiversity conservation, forestry, climate change adaptation and mitigation, ecosystem services, and environmental communication, outreach, and behavior change. In 2000 he served on an evaluation of the WWF Southern Africa Regional Program, and in 2007 and 2008 he led a comprehensive final evaluation of the USAID Global Conservation Program. Bruce led a final evaluation of USAID/Malawi biodiversity programs in 2013, conducted an evaluation of Forest Carbon Measurement Training Workshops for USFS International Programs in 2015, and led an evaluation of the USAID/Mozambique Coastal City Adaptation Project in 2016. Under contracts with UFSS International Programs, he led teams conducting biodiversity and tropical forestry assessments for USAID/Mozambique and USAID/Tanzania in 2012. His strong written and oral communication skills are reflected in numerous publications and presentations, which synthesize complex information and clearly communicate findings to diverse target audiences and stakeholders.

ANNEX D. EVALUATION FRAMEWORK, METHODOLOGY, AND WORK PLAN

USFS Peru Forest Sector Initiative (PFSI) Final Evaluation Evaluation Framework, Methodology, and Work Plan



Bigleaf mahogany (*Swietenia macrophylla*) B. Byers

25 May 2017 Revised Version
Bruce A. Byers, Ph.D. – Evaluation Consultant
Management and Engineering Technologies International, Inc. (METI)
Contract No. AG-3187-C-13-0010
P.O. No. AG-3187-D-16-0099 MOD 0041 CLIN 423

1. Background

The U.S. Forest Service (USFS) has developed a program of technical cooperation, the Peru Forest Sector Initiative (PFSI), to assist the Government of Peru with compliance of the obligations detailed in the Forest Sector Governance Annex of the Peru Trade Promotion Agreement. PFSI has been funded through a Participating Agency Programmatic Agreement (PAPA). From 2009-2011 the PAPA was through USAID Washington's EGAT Bureau, but since 2011 this work was funded bilaterally through USAID/Peru. Since 2011 PFSI has provided technical assistance to the Government of Peru (GOP) on such topics as forest sector governance, information systems and information management, indigenous communities, public participation, ecosystems management, forest inventories, illegal logging, and other themes. PFSI was extended until September 2017 and is now ending. This final evaluation of PFSI is being conducted to document its achievements and identify "lessons learned."

2. Objectives of the Evaluation

The Statement of Work for this Final Evaluation of the Peru Forest Sector Initiative (PFSI) program stated its objective as: "To design and carry out an evaluation of the PFSI [program and] produce an evaluation report with findings for USAID and other public audiences on achievement of the objectives established in the inter-agency agreement, and a report with recommendations for USFS-IP and in-country implementing partners with findings on the effectiveness of the delivery of technical assistance and recommendations for improvement in future programs."

This description of objectives implies that a two-track, two-report, evaluation, is envisioned. One track will gather evidence regarding the "achievement of objectives" of the USAID/Peru-USFS PAPA and produce a report for "USAID and other public audiences." A parallel track will evaluate the "effectiveness of the delivery of technical assistance" and produce a report "with recommendations for USFS-IP and in-country implementing partners... for improvement [of] future programs."

Although the SOW says only that the evaluation should produce "findings on the effectiveness of the delivery of technical assistance," the underlying objective is broader and deeper than the phrase "delivery of technical assistance" suggests. The USFS, through PFSI, was providing technical assistance not as an end in itself, but to improve forest governance in Peru in order to comply with the environmental cooperation agreement of the US-Peru Trade Promotion Agreement of 2009, especially its Annex on Forest Sector Governance. Therefore, a top-level objective for this evaluation is to assess the effectiveness of the various types of assistance provided by PFSI (e.g., trainings, studies and research, assessments by technical specialists, facilitation of participatory processes, information systems) in improving conditions for the sustainable management and conservation of forests by the relevant Peruvian Government agencies.

We will use an evaluation "framework" with four main "themes" to structure the information-gathering process that will provide evidence about PFSI's achievements and effectiveness:

- Theme 1: Context and Program Design
- Theme 2: Effectiveness in Improving Sustainable Forest Management
- Theme 3: Monitoring and Evaluation System
- Theme 4: Adaptive Management of PFSI

Evaluation Theme 2, Effectiveness in Improving Sustainable Forest Management, is really the central theme of the evaluation. Evaluation Theme 1 will place that core theme in historical and institutional

context. Themes 3 and 4 are mainly crafted to inform USFS/PFSI, and provide evidence about internal management systems related to M&E and adaptive management.

