

Capacity Needs Assessment

for

Resilient Puna

Ecosystem based Adaptation for sustainable high Andean communities and ecosystems in Peru

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Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH

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Acronyms

AGROIDEAS	Compensation Program for Competitiveness
AGRORURAL	Rural Agrarian Productive Development Program
ANC	Capacity Needs Assessment
ANP	Protected Natural Area
CGRA	Regional Agrarian Management Committee
CSARCC	Commission of the Agricultural and Irrigation Sector on Climate Change
DGAAA	Directorate of Agrarian Environmental Affairs of MIDAGRI
DGDG	General Directorate of Livestock Development of MIDAGRI
DGESEP	General Directorate of Statistics, Monitoring and Evaluation of MIDAGRI Policies
DAII	Directorate of Intersectoral and Intergovernmental Coordination of
DCCNGS	Directorate of Development of Peasant, Native Communities and Social Management of MIDAGRI
DEIA	Directorate of Statistics and Agrarian Information of MIDAGRI
DSEP	Directorate of Monitoring and Evaluation of MIDAGRI Policies
DGGT	General Directorate of Territorial Management of MIDAGRI
DPMPA	Directorate for the Promotion of Women Agricultural Producers of
EEA	INIA Agricultural Experimental Station
GL	Local Governments
GR	Regional Governments
IdM	Mountain Institute
INIA	National Institute of Agrarian Innovation
MIDAGRI	Ministry of Agrarian Development and Irrigation
MIMP	Ministry of Women and Vulnerable Populations
MINAM	Ministry of the Environment
NDC	Nationally Determined Contributions
OPA	Attached Public Body
OPLA MIDAGRI	Planning Office
OPMI MIDAGRI	Multiannual Investment Programming Office
PCM	Presidency of the Council of Ministers
PNA	National Agrarian Policy
POAAR	Regional Articulated Agrarian Operational Plan
POI	Institutional Operational Plan
PDP	Development Plan for People at the service of the State
PPA	Register of Agricultural Producers
Profonanpe	National Trust Fund for Natural Protected Areas
PSI	Irrigation Subsectoral Program
RNPSEA	National Registry of Agricultural Extension Service Providers
SENAMHI	National Service of Meteorology and Hydrology of Peru
SENASA	National Agrarian Health Service
SERNANP	National Service of Natural Areas Protected
SIEA	Integrated System of Agricultural Statistics
SINANPE	National System of Natural Areas Protected
SNIA	National System of Agricultural Innovation
SODEGA	Support System for the Decisions of the General Directorate of
Livestock	
SSE	Sierra Selva Exportadora
UEFSA	Executing Unit Sierra Azul Fund
ZA	Buffer Zone

1. Introduction

As part of the feasibility study for the GCF project "Resilient Puna: Ecosystem-based Adaptation for Sustainable High Andean Communities and Landscapes in Peru", a Capacity Needs Assessment and an Institutional Gap analysis are required to identify needs of institutional capacities in project partner organizations with roles and responsibilities in the implementation of the proposed Resilient Puna project. This assessment will offer a broad perspective of the necessary critical capacities needed and will give recommendations for the Capacity Development Action Plan.

To implement the project successfully, it will be necessary to address the capacity needs of the organizations involved. In this way, the project activities will address the gap at the level of organizations and will include measures to support the development of the necessary capacities.

1.1 General Project Description

Climate change and unsustainable management practices are degrading puna ecosystems (peatlands, wetlands and grasslands) and the services they provide (provision and regulation of water; provision of fodder, food and fiber; nutrient and carbon regulation). Increased temperatures have already depleted 51% of Peru's glaciers². Fewer rains and longer drought periods added to glacier melting threaten the livelihoods of approx. 560,000 people in the Southern High Andes of Peru (SHAP) and the water security of millions of people downstream. In addition, the huge stocks of carbon stored in puna ecosystems could be released to the atmosphere as they become increasingly degraded.

Communities in the SHAP are characterized by low levels of development, focus on subsistence agriculture and husbandry practices, limited economic opportunities and overall high climate vulnerability. They lack the means and capacities to implement adaptation alternatives or adopt climate-resilient livelihoods. One of the few highly valued production chains available is alpaca fiber but besides provision of raw materials, participation by smallholders is low. The Peruvian Ministry of Agricultural Development and Irrigation (MIDAGRI) has set in place a series of programs to support these vulnerable populations for improved competitiveness and management of puna ecosystems, but access is low and available budgets are not sufficient to address identified needs. Ancestral technologies, tools and practices related to Ecosystem-based Adaptation (EbA) have been applied in the SHAP since pre-Inca periods and they are currently being abandoned because of a decomposition of traditional structures.

The project aims to increase the resilience of Andean communities in the departments of Arequipa, Cusco, Puno, Lima (Yauyos) and Apurímac, through the management, conservation and restoration of high Andean ecosystems; to also promote an increased access to public and private financing and a stronger territorial planning towards Ecosystem-based Adaptation (EbA). GCF funding will increase access to MIDAGRI programs through technical assistance and set the funding structure to sustain investments in the long term via payment for environmental services, private sector contributions and microfinancing. Local communities will be trained on EbA implementation and climate resilient value chains to cement a change in behaviour and boost the local economy for the continued protection of puna ecosystems. Experiences from the Nor Yauyos Cochas reserve will be transferred to the SHAP for lessons on EbA implementation and facilitation of participatory processes. The project will support MIDAGRI in incorporating the EbA approach and gender perspective into all its programs and improve coordination with other stakeholders on the territory. Local and national monitoring systems to assess progress on adaptation will be integrated to existing information management and coordination platforms. Overall, the project will directly

benefit 71,679 rural population and the conservation and restoration of 23,914 hectares of high Andean ecosystems.

The "Resilient Puna" project is organised into three components: (i) Puna ecosystems are restored, conserved and better managed to support climate resilient livelihoods, through the implementation of EbAs measures; (ii) Public and private financing for EbA measures and climate resilient livelihoods are in place and accessible for vulnerable communities in the Puna Ecosystem; and (iii) EbA and climate resilience are mainstreamed into multilevel landscape governance instruments.