3. Evaluation Approach, Methodology, and Limitations

Approach

Evaluations, especially final evaluations, always create sensitivities among the implementers, funders, and partners of the programs being evaluated (in this case USFS-IP and *Agua Bosques y Aire* (ABA); USAID/Peru; and relevant GOP forest sector agencies). Although this is a final evaluation, its main purpose is learning what was more or less effective and successful, and not attribution or blame for any negative findings. The evaluation will seek to understand how and why PFSI was successful in realizing its objectives, and also why it was not successful in realizing all of them due to challenges, both anticipated and unanticipated, that were encountered. Successes and lessons learned will inform recommendations for future work of a similar nature by USFS-IP. This evaluation will:

- Use a participatory, transparent, “friendly” approach that recognizes potential sensitivities in any evaluation process;
- Use a mix of information-gathering methods to “triangulate” findings; and
- Have the expectation of finding both successes and unmet challenges – that is, take the position that both positive and negative results that can contribute to adaptive learning are expected, and negative findings are as important and useful as positive ones for informing the design and implementation of future programs; and
- Be an independent, unbiased process, conducted with complete professional integrity.

Methodology

Specific evaluation questions will be developed under each of the four main evaluation themes (see Section 4 below). A mix of qualitative and quantitative methods, appropriate to each question, will be used to gather the information needed to answer the question. Key informant interviews using semi-structured question guides will be the main tool from gathering the views and opinions of primary sources. Review of relevant documents will be the main source of secondary information. Information gathering from primary sources will be conducted in Lima, and in the regional capitals of Loreto, San Martin, and Ucayali. and in Washington, D.C., and by telephone within the U.S. The main findings or results generally will be of a qualitative nature, although for a few questions quantitative evaluation results can be expected.

Limitations

Various factors always limit the degree to which any evaluation can determine and attribute the results, outcomes, and impacts of project inputs. The findings of this Final Evaluation of PFSI are likely to be limited by:

- The complex history and nature of the program;
- Incomplete or inconclusive information from the PFSI M&E system;

- Change and evolution of project activities required during the course of implementation to adapt to changing conditions and partners;
- Normal and expected biases among program participants and stakeholders in opinions about program successes and failures; and
- Time and effort limitations that only allow information to be gathered from a sample or subset of participants and stakeholders.

Despite these potential limitations, which are not uncommon in the evaluation of any complex program, we expect that this evaluation will identify successful achievements within the suite of program objectives, and also “lessons learned” about challenges within the program that may inform the design and implementation of future programs with related objectives.

4. Evaluation Themes and Questions

Evaluation Theme 1: Context and Program Design

Goal: Understand the role of USFS in supporting the GOP’s compliance with the Annex on Forest Sector Governance of the US-Peru Trade Promotion Agreement) and USAID/Peru’s expectations for PFSI in providing that assistance to the GOP.

Questions

- 1) Was the PFSI design (e.g., its underlying strategy, development hypothesis, causal logic, results framework, assumptions) adequate for achieving the stated objectives? Was it over-ambitious, not ambitious enough, or just right? Was PFSI, as designed, up to the task of reaching the stated objectives?
- 2) What constraints and challenges did PFSI face because of the context and history of the program, and how might these have affected the program’s chances of success?
- 3) Several assumptions about conditions necessary to support PFSI were listed as “assumptions” in the 2015-2016 M&E Plan, namely: “1) The GOP maintains at pertinent levels the necessary budgets and the political commitment to implement forestry sector reform, 2) The flow of funds foreseen under the bilateral agreement are maintained over the LOP and 3) The USAID contractor that accompanies USFS/PFSI implements the foreseen activities.” These assumptions represent factors outside of PFSI’s manageable interest, which might affect the projects ability to achieve its projected results. Were the same, or similar, assumptions built into the PAPA with USAID/Peru starting in 2011? If not, why not?
- 4) Many other large international donors or organizations (e.g., GIZ, FAO) are involved in the forest sector in Peru. Was PFSI designed with a specific and appropriate role in relation to the broader set of international actors?
- 5) To what extent was the PFSI Results Framework (after the 2011 bilateral PAPA) aligned with the USAID/Peru CDCS at the time? Now? [the most recent USAID/Peru CDCS seems to be 2012-2016]