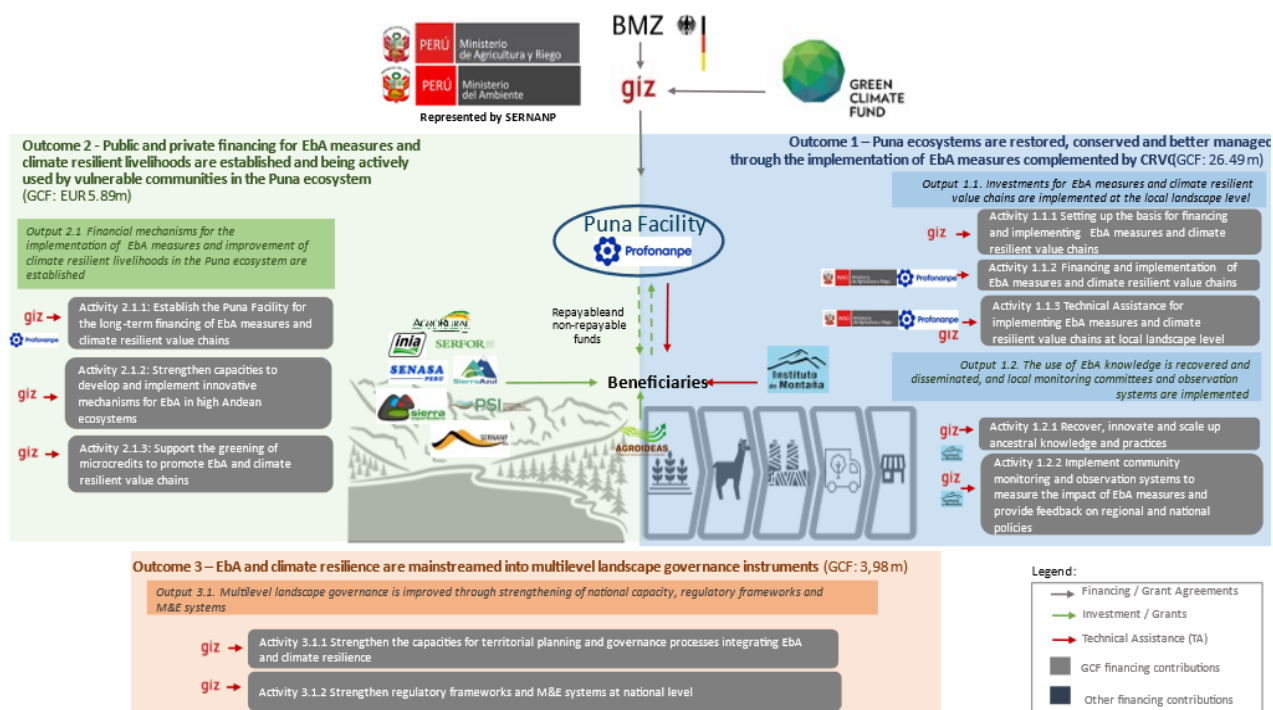


Figure 1: Project design

Component 1 will promote resilient Puna ecosystems and value chains by financing and co-financing climate-focused investments at local landscape level. By implementing investments on the ground, the aim is (i) to maintain or improve the provision of puna ecosystem services for climate resilience of the high Andean population and (ii) to strengthening climate resilient value chains that are dependent on and impacting on those ecosystems. A series of structural interventions, technological packages, trainings, information materials and communities' exchanges to nurture dialogue will be implemented to co-produce knowledge and foster community monitoring to measure EbA impacts that then will result in investment on the ground.

Component 2 will align and leverage public and private financing for EbA measures and Climate Resilient Value Chains at different and coordinated levels. The focus of this component is on mobilizing finance at different scales and with different schemes, with impact beyond the specific landscape. The key feature of this component is the establishment of a Facility (Puna Facility) and its leverage potential financing and facilitate the mobilization of MIDAGRI investments, PES, private and financial institutions resources.

Within Component 2 under Activity 2.1.1 the project will establish and manage through the Executing Entity Profonampe a financial mechanism known as the "Puna Facility". The objective of the Facility is to channel GCF funds (through Sub-Activity 1.1.2.1) and provide technical assistance (TA) (through Sub-Activity 1.1.3.1.) to implement Local initiatives in the Southern High Andes of Peru (SHAP). Under Sub-Activity 1.1.2.1 the

Component 3 will promote integrated landscape planning, governance platforms and policy improvement and coordination, fostering dialogue and improving coordination among stakeholders that intervene in the landscape (local, regional and national governments, rural communities, producer organizations, watershed committees, and MIDAGRI extension services, among others). The most adequate processes through effective participatory approaches or platforms for knowledge exchange, dialogue, coordination and consensus-building will be fostered according to local needs.

Due to the extent of the Peruvian Andes (364,716 km²)³ and limited project funds, watersheds where interventions could have the greatest potential were prioritised according to climate and ecosystem criteria. The climate-related criteria included a) vulnerable communities: i) altitude higher than 3500 m.a.s.l., (including a buffer zone down to 2800 m.a.s.l.); b) ecosystems: i) presence of puna key ecosystems (peatlands, grasslands and wetlands) and ii) distance to degraded lands; c) climate: i) distance to areas that have undergone deglaciation and ii) presence high or very high risks to droughts for agricultural and livestock.

The left map is a political map of Peru, showing the boundaries of its departments. The departments labeled are: TUMBES, UCAHAYALI, SAN MARTIN, LA LIBERTAD, ANCASH, HUANCAYO, PASCO, UCAHAYALI, JUNIN, CAHABAMA, TACNA, ICA, AYACUCHO, APURIMAC, AYLOMAY, and TACNA. The map highlights several areas in red and yellow, indicating prioritized regions for the Puna Facility. A legend at the bottom left explains the symbols: a red outline for 'Prioritized to be eligible for the Puna Facility', a yellow outline for 'Prioritized to be eligible for the Puna Facility (from Natural Protected Areas)', a yellow outline for 'Districts for capacity building', and a white outline for 'Departments of Peru'. A compass rose is located in the top right corner.

The right map is a detailed map of the southern region of Peru, showing the Ocuja Pacific coastline. It displays various districts and their boundaries. A red circle highlights a specific area in the southern region. The map includes labels for neighboring countries: Ecuador, Colombia, Brasil, and Chile. A compass rose is located in the top right corner.

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Table 1: List of eligible districts for the Puna Facility

Department	Project target area (districts)	Prioritised districts (Eligibles for Puna Facility)	Basins
Apurímac	23	10	Intercuenca Alto Apurimac
Arequipa	26	12	Vitor Quilca Chili, Subcuenca Cotahuasi- Ocoña
Cusco	29	23	Vilcanota-Urubamba, Inambari
Lima (Yauyos)	4	4	Cañete
Puno	9	9	Azángaro, subcuenca Coata
Total	91	58	

Ample experience in implementing EbA and liaising with local stakeholders on the ground has already been gathered in the landscape reserve Nor Yauyos Cochas⁴, which is located at the upper reaches of the Cañete watershed, in the Department of Lima. Knowledge, methods and experience on enhancing natural capital and maintaining ecosystem services through EbA measures will be transferred from Nor Yauyos Cochas to support replication in other protected areas: Salinas y Aguada Blanca National Reserve, and Cotahuasi Sub Watershed Landscape Reserve in the Department of Arequipa, and Ampay National Sanctuary in the Department of Apurímac.

1.3 Implementation Arrangements

In order to implement the Project, GIZ will need to establish legal arrangements with MIDAGRI, SERNANP, Profonanpe and Instituto de Montaña - see **Figure 2Error! Reference source not found.** below):

- The German Federal Ministry for Cooperation and Development (BMZ) will commission GIZ with the implementation of the GCF project (amended commissioning agreement). The GCF will transfer funds based on the Funded Activity Agreement (FAA) to the Accredited Entity GIZ.
- GIZ (AE) will amend an existing implementation agreement with the MIDAGRI as the political partner of the project and Executing Entity executing activities with own funds (related to the BMZ commission and signed between GIZ and MIDAGRI).
- SERNANP as an Executing Entity executing activities with own funds will sign a cooperation agreement with GIZ (AE).
- Finally, GIZ (AE) will sign with Profonanpe and Instituto de Montaña grant agreements (i.e., subsidiary agreements), based on GIZ standard operating procedures. These subsidiary agreements establish the legal basis on which GIZ makes the GCF Proceeds available to Instituto de Montaña to implement project activities and Profonanpe to set up, manage and operate grant disbursement through the Puna Facility, in accordance with the AMA (Accreditation Master Agreement) and FAA.

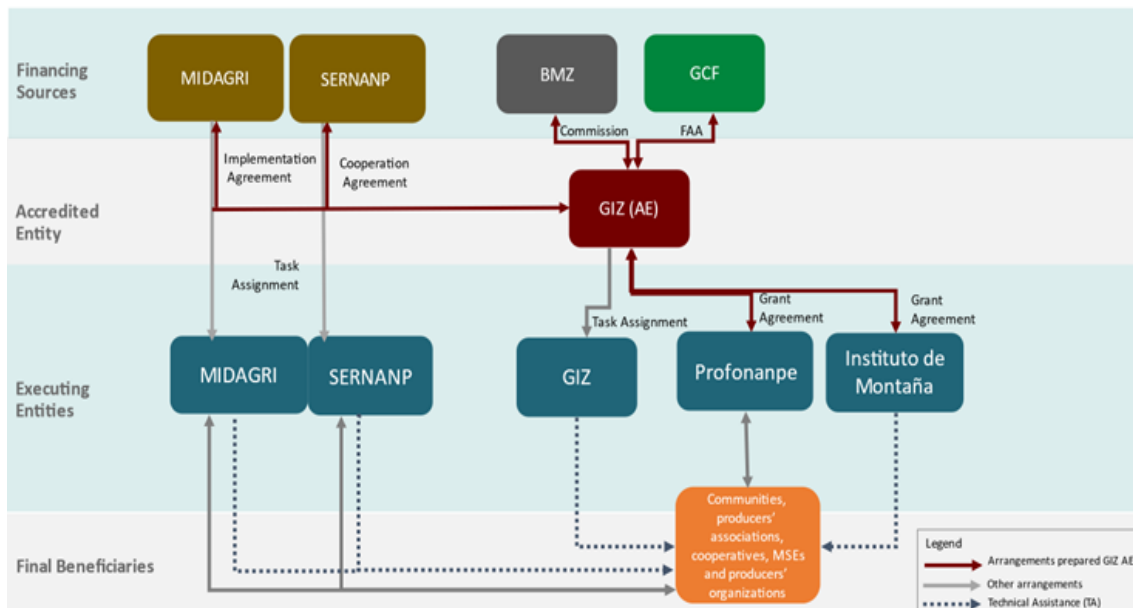


Figure 2: Legal arrangements

The governance of the project will be composed as shown in Figure 3 below by a Project Steering Committee (PSC) as the main governing body for the project. The PSC will provide strategic project implementation guidance to the project implementation structures whilst ensuring compliance with climate and national socio-economic development objectives. The GIZ with their oversight function as Accredited Entity along with the NDA will ensure GCF-related compliance and guidance is provided during project implementation. In addition, the project will also have a Project Management Committee composed by the five Executing Entities of the project which will ensure the management and coordination of the project among the Executing Entities and supervises the implementation in the project implementations area. Furthermore, the project government structure will include Territorial Implementation Units (TIU), which represent the level of project implementation by components and territories. These units will consist of teams from all the Executing Entities at their respective operational levels within the territories. The Project Implementation Unit (PIU) will execute the recommendations of the PMC and ensure that the recommendations of the Territorial Implementation Units (TIUs) are discussed and addressed.

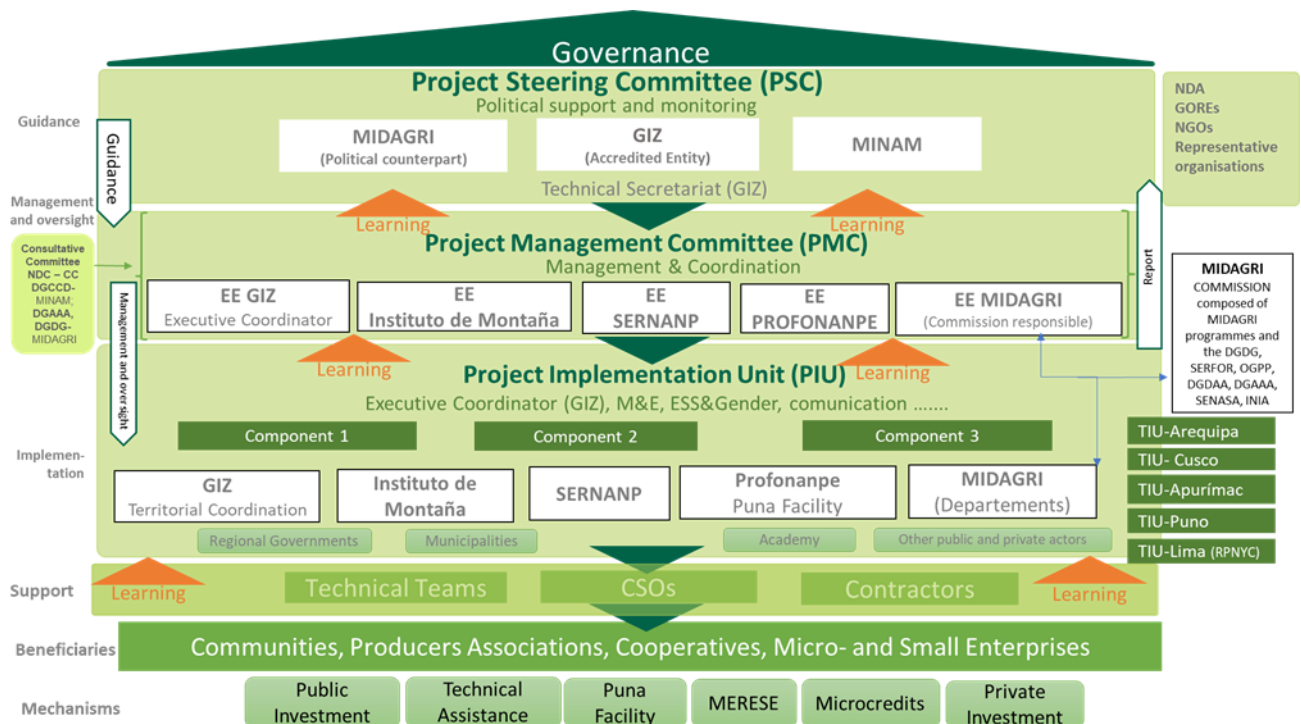


Figure 3: Project Governance Structure

1.4 Key entities, including Accredited and Executing Entities

The proposed project with GIZ as Accredited Entity has 5 Executing Entities including:

GIZ Peru as Executing Entity (EE): GIZ has been active in Peru since over 50 years and currently employs approximately 210 staff members, most of them Peruvian nationals. Specifically, GIZ Peru has been working on climate change and biodiversity issues in Peru since 2003 and current technical assistance in the sector amounts to approx. EUR 60 million.