Evaluation Theme 2: Effectiveness in Improving Sustainable Forest Management

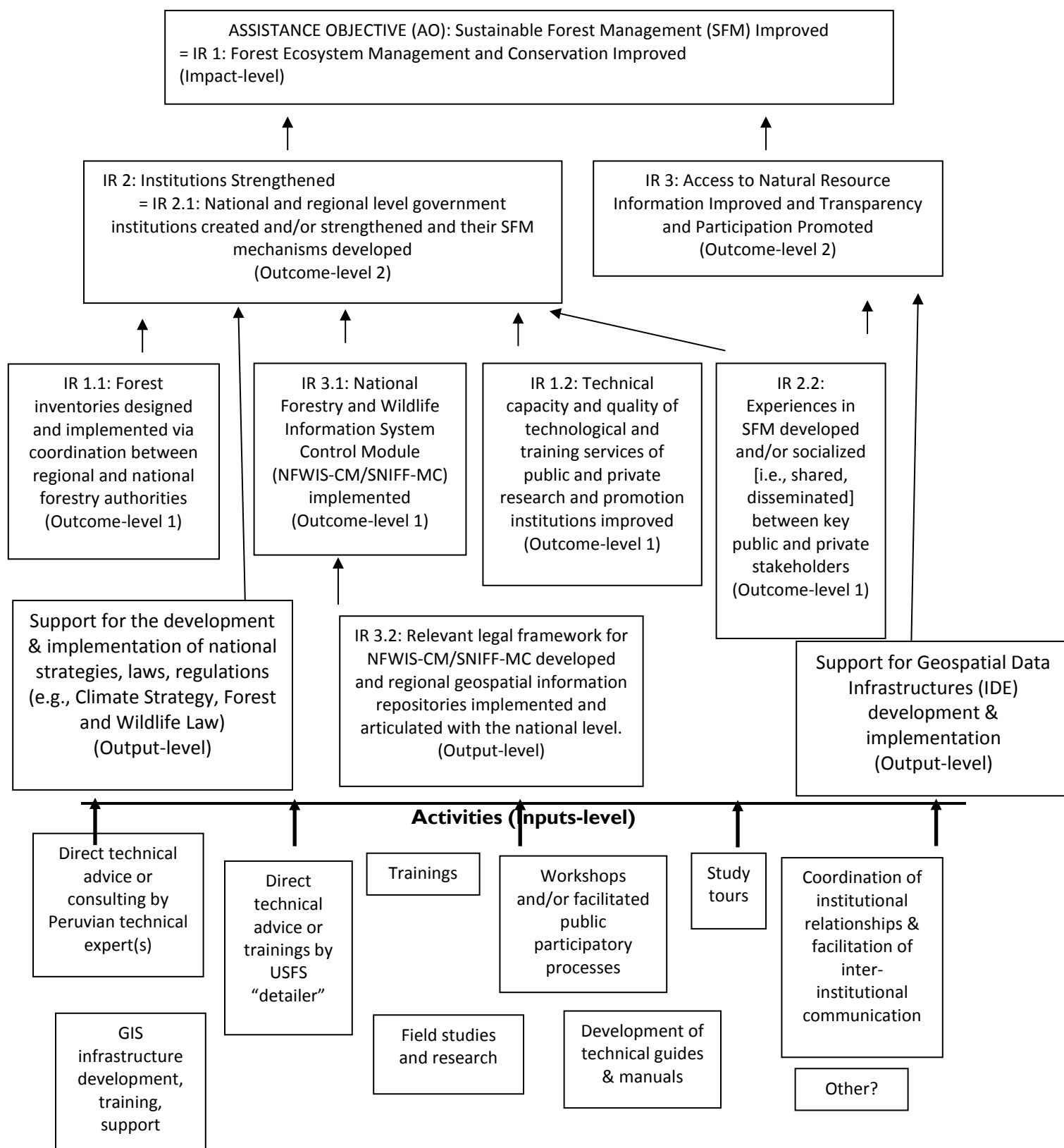
Goal: Understand how various PFSI activities/inputs (e.g., training, study tours, workshops, studies and technical briefs) may or may not have led to the higher-level outcomes and impacts (i.e., results and objectives) of the PFSI Results Framework.