The Ministry of Agricultural Development and Irrigation of Peru (MIDAGRI): Is the Peruvian government institution in charge of the agricultural sector. Its main function is to supervise and regulate the country's agricultural sector. Within the project MIDAGRI represents the political counterpart of the project, is an Executing Entity and chairs the PSC, in addition it participates in the PMC (Project Management Committee) and in the project implementation in the project implementation area through the Territorial Implementation Units.

Profonanze: Is a non-profit private law institution. It is the only environmental fund in Peru and a Direct Access Entity accredited before the GCF, with extensive experience in the management of environmental funds (Regional Water Fund in Piura, MERESE for Arequipa, etc.). Its mandate is to provide stable, long-term funding and to develop and implement innovative strategies for the conservation and management of protected areas. Within the project Profonanze will be responsible for the management of the "Puna Facility" a competitive fund, which will provide non-repayable and repayable grants, through calls for proposals aimed at promoting Local initiatives to implement Ecosystem-based Adaptation measures and Climate Resilient Value Chains.

The National Service of Natural Protected Areas (SERNANP): Is a specialized technical public agency attached to the Ministry of the Environment, in charge of directing and establishing technical and administrative criteria for the conservation of Natural Protected Areas (NPAs) and ensuring the maintenance of biological diversity. SERNANP

is the governing entity of the National System of Natural Areas Protected by the state (SINANPE), and as the technical-normative authority, it carries out its work in coordination with regional and local governments and landowners recognized as private conservation areas. SERNANP will act as an Executing Entity and coordinate with the project partners to guarantee the integral fulfilment of the expected results of the project participating in both the PMC and TIUs. In particular, SERNANP will co-finance and participate in the execution of the activities implemented within the Natural Protected Areas that are part of the project.

Instituto de Montaña (IdM): Is a non-profit organization that works for the conservation of the natural, cultural and spiritual values of mountain peoples and ecosystems. It will act as Executing Entity, by contributing and scaling up its experience in the implementation of EbA measures in the Nor Yauyos Cochas Landscape Reserve to the other regions of the project. It will use participatory tools for participatory design, implementation and monitoring of EbA measures, which contribute to the ownership and sustainability of the Local initiatives supported by the project. IdM will participate in the Project Management Committee and in the territory as part of the Territorial Implementation Units and it will coordinate with other project partners to guarantee the integral fulfilment of the expected results of the project.

1.5 Scope and objectives of the assessment

Project implementation requires an enabling environment comprising supporting laws, policies, strategies and procedures, through organizations functioning with sufficient and strong human capacities.

The capacity needs assessment and institutional gaps focuses on the three components of the project, for each of the institutions involved in implementing it. The project is carried out jointly with the Ministry of Agrarian Development and Irrigation (MIDAGRI), the National Service of Natural Areas Protected (SERNANP), the Trust Fund for the Promotion of Natural Protected Areas of Peru (Profonanpe), GIZ and the Instituto de Montaña (IdM).

The Peruvian government, through MIDAGRI, will co-finance Adaptation measures based on Ecosystems (AbE) such as water sowing and harvesting actions through its Programs and Affiliated Organizations such as Agrorural and Sierra Azul Executing Unit (UEFSA); as well as actions to support the productive development of prioritised value chains through INIA, SERFOR, SENASA, PSI, SSE and Agroideas. And through SERNANP, it will co-finance management actions in the four ANPs within the scope of the project.

Specific objectives of the Capacity Needs Assessment (CNA) are:

- Carry out an assessment of the capacity needs and institutional gaps of the partner organizations, for the implementation of the project.
- Determine the current capacity level of partner organizations based on project components. In component 1, the capacities of project partner to promote and implement Ecosystem-Based Adaptation measures and climate-resilient value chains; and capacities to promote and scale innovations considering ancestral knowledge and technology transfer. In component 2, the capacities to coordinate their subsidy programs in the territory and capacities to attract new private funds will be analysed. In component 3, the capacities to coordinate with relevant stakeholders in the territory; capacities to coordinate with other sectors; abilities to get involved with peasant communities and producer organizations; policy and norm formulation capacities; capacities to develop and implement plans and budget with an EbA,

gender and climate resilience approach; capacities to monitor the impact of EbA measures and analysed climate information; and capacities to monitor and report co-financing committed to achieve project objectives.

- Identify gaps between current skill levels and required levels.
- Prepare a proposal of recommendations for the development of capacities with the aim of addressing the gaps identified.

The ANC will consider:

- a) Conduct semi-structured interviews with representatives of partner organizations and joint workshops, if necessary.
- b) Analyse the partner organization's track record of supervising or implementing relevant projects or activities that address one or more of the identified key issues.
- c) Analyse policies, standard operating procedures and guidelines relevant to project topics (managed by partner organizations).
- d) Analyse the number of national and subnational staff required to perform the proposed role of the partner organization in the implementation of the project and the available capacity of these staff in the organizations.
- e) Explore the available capacity of relevant partner organization skills, competencies and experiences with key personnel needed to perform the partner organization's proposed role in implementing the GCF project, at the national and sub-national levels.
- f) Analyse the learning needs of partner organizations and their staff at the national and subnational level and what are the most appropriate ways to develop this learning.

2. Methodology

2.1 Approach

To determine the scope and objectives of the assessment, it is important to decide what capacities will be included and how these capacities will be addressed. This includes identifying the types of data to be collected and the appropriate collection techniques.

The diagnosis for the ANC of the “Resilient Puna” Project includes the collection of information from the organizations involved, such as their mission, vision, organizational structure and operating procedures.

The approach selected to diagnose the level of existing capacities is the qualitative one, whose technique to obtain the necessary information and data will include semi-structured and individual interviews with the officials of the Project's partner entities.

Under this framework, the ANC will cover the three components of the project; and will be derived from the analysis of:

- Documents of Plans, Policies, Strategies, Laws and Regulations.
- Management Instruments of the entities involved, such as Regulations of Organizations and Functions, Manuals of Organizations and Functions, Operations Manuals, Organizational Charts.
- Information from interviews with partners and stakeholders.

It is important to mention that current capacity needs assessment results and the recommendations for capacity development will be reflected in the project activities proposed in the Feasibility Study and the Funding proposal.

2.2 Analysis Levels

According to the UNDP Capacity Assessment Framework (2008), there are 3 axes to analyse capacity problems. The first, called the “Entry Point,” comprises four levels: the enabling environment (society), the sector (network level), the organization level (organizations) and the individual level (people). Any of them can serve as an entry point for the ANC.

The enabling environment represents the overall social context in which various development processes take place. Often referred to as the societal or institutional level, it is made up of elements that exist, both within sectors and across sectors, and that can facilitate or constrain capacity development. These include the policies, rules and regulations, the values that govern the mandates, the priorities, the modalities of operation and the culture (PNUD, 2008). Capacity can be reflected in the form of favourable policies, high levels of political commitment, absence of conflicts or methods to resolve them, among others.

As mentioned, the objective of the “Resilient Puna” project is to increase the resilience capacity of high Andean communities that are vulnerable to climate change; or in other words, make effective adaptation measures to climate change in the departments of Apurímac, Arequipa, Cusco, Lima and Puno. In this sense, Peru has assumed international commitments, being the promoter and pioneer in the incorporation of the adaptation component to climate change as part of the Nationally Determined Contributions (NDC) and ratified them in the Paris Agreement. These include increasing

adaptive capacity, strengthening resilience and reducing vulnerability to climate change with a view to contributing to sustainable development (MINAM, 2021).