To structure our information-gathering for this theme, we have re-imagined and revised the PFSI Results Framework in a way that seems to reflect the underlying causal logic of PFSI and its activities (Figure 1). The general structure of the revised Results Framework comes from the PFSI Monitoring and Evaluation Plan: FY 2015 – FY 2016 (USAID/Peru and USFS-IP, 2015, p. 9), the latest version of the Results Framework published by the project. Some outputs or lower-level outcomes have been added to reflect work reported in FY 2015 and FY 2016 Annual Reports. At the inputs and activities level, main categories of activities are taken from the report “Catalogación y Sistematización de Productos/Hitos/Servicios PFSI 2009-2014” produced in August 2015 by Aurora Araujo Casteñeda (Araujo, 2015).

Note that the Results Framework shown in Figure 1 does not include an Intermediate Result that was included until 2014, called IR 4: Capacities in Community Forestry Developed. This component of PFSI’s original scope was shifted by USAID/Peru to a separate implementing organization in 2014. PFSI’s annual reports up to FY 2014 report on achievements under this component. This IR will be considered in this evaluation, but with less emphasis than the current components of the PFSI.

The overarching question to be answered under this theme, and most important question for the evaluation as a whole, is: “How did the activities and inputs made by PFSI “roll up” through causal/results chains to produce outcomes (called IRs in the PFSI M&E Plan, and sometimes “components” or “Results” – i.e. R1, R2, R3 – in some other documents) of the PFSI Results Framework, and how did those outcomes lead to higher-level outcomes and impacts (objectives)?”

Figure 1. PFSI Results Framework Diagram



Questions

- 1) Which results or outcomes (“components”) of PFSI made the largest contributions to improving sustainable forest management in Peru?
- 2) Which results or outcomes of PFSI made the largest contributions to strengthening the Peruvian Government agencies responsible for forest management at the national and regional levels? PFSI provided many types of inputs and activities to try to strengthen these agencies – for example, training, direct technical advice by experts, coordination and facilitation of inter-institutional communications and processes, etc. (see list). Which kinds of activities/inputs were most effective in building the capacities of the relevant agencies? Which kinds of inputs and activities were least effective?
- 3) Which results or outcomes of PFSI made the largest contributions to improving information about forests, making it more accessible and transparent, and fostering participation in its creation and use? PFSI provided many types of inputs and activities to try to improve forest information and transparency – for example, training, direct technical advice by experts, coordination and facilitation of inter-institutional communications and processes, etc. (see list). Which kinds of activities/inputs were most effective in improving forest information, transparency, access, and participation? Which kinds of inputs and activities were least effective?
- 4) How effective was the training component of the project? Which kinds of training were most effective at causing the desired changes at higher levels of the Results Framework? What relative emphasis was given to the different kinds of training (for example, in budgetary or project staff LOE terms)? The Performance Indicator Reference Sheet in the PFSI M&E Plan specifies that to count as training, PFSI must “objectively verify the increase of knowledge, skills and attitudes” produced by the training. When were the measures of “improved, knowledge, skills, and attitudes” taken? Were any taken significant periods of time **after** the training took place (e.g., one, two, or three years)?
- 5) Technical experts from the USFS (“detailers”) provided technical advice, training, and other inputs to PFSI. How effective was this type of input and for which component(s) was it most effective?
- 6) Coordination of institutional relationships and facilitation of inter-institutional communication among GOP agencies with responsibilities in the forest sector has been an important activity/input of PFSI. How effective has this type of support from PFSI been, in general? Which PFSI result or achievement has it contributed to most? Least? How can this role be institutionalized and sustained in the future without PFSI support?
- 7) Did PFSI activities/interventions affect the strength of relationships among relevant GOP agencies in the forest sector and build continuity of systems and processes that will be sustained post-PFSI?
- 8) The Forest Governance Annex of the PTPA especially emphasized controlling illegal logging and trade in high-value, CITES-listed timber species (mahogany and cedar), and spelled out a detailed list of actions to be completed to control illegal logging within 18 months of the entry into force of the PTPA (2009). Were some or all of these actions completed? Which, if any, were supported and/or completed because of technical assistance from USFS/PFSI? By other USG agencies or projects (e.g., Peru Bosques)? Has illegal logging in the Peruvian Amazon decreased significantly because of improvements in forest governance that have occurred because of the FGA of the PTPA?
- 9) What “lessons learned” from PFSI will be important in designing future programs of a similar nature, in Peru, elsewhere in Latin America, or elsewhere in the world?

Evaluation Theme 3: Monitoring and Evaluation System

Goal: Understand the system of indicators and tracking designed to monitor progress toward the higher-level objectives of the PFSI, and assess its design and adequacy.

Questions

- 1) Did the M&E system change after its initial establishment for the 2011 PAPA? Did it evolve as activities shifted in response to conditions and needs (i.e., as part of adaptive management of the project)? Did the M&E system change following the 2014 Midterm Evaluation? Were M&E data used to identify areas or activities where adaptive management/changes were needed because targets were not being met or the “pace” was too slow?
- 2) Do PFSI M&E system data (the tracking of milestones and indicators) provide evidence for effective delivery of technical assistance at the output level? Of project effectiveness at the outcome or impact levels (i.e., higher levels in the PFSI Results Framework)?
- 3) Were Life-of-Project (LOP) targets set for project indicators? Did the indicators themselves change over the LOP? If so, why? For example, was this a result of changes in indicators required by USAID, or decisions internal to PFSI? If achievement of targets depended on partners, how was that taken into account in the M&E system?
- 4) Do review and analysis of cumulative indicator tracking data over time (e.g., in annual reports) show that PFSI has met its life-of-project (LOP) targets for its indicators? If any targets have not been met, why not? If any targets were exceeded, why?

Evaluation Theme 4: Adaptive Management of PFSI

Goal: Understand how PFSI reacted to challenges, anticipated and unanticipated, through reactive or adaptive changes in the program, and evaluate whether those changes allowed PFSI to move around the challenge and move forward with its activities designed to improve forest governance in Peru.

Questions

- 1) What challenges (expected or unexpected/unforeseen) did USFS/PFSI encounter, and what did it do to overcome them? How successful was the adaptive management at overcoming challenges?
- 2) Did USAID/Peru make any adjustments in the PAPA, or PFSI activities or funding, which they considered as adaptive management of PFSI?

Table 1. Information Sources by Evaluation Question

Evaluation Themes and Questions	Information Sources and Analysis
Theme 1: Context and Program Design	
Question 1.1: Was the PFSI design adequate for achieving the stated objectives?	<ul style="list-style-type: none">• Review of background documents• Interviews (or other communications) with current and former USFS and USAID staff involved with PFSI since 2011 PAPA (e.g., USFS – Erin Carey, Carleen Yocum, Liz Mayhew; USAID current and former AORs)
Question 1.2: Were there constraints and challenges due to the context and history of the program?	
Question 1.3: Were the “outside of manageable interest” conditions necessary to support the project, listed as “assumptions” in the 2015-2016 M&E Plan, met?	
Question 1.4: Was the USFS role vis-à-vis other international actors clearly defined from the beginning?	
Question 1.5: Was the PFSI Results Framework aligned with USAID/Peru CDCS beginning with 2011 PAPA?	
Theme 2: Effectiveness in Improving Sustainable Forest Management	
Question 2.1: Which results or outcomes (“components”) of PFSI made the largest contributions to improving sustainable forest management in Peru?	<ul style="list-style-type: none">• Semi-structured Interviews with current and former USFS-PFSI and ABA staff• Semi-structured interviews with key informants in key Peruvian government partner institutions
Question 2.2: Which results or outcomes of PFSI made the largest contributions to strengthening the government agencies responsible for forest management at the national and regional levels? Which kinds of activities/inputs were most (and least) effective in building the capacities of the relevant agencies?	
Question 2.3: Which results or outcomes of PFSI made the largest contributions to improving information about forests, making it more accessible and transparent, and fostering participation in its creation and use? Which kinds of activities/inputs were most (and least) effective in this?	
Question 2.4: How effective was the training component of the project? Which kinds of training were most effective at causing the desired changes at higher levels of the Results Framework?	<ul style="list-style-type: none">• Review of relevant project M&E information and documentation (e.g., post-training participant surveys)• Interviews with a sample of developers and teachers of training courses (USFS detailers and others)• Semi-structured Interviews with sample of training course participants
Question 2.5: How effective were USFS “detailers” in providing technical advice, training, and other inputs to PFSI, and for which component(s) was “detailer” input most important?	<ul style="list-style-type: none">• Interviews with current and former USFS-PFSI and ABA staff• Interviews with sample of USFS detailers
Question 2.6: How effective an input/activity was coordination of institutional relationships and facilitation of inter-institutional communication, in general? Which PFSI result or achievement has it contributed to most/least? How can this role be institutionalized and sustained in the future without PFSI support?	<ul style="list-style-type: none">• Semi-structured Interviews with current and former USFS-PFSI and ABA staff• Semi-structured Interviews with relevant key informants in Peru and US
Question 2.7: Did PFSI activities/interventions affect the strength of relationships [among relevant GOP agencies in the forest sector and build continuity of systems and processes that will be sustained post-PFSI?	