Likewise, the national regulations have Law No. 30754, Framework Law on Climate Change and its Regulations¹, which establish the provisions for the coordination, articulation, design, execution, reporting, monitoring, evaluation and dissemination of public policies for the management comprehensive, participation and transparency of climate change adaptation and mitigation measures in order to reduce the country's vulnerability to climate change, take advantage of low-carbon growth opportunities and comply with the international commitments assumed by the State under the Framework Convention on United Nations on Climate Change.

Additionally, in 2022, the Supreme Decree was approved that declares the Climate Emergency to be of National Interest ², in order to urgently execute measures to implement climate action in accordance with the provisions of the NDC by 2030; contributing to the global objective of limiting the increase in temperature and aligned with the fulfilment of the objectives of sustainable development, economic reactivation, reduction of socioeconomic gaps and the reduction of risks and vulnerability to the adverse effects of climate change. It should be noted that, as part of the priority lines that provide support to the climate emergency, the participation of SERNANP is included, through the incorporation of the comprehensive management of climate change in the updating of the Master Plan for Natural Protected Areas; and, of the adaptation and mitigation measures that are part of the NDC in the Master Plans of the aforementioned areas.

It is important to mention that the agriculture sector has a document that summarizes the main actions for adaptation and mitigation against climate change by 2030 (MINAGRI & MINAM, 2019). In which, MIDAGRI (formerly MINAGRI), in coordination with its attached bodies, identified 39 adaptation measures and 11 GHG mitigation measures, which are part of the NDC by 2030. In particular, the adaptation measures are related to the following issues: integrated forest management, productive agricultural activities, use of water availability and strengthening of multisectoral actions to increase conservation and water reserves that favour all uses.

Sector level represents the need for coherent sectoral policies and strategies, as well as coordination between sectors. Although the Peruvian government has begun with processes of political and institutional reform reflected, for example, in the Guidelines for the Second Agrarian Reform; intersectoral coordination is very limited.

Organizational capacity level comprises the internal policies, arrangements, procedures, and frameworks that enable an organization to operate and fulfil its mandate and allow individual capacities to work together to achieve common objectives. A diagnosis at this level emphasizes the internal work of organizations and may be motivated by the need to create or improve specific capacities that contribute to the objectives of the "Resilient Puna" project. Particularly, it is sought that organizations such as MIDAGRI and its executing units, programs and line directorates; SERNANP; Profonampe and IdM, would improve their capacities to implement EbA measures and climate resilient value chains and territorial coordination to scale-up and replicate best experiences.

Individual level refers to the capacities of individuals who operate within, or who are affected by the other three levels. According to the UNDP methodology (2008), individual

¹ Approved by Supreme Decree No. 013-2019-MINAM

² Supreme Decree No. 003-2022-MINAM

diagnoses are carried out in the context of an organization's diagnosis; for example, to identify program leaders or agents of change. Within the framework of the "Resilient Puna" Project, the diagnosis involves more than one organization; and, given the Peruvian context, where there is high staff turnover in public entities, it is considered that this entry point is not favourable for the analysis.

The four-tier concept requires the concerted interaction of three categories of capacity development: human resource enhancement, technical support, and financial resources. Before any capacity development intervention, four essential questions must be asked:

- Are gaps in knowledge and skills the decisive factors in the development problem?
- Are the technical means, such as tools, instruments or machinery, the decisive factors of the problem of development?
- Is the lack of financial resources the decisive factor of the development problem?
- Or is it a combination of two or all three factors that cause the development problem?

Comprehensive understanding of the big picture will lead to successful improvements and sustainable changes and impacts in relation to the planned development.

In this way, the key entry points for the ANC of the "Resilient Puna" project are organizational; which will allow a broader understanding of the requirements to implement the project. This analysis focuses mainly on the national level, although coordination with the regional and local level will also be examined.

The second axis includes the central themes or capacity problems. Which have been established by the UNDP (2008), based on its empirical experience. That is, to the problems they have most commonly encountered within and across a variety of sectors and issues. These refer to four areas where capacity change occurs most frequently:

1. **Institutional Arrangements:** refers to the policies, procedures, and processes used to legislate, plan, and manage the implementation of development and the rule of law, measure change, and supervise other functions of the State. By its very nature, the problem of institutional arrangements manifests itself in all aspects of development management and the public sector. For example, when intra-governmental coordination mechanisms are often lax, human resource arrangements are ad hoc, and different agencies use different monitoring and evaluation frameworks.
2. **Leadership:** is the capacity to influence, inspire and motivate people, organizations and societies to achieve and exceed their objectives. An important characteristic of good leadership is the capacity to predict (and sometimes catalyse), respond to, and manage change to foster human development. A key determinant of leadership is the capacity to rally others around a common goal. It should be noted that it does not necessarily refer to a particular individual leader figure; Rather, it can be a government unit or large social movements.
3. **Knowledge:** refers to the creation, absorption and dissemination of information and expertise to find effective solutions for development. Knowledge needs can be addressed at different levels (national, local and sectoral; primary, secondary and third) as well as through different means (formal education, technical training, knowledge networks and informal learning).
4. **Accountability:** refers to compliance with a set of rules and procedures that regulate the interactions of two parties and are based on a mutual agreement or understanding of their reciprocal roles and responsibilities. It allows organizations

and systems to monitor, learn, self-analyse and adjust their behaviour in interactions with the people to whom they are accountable (customers, citizens, partners), provides legitimacy to decision-making, increases transparency and helps reduce the influence of vested interests.

While it is not necessary for all four to be analysed; the ANC addresses them with a cross-cutting approach.

2.3 Functional and technical capacities

The third axis of the Framework for the Diagnosis of UNDP Capacities (2008) is made up of functional and technical capacities. **Functional capacities** are relevant at various levels and are not associated with a particular sector or topic. They are the management capacities necessary to formulate, implement and review policies, strategies, programs and projects. They are key in order to “getting *things done*”.

According to UNDP (2008), there are 5 generic functional capacities for most programs and projects:

1. Capacity to engage stakeholders
2. Capacity to analyse a situation and define a vision and mandate
3. Capacity to formulate policies and strategies
4. Capacity to budget, manage and execute
5. Capacity to evaluate

Technical capacities are capacities in specific sectors or topics associated with particular areas of specialization and practice. As such, they are closely related to the sector or organization in question. According to the components of the "Resilient Puna", the following 11 technical capacities will be analysed in the ANC:

Table 1: Technical capacities to be analysed according to components of the “Resilient Puna” Project

Component	Technical Capacity
Component 1. Resilient ecosystems and communities	<ol style="list-style-type: none"> 1. Capacity to financially and technically execute EbA measures and sustainable economic activities resilient to climate change and with a gender focus. 2. Capacity to promote and scale innovations considering ancestral knowledge and technology transfer.
Component 2: Public and private investment aligned and leveraged for EbA	<ol style="list-style-type: none"> 1. Capacity to articulate public programs in high Andean areas. 2. Capacity to attract new private funds to finance EbA measures and sustainable economic activities resilient to climate change.
Component 3: Strengthening of institutional capacities to integrate EbA in territorial planning.	<ol style="list-style-type: none"> 1. Capacity to coordinate public programs in the territory. 2. Capacity to coordinate with other sectors to facilitate sustainable and resilient interventions. 3. Capacity to get involved with peasant communities and producer organizations. 4. Capacity for the formulation of policies and regulations. 5. Capacity to plan budget, manage and implement it with an EbA, gender, and climate resilience approach. 6. Capacity to monitor the impact of EbA measures and analyse climate information. 7. Capacity to monitor and report NDC commitments.

Own elaboration.

2.4 Interviews conducted

Between May and August 2023, meetings and interviews were held with project partner entities. Details of interviews carried out are presented below.

Table 2: Interviews conducted

Entity	Headquarters	Line Management / General Management	Official	Date
MIDAGRI	Headquarters	General Directorate of Livestock Development	Maria Angelica Lagos	05/22/23
			Carla Marquina	
			David Soriano	
		General Directorate of Livestock Development	Maria Angelica Lagos	14.07.23
			Carla Marquina	
			David Soriano	
			Michael Cartagena	
		General Directorate of Agrarian Policies	Lincoln Onofre	24.07.23
		Directorate of Development of Peasant, Native and Social Management Communities of the General Directorate of Territorial Development	Victor Castro	25.07.23
			Ruben Guzman	
		General Directorate of Agrarian Environmental Affairs	Edith Rojas	25.07.23
		General Directorate of Livestock Development	Omar prince	25.07.23
			Carlos Alberto Flores	
			David Soriano	
			Wilber Bravo	
			Christian Candela	
		Directorate of Intersectoral and Intergovernmental Articulation of the General Directorate of Territorial Management	Renzo Silva	25.07.23
			Victor Gonzales	
		Directorate of Insurance and Promotion of Agricultural Financing of the General Directorate of Associations, Financial Services and Insurance	Jorge Luis Cevallos	26.07.23
			Judith Collado	
			Alexis Villanueva	
		General Directorate of Agricultural and Agroecological Development	Miguel Quevedo	26.07.23
		Department of Statistics and Agricultural Information of the General Directorate of Statistics, Monitoring and Evaluation of Policies	Cesar Santisteban	26.07.23

Entity	Headquarters	Line Management / General Management	Official	Date
		Policy Monitoring and Evaluation Directorate of the General Directorate of Statistics, Policy Monitoring and Evaluation	Nora Ocaña	07.31.23
		Directorate for the Promotion of Women Agricultural Producers	Renzo Silva	15.08.23
			Karina Huaraca	
		Planning Office of the General Planning and Budget Office	Luis Angel Luna Cano	07.08.23
		Office of Multiannual Investment Programming of the General Office of Planning and Budget	Manuela Asmat	07.08.23
	PSI	Technical Irrigation Management and Studies Sub-Unit of the Technical Irrigation Management Unit	Merlina Calderon	25.07.23
	Agrorural	Sub-Unit for the Conservation of Soils and Natural Grasslands of the Agroforestry, Forestry and Silvopastoral Value Chain Unit	Ivan Lares	26.07.23
	SERFOR	Promotion and Competitiveness Department	Maria del Pilar Tuppia	07.31.23
		Directorate of Sustainable Management of Forest Heritage	Williams Arellano	
		Directorate of Sustainable Management of Wildlife Heritage	Enrique Michaud	
	UEFSA	UEFSA works specialist	Nino Haya	03.08.23
	SENASA	Disease Control and Eradication Subdirectorate of the Animal Health Directorate	Edward Salazar	24.07.23
	INIA	National Program for the Transfer of Agricultural Technology and Scientific Documentation- DDTA	Jorge Raymondi	24.07.23
			Cesar Osorio	
		Agricultural Innovation Management Department	Jesus Caldas	26.07.23
			Alfonso Lizarraga	
SERNANP	Directorate of Management of Protected Natural Areas	Functional Operative Unit of Participatory Management	Marco Arenas	19.05.23
			Claudia Pasquel	
		Functional Operative Unit of Participatory Management	Claudia Pasquel	17.07.23
		Directorate of Management of Protected Natural Areas	Deyvis Huaman	26.07.23
		Functional Operating Unit for Natural Resources Management	Carlos Sanchez	
		Tourism Functional Operating Unit	Kiara Julka	
		Functional Operative Unit of Participatory Management	Werhner Atocha	
			Sandro Satetone	
			Claudia Pasquel	

Entity	Headquarters	Line Management / General Management	Official	Date
		Nor Yauyos Cochas Landscape Reserve	Abdias Villoslada Taipe	03.08.23
		Cotahuasi Landscape Reserve	Fabrizzio J. Peralta Cornejo	02.08.23
		Ampay National Sanctuary	Jaime Valenzuela	02.08.23
	Strategic Development Directorate	Head of the Financial Sustainability Functional Operational Unit	Marco Otárola	16.08.23
	Office of Planning and Budget	Head of the Planning and Budget Office	Elizabeth Lucas	16.08.23
	Strategic Development Directorate	Information Management Functional Operating Unit	Carol Durand	08.25.23
Profonanpe	Innovation and Strategic Management Department	Director	Claudia Godfrey	05.30.23
		Specialist	Pamela Reyes	02.08.23
Mountain Institute	Executive Directorate	Executive director	Mirella Gallardo Manuel Asencios	25.05.23 03.08.23
MINAM	General Directorate of Climate Change and Desertification	Directorate of Adaptation to Climate Change and Desertification	Lizzy Kanashiro	08.08.23
			Fiorella Morales	

Source: Own elaboration.

2.5 SWOT analysis

The SWOT analysis for each partner institution for the implementation of the "Resilient Puna" project is presented below.

MIDAGRI

Strengths	Weaknesses ³
<ul style="list-style-type: none"> - Has decentralized offices in the territories. - Has an institutionalized space for intergovernmental and inter-institutional coordination (CGRA) in the process of consolidation. - Has satellite information tools (SIEA); for the climatic information management in the territory. - Has specific lines of subsidies and incentives for women and productive activities applicable to high Andean areas. 	<ul style="list-style-type: none"> - Does not have a monitoring and evaluation culture. - Does not have suitable administrative records that allow the development of quality indicators. - Low level of intra-sectoral, intersectoral and multi-scale coordination. - Does not have incorporated gender or climate resilience approach into their design public investment instruments. - There is no reporting system for their NDCs. - Does not have enough investment in social and human capital.

³ The following documents were revised and some important issues were added: Cannock, G. y otros. (2011). Tercer informe: Intervención pública evaluada. Agrorural, Programa de Desarrollo Productivo Agrario y Rural (Program finance by BID) and PRONAMACHCS, (2004). Gestión participativa de los recursos naturales para el desarrollo sostenible. Experiencia en tres microcuencas altoandinas.