Evaluation Themes and Questions	Information Sources and Analysis
Question 2.8: Has illegal logging in the Peruvian Amazon decreased significantly because of improvements in forest governance that have occurred because of the FGA of the PTPA? If so, how did PFSI contribute to the decrease?	<ul style="list-style-type: none">Interviews with current and former USFS-PFSI and ABA staffStudies and reports available online from international organizations, NGOs, government agencies, etc.Interviews with relevant key informants in Peru and US
Question 2.9: What “lessons learned” from PFSI will be important in designing future programs of a similar nature, in Peru, elsewhere in Latin America, or elsewhere in the world?	<ul style="list-style-type: none">Interviews with current and former USFS-PFSI and ABA staff, and USAID/Peru staff
Theme 3: Monitoring and Evaluation System	
Question 3.1: Did the M&E system change after its initial establishment for the 2011 PAPA? Did it evolve as activities shifted in response to conditions and needs (i.e., as part of adaptive management of the project)?	<ul style="list-style-type: none">Review of background documents, esp. quarterly and annual reportsInformation from PFSI M&E Specialist (Maria Paz Montoya)
Question 3.2: Do M&E system data (the tracking of milestones and indicators) provide evidence for effective delivery of technical assistance at the output level? At higher levels in the Results Framework)?	
Question 3.3: Were LOP targets set for project indicators? Did the indicators themselves change over the LOP? If so, why?	
Question 3.4: Do review and analysis of cumulative indicator tracking data over time (e.g., in annual reports) show that PFSI has met its life-of-project (LOP) targets for its indicators? If any targets have not been met, why not? If any targets were exceeded, why	
Evaluation Theme 4: Adaptive Management of PFSI	
Question 4.1: What challenges (expected or unexpected/unforeseen) did USFS/PFSI encounter, and what did it do to overcome them?	<ul style="list-style-type: none">Interviews with current and former USFS-PFSI and ABA staff
Question 4.2: Did USAID/Peru make any adjustments in the PAPA, or PFSI activities or funding, which they considered as adaptive management of PFSI?	<ul style="list-style-type: none">Interviews with current and former USFS-PFSI staff, and USAID/Peru staff

5. Tentative/Proposed Work Schedule

Dates	Activity
2-9 December 2016	Consultant reviews background documents
9-13 December 2016	Consultant drafts evaluation framework, methodology, and work plan and submits to USFS-PFSI for review (by 13 Dec., Tuesday, COB)
14 December 2016 – 10 May 2017	USFS-IP PFSI reviews draft evaluation framework and provides written and/or oral comments (by 10 May, Wednesday)
22-26 May 2017	Consultant revises evaluation framework, methodology, and work plan based on USFS-IP comments, and submits revised/final to USFS-IP (by 26 May, Friday, COB)
29 May – 9 June 2017	Consultant travel logistics for Peru trip arranged
29 May – 16 June 2017	USFS-IP PFSI schedules interviews, meetings in Lima and regions
29 May – 21 June 2017	Consultant (in close coordination with USFS-PFSI staff) completes development of information-gathering tools (e.g., key informant interview guides, focal group discussion guides, and surveys/questionnaires as proposed in methodology) (by Wednesday, 21 June 2017)
26 June 2017	Consultant travels to Lima from Washington, D.C. (Monday, 26 June 2017)
26 June -14 July 2017	Consultant (with USFS-PFSI M&E specialist and other staff) conduct information gathering in Lima and regions
15 July 2017	Consultant returns to U.S.
24 -28 July & 21 August - 1 September 2017	Consultant analyzes evaluation information and writes draft evaluation report(s) to submit to USFS-IP for review (by 1 Sept., Friday, COB)
4-8 September 2017	USFS-IP PFSI reviews draft evaluation report(s) and provides written comments (by 8 Sept. Friday, COB)
11-15 September 2017	Consultant revises evaluation report based on USFS-IP comments, and submits final to USFS-IP (by 15 Sept., Friday, COB)
11-15 September 2017	Consultant presents evaluation findings to USFS-IP in an oral (PowerPoint) presentation, if/as requested sometime this week

References

Note: This is a partial list of some of the main background documents consulted in developing this Evaluation Framework. A much longer list of documents will be used in the information-gathering process.