<ul style="list-style-type: none"> - Has recently created the Commission for the Agricultural and Irrigation Sector on Climate Change (CSARCC) ⁴. - It has the Sectoral Committee for Gender Equality, as a space that has begun to promote the mainstreaming of the gender approach in interventions in the sector. - Field experience in assigning successful strategies as funds to communities for their implementation, training of local experts, coordination with local governments, and recovery of ancestral practices, among others. 	<ul style="list-style-type: none"> - Does not have enough support services and technical assistance. - Does not have enough strategies to achieve an impact in terms of socio-economic indicators - The sustainability of the measures promoted/implemented has not been achieved.
Opportunities	Threats
<ul style="list-style-type: none"> - Availability of funds for financing natural infrastructure, as a measure of adaptation to climate change. - The National Gender Equality Policy (PNIG) provides a regulatory framework for the sector to mainstream the gender approach in its interventions. - PCM is working on policy evaluation methodologies for application in the sectors. 	<ul style="list-style-type: none"> - High staff turnover. - Insufficient enabling conditions in high Andean areas: low access to basic services and connectivity, low level of associativity and organization of peasant communities, low level of land titling.

Source: Own elaboration.

SERNANP

Strengths	Weaknesses
<ul style="list-style-type: none"> - Has decentralized offices in the ANPs - Has an Environmental, Social and Indigenous Peoples Management Framework in progressive implementation. - Has successful participatory management mechanisms and instruments for the sustainable use of natural resources for conservation purposes. 	<ul style="list-style-type: none"> - Low incidence of conservation projects and initiatives in high Andean areas. - Limited articulation with MIDAGRI to carry out joint interventions under a conservation approach. - It does not have an effective strategy for engaging with private actors in high Andean areas. - Low levels of investment execution.
Opportunities	Threats
<ul style="list-style-type: none"> - Access to climate finance funds for conservation actions. 	<ul style="list-style-type: none"> - High staff turnover in subnational governments - Insufficient enabling conditions in high Andean areas: low access to basic services and connectivity, low level of associativity and organization of peasant communities, low level of land titling.

Own elaboration.

PROFONANPE

Strengths	Weaknesses
<ul style="list-style-type: none"> - Has clearly documented, updated and defined policies, standards and procedures for the management and monitoring of different 	<ul style="list-style-type: none"> - Does not have specific experience in executing projects with reimbursable <i>grants</i>.

⁴Ministerial Resolution No. 0187-2023-MIDAGRI, which creates the temporary Sectoral Commission under MIDAGRI called "Commission for the Agrarian and Irrigation Sector on Climate Change (CSARCC)

<p>projects finance by different donors, including the GCF.</p> <ul style="list-style-type: none"> - Has recently created a Unit for Indigenous or Native Peoples and is developing a strengthening strategy to work with them. - Has experience in the execution of financial facilities with different financing sources, who have carried out due diligence processes with satisfactory results. 	
Opportunities	Threats
<ul style="list-style-type: none"> - Access to climate finance funds to implement EbA measures and sustainable economic activities resilient to climate change. 	<ul style="list-style-type: none"> - Insufficient enabling conditions in high Andean areas: low access to basic services and connectivity, low level of associativity and organization of peasant communities, low level of land titling.

Source: Own elaboration.

Mountain Institute

Strengths	Weaknesses
<ul style="list-style-type: none"> - Has capacities to implement and scale-up EbA measures and climate resilient practices in puna ecosystems. - Has comprehensive participatory approach methodologies. - Has experience coordinating with different stakeholders. 	<ul style="list-style-type: none"> - Their facilitator training manuals are outdated and do not constitute an effective learning tool.
Opportunities	Threats
<ul style="list-style-type: none"> - Access to financing funds to implement EbA measures and sustainable economic activities resilient to climate change. 	<ul style="list-style-type: none"> - Insufficient enabling conditions in high Andean areas: low access to basic services and connectivity, low level of associativity and organization of peasant communities, low level of land titling.

Source: Own elaboration.

3. Cooperation structure

In this section, the executing entities of the GCF Project will be analysed according to their mandate and functions related to climate change and ecosystem-based adaptation.

3.1 MIDAGRI

The Ministry of Agrarian Development and Irrigation (MIDAGRI) is the governing public body in agrarian matters.

3.1.1 Mandates and responsibilities

MIDAGRI's institutional mission is *"To lead, encourage and promote the competitive, sustainable and decentralized development of the agricultural sector, articulating it to the national and international market, contributing to economic growth, food security and reduction of rural poverty in the country, making sustainable use of natural resources and ensuring the delivery of quality agricultural goods and services"*. (PEI 2019-2027, approved by General Secretariat Resolution No. 0061-2023-MIDAGRI-SG).

The institutional vision of MIDAGRI by 2027 is *"Peru has a prosperous, competitive agriculture that is inserted into the national and international market, through the productivity and quality of its agri-food products."* (Multi-year Sector Strategic Plan 2015-2021, updated to 2027; approved by Ministerial Resolution No. 0166-2022-MIDAGRI).

Table 3 presents the mission of the executing units, programs and public agencies attached to MIDAGRI that will co-finance interventions within the framework of the project: Sierra y Selva Exportadora (SSE), National Agrarian Health Service of Peru (SENASA), National Forest Service and Wildlife (SERFOR), National Institute of Agrarian Innovation (INIA), Irrigation Subsector Program (PSI), Sierra Azul Fund Executing Unit (UEFSA), Rural Agrarian Productive Development Program (Agorrural), and Compensation Program for the Competitiveness (Agroldeas).

Table 3: Mission of MIDAGRI's entities that will co-finance actions within the framework of the project

Entity	Mission	Fountain
SSE	Promote and facilitate access to national and international markets for small and medium-sized agricultural producers organized in the jungle and highlands of Peru for family farming in a competitive and sustainable manner.	Institutional Operational Plan 2024-2026, approved by Executive Presidency Resolution No. 032-2023-MIDAGRI-SSE/PE
SENASA	Exercising its governing role of agricultural health, safety of agricultural food production and primary processing and feed; and, organic production at the service of agricultural producers, actors in the agrifood chain, consumers and subnational governments in an accessible, effective, efficient and transparent manner.	SENASA's Multiannual Institutional Operational Plan 2024-2026, approved by Headquarters Resolution No. 0089-2023-MIDAGRI-SENASA -
SERFOR	Exercise technical and regulatory leadership to manage and promote the sustainability and competitiveness of the forestry and wildlife sector for the benefit of the population and the environment, in an articulated and effective manner.	Institutional website