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ANNEX E: QUESTIONS FOR USFS-IP STAFF

PFSI Final Evaluation -- Questions for USFS-IP Staff

Bruce Byers, Evaluation Consultant 19 June 2017

General Background

- 1) When did you work with PFSI?
- 2) What was your role in the program?

PFSI Design Issues

- 3) Was the PFSI design (e.g., its underlying strategy, development hypothesis, causal logic, results framework, assumptions) adequate for achieving the stated objectives? Was it over-ambitious, not ambitious enough, or just right? In other words, was PFSI, as designed, up to the task of reaching the stated objectives?
- 4) What constraints and challenges did PFSI face because of the context and history of the program, and how might these have affected the program's chances of success?
- 5) Many other large international donors or organizations (e.g., GIZ, FAO) are involved in the forest sector in Peru. Was PFSI designed with a specific and appropriate role in relation to the broader set of international actors?
- 6) Was the PFSI Results Framework (in the 2011 bilateral PAPA) aligned with the USAID/Peru Country Development Cooperation Strategy? Was the PFSI-USAID relationship a smooth one? Any problems?
- 7) What was the relationship between PFSI and USAID's Peru Bosques Project, implemented by Chemonics? Were the roles of the two programs clearly defined and complimentary? Were there any problems regarding coordination or overlap?

Achievements, Successes, Remaining Challenges, Lessons Learned

- 8) Which results or outcomes ("components") of PFSI made the largest contributions to improving sustainable forest management in Peru, in your opinion?
- 9) How effective were USFS "detailers" in providing technical advice, training, and other inputs to PFSI, and for which component(s) was "detailer" input most important?
- 10) A major objective of the Forest Governance Annex of the US-PTPA was to control illegal logging and trade of CITES-listed timber species (e.g., mahogany, cedro). Has illegal logging in the Peruvian Amazon decreased significantly because of improvements in forest governance that have occurred because of the FGA of the PTPA? If so, how did PFSI contribute to the decrease?
- 11) What challenges (expected or unexpected/unforeseen) did USFS/PFSI encounter, and what did it do to overcome them?
- 12) What "lessons learned" from PFSI will be important in designing future programs of a similar nature, in Peru, elsewhere in Latin America, or elsewhere in the world, in your opinion?

ANNEX F. QUESTIONS FOR KEY INFORMANTS IN PERUVIAN GOVERNMENT AND OTHER PARTNER INSTITUTIONS

- Greetings, explain purpose of the evaluation and our objectives for the interview

1) Please explain briefly when and how your institution/organization was involved with PFSI.

2) Are you familiar with the PFSI program in general, or just specific activities you collaborated on? What other PFSI components do you know about?

3) What PFSI activities were you, personally, involved in? Were these useful to you? How?

For example:

- Trainings? [if so, which]
- Workshops or public dialogues? [if so, which]
- Working with experts from the US Forest Service (“detailers”)? [if so, who, and on which topic(s)]
- Study tours in US? [if so, which]
- Research or reports? [if so, which]
- Other activities? [which?]

4) In your opinion, how has PFSI contributed to improving sustainable forest management in Peru?

Ask about:

- a) strengthening government agencies/capacity;
- b) improving forest information, access to information, and public participation; and
- c) coordination of institutional relationships and facilitation of inter-institutional communication among GOP agencies with responsibilities in the forest sector.

5) What has been PFSI’s biggest success, in your view?

6) Will this success be sustained in the future, after PFSI ends, in your view? Why or why not?

7) Has illegal logging in the Peruvian Amazon decreased significantly because of improvements in forest governance that have occurred because of the FGA of the PTPA? If so, how did PFSI contribute to the decrease?

8) Did you or your institution also work with the USAID Perú Bosques Project? Please explain briefly how they supported your work, and how that was different from/similar to the support from PFSI.

9) What are the three biggest challenges still remaining in improving the sustainable management of forests in Peru?

10) What are the three biggest challenges still remaining in controlling the illegal logging and trade of mahogany and cedro?

11) What advice would you offer to the US Forest Service in creating a follow-on to PFSI?

Preguntas para informantes clave del Gobierno del Perú y otros socios institucionales

- Saludos, explicar las metas de la evaluación y nuestros objetivos para la entrevista

1) Por favor, explicar brevemente cuándo y cómo su institución se involucró con el PFSI.

2) ¿Conoce usted, en general, el programa PFSI, o solo conoce las actividades específicas en que ha participado?
¿Cuáles otras componentes del programa PFSI conoce?

3) ¿En cuál actividad del programa PFSI ha participado usted?

Por ejemplo:

- ¿Capacitación - Entrenamiento? [¿cual?]
- ¿Talleres o diálogos públicos? [¿cual?]
- ¿Trabajo con expertos – “detalles”-del Servicio Forestal del EE.UU.? [¿con quién? ¿sobre cuál tema?]
- ¿Viajes de estudios (Study Tours)? [¿cuál?]
- ¿Investigaciones e informes? [¿cuál?]
- ¿Otras cosas? [¿cuáles?]

4) En su opinión, ¿Cómo ha contribuido PFSI a la mejora en el manejo sostenible de bosques en Perú?

Preguntar acerca de:

- a) fortalecimiento de las agencias responsables del GdP;
- b) mejora de información forestal y acceso a esta y a participación pública; y
- c) coordinación institucional y facilitación de comunicación inter-institucional entre agencias del GdP del sector forestal.

5) ¿En su opinión, ¿cuál es el principal logro del programa PFSI?

6) ¿Considera que este logro puede ser sostenible, luego de que PFSI culmine actividades? ¿Por qué sí, o porque no?

8) ¿Cree usted que ha disminuido la tala ilegal en la Amazonia peruana por la mejora en la gobernanza forestal impulsada por la FGA del US-PTPA? De ser así, ¿Cómo ha contribuido, en este sentido, el programa PFSI?

8) ¿Ha trabajado usted o su institución con el Proyecto Perú Bosques del USAID? De ser así, por favor explicar brevemente como ayudaron su trabajo, y como esta ayuda fue diferente de la ayuda del PFSI.

9) ¿Cuáles considera usted que son los tres desafíos más importantes que aún se tienen pendientes en la mejora del manejo sostenible de los bosques peruanos?

10) ¿Cuáles considera usted que son los tres desafíos más importantes que aún se tienen pendientes frente al control de la tala y comercio ilegal de caoba y cedro?

11) ¿Cuál consejo podría ofrecerle al Servicio Forestal del EE.UU. para el diseño de un proyecto similar en el futuro?

ANNEX G. KEY INFORMANTS INTERVIEWED

Name	Institution/Title	Email	Phone
Interviews in the United States			
Alex Moad	USFS	amoad@fs.fed.us	202-273-0163
Liz Mayhew	USFS	lmayhew@fs.fed.us	
Erin Carey,	USFS	ebcarey@fs.fed.us	Tel: 970-404-3163 Cell: 970-230-2208
Fred Norbury	USFS	fnorbury@gmail.com	Cell: 970-903-8107
Carleen Yocum	USFS	cyocum@fs.fed.us	Tel: 651 649-5276 Cell: 740 513-9690
Andrea von der Ohe	USFS	avonderohe@fs.fed.us	Cell: 202-280-4932
Andy Lister	USFS	alister@fs.fed.us	Tel: 610-557-4038 Cell: 202-290-9812
Colleen “Chaz” O’Brien	USFS	cobrien@fs.fed.us	323-433-4813
Tah Yang	USFS	tyang@fs.fed.us	Tel: 703-605-4547
Interviews in Perú			
Victor Miyakawa	PFSI	vmiyakawa@pfsi.us	+511 996 036 400
Pavel Bermudez	PFSI	pbermudez@pfsi.us	+511 975 594 986
Victor Merino	USAID/Peru	vmerino@usaid.gov	+511 618-1291, 610-1356
Fernando Chavez	USAID/Peru	fchavez@usaid.gov	+511 618-1310, 975 525 515
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Walter Herz	Ex-PFSI Indigenous Communities component lead		957 598 650
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Juan Carlos Vilca	GOREL		955954418
Javier Del Águila	GOREL		955954418
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