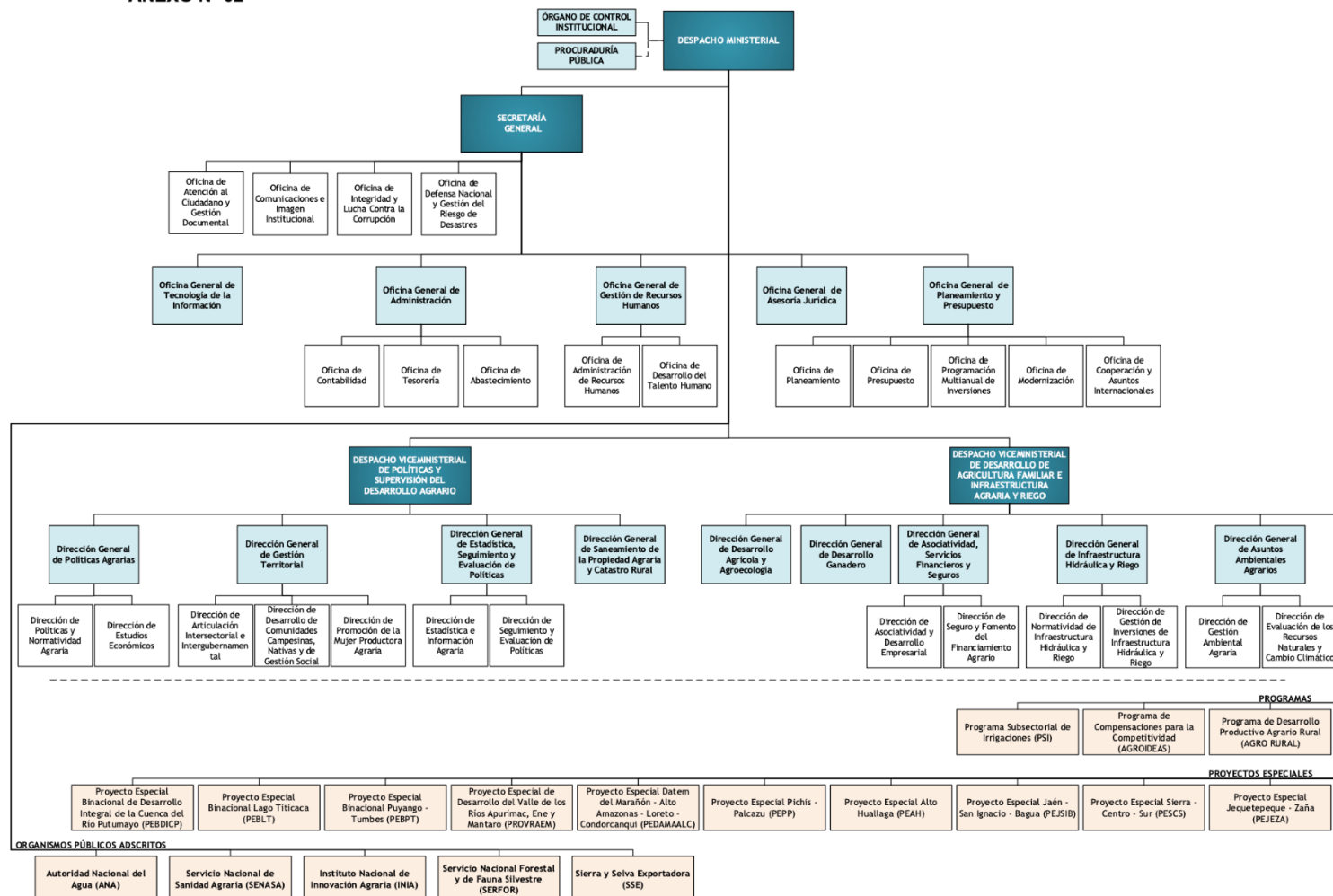
Entity	Mission	Fountain
INIA	Manage innovation and value agrobiodiversity for agricultural producers through development and transfer of sustainable technologies.	INIA Institutional Operating Plan 2023, approved by Directorial Resolution No. 004-2022-INIA-OPP
PSI	Promote comprehensive and sustainable development of irrigation systems at the national level, improving infrastructure, strengthening water user organizations, making irrigation more technical, contributing to improving irrigation efficiency and, therefore, increasing the profit capacity of agriculture. .	PSI Institutional Strategic Plan 2017-2019, approved by Directorial Resolution No. 407-2017-MINAGRI-PSI
UEFSA	Strengthen the development and expansion of irrigation infrastructure and technology in sowing and harvesting water through the execution of public investment projects. Likewise, provide training and technical assistance in irrigation matters to users and organizations, with standardized and transparent processes.	Institutional website
AGRORURAL	Lead, foster and promote the competitive, sustainable and decentralized development of the agricultural sector, articulating it to the national and international market, contributing to economic growth, food security and reduction of rural poverty in the country; sustainably taking advantage of natural resources and ensuring the delivery of quality agricultural goods and services	Multiannual Institutional Operational Plan 2023-2025 for AgroRural
AGROIDEAS	Increase the competitiveness of agricultural production of medium and small producers through the promotion of associativity, business management and the adoption of environmentally appropriate agricultural technologies.	Multiannual Institutional Operating Plan 2022-2024 of Agroideas

Source: Own elaboration.

3.1.2 Organization chart and staff

Illustration 1. MIDAGRI organization chart

ANEXO N° 02



Source: RM No. 0080-2021-MIDAGRI (ROF MIDAGRI).

3.1.3 Offices and resources

Table 4 shows the decentralized bodies that MIDAGRI has in the territory, within the scope of the project. Likewise, Annex 1 presents the detail of the personnel of each of the decentralized bodies according to the executing unit, program or OPA of MIDAGRI.

Table 4: MIDAGRI resources in the scope of the project

Entity	Entity Resources	Resources in the scope of the project
SSE	SSE has decentralized bodies (Sedes) that disseminate, propose and execute SSE activities and functions. The areas of intervention of these decentralized bodies can cover one or more regions depending on economic corridors. According to the Multiannual POI 2022-2024, SSE has 20 decentralized offices nationwide with a scope in 22 departments.	Decentralized bodies in Apurímac, Arequipa, Cusco, Puno and Lima.
SENASA	SENASA has decentralized bodies called Executive Directorates (DE), which constitute the operational level of the institution and carry out the management to achieve the objectives established in the planning instruments. These decentralized bodies have jurisdiction in their geographical area, and are in charge of executing the established programs, projects and activities.	SENASA Apurímac, SENASA Arequipa, SENASA Cusco, SENASA Lima, and SENASA Puno.
SERFOR	SERFOR has deconcentrated bodies of local action called Technical Forestry and Wildlife Administrations (ATFFS); who, in turn, are constituted as Regional Forestry and Wildlife Authorities.	ATFFS Apurímac ATFFS Arequipa ATFFS Cusco ATFFS Lima and ATFFS Puno.
INIA	INIA's decentralized bodies are the Agrarian Experimental Stations (EEA), which support the line bodies in the execution of their operational plans; they provide experimental fields; They ensure technological and operational services, and assume within their scope of action the SNIA management functions that are delegated to them. It has 24 EEAs distributed nationwide.	It has 5 offices: EEA Chumbibamba in Apurímac, EEA Arequipa, EEA Andenes in Cusco, EEA Illpa in Puno and EEA Santa Ana in Junín from which the Yauyos area in Lima is covered.
PSI	The PSI has as decentralized units the Zonal Management Units (UGZ), who are in charge of coordinating its activities in the territorial area of intervention of the Program.	It has 2 UGZ, however, these cover more than 1 department: (1) UGZ Arequipa, which includes Arequipa, Moquegua, Tacna and Puno, and (2) UGZ Cusco, which includes Cusco and Apurímac.
UEFSA	FSA does not have deconcentrated bodies/units.	-
agrorural	Agro Rural has decentralized units called Zonal Units (UZ), which are in charge of executing the technical, operational and administrative processes in terms of irrigation infrastructure, soil conservation, forestry development, agricultural productive development, disaster risk prevention and management. natural; as well as the sale and distribution of guano from the islands, in their	It has 5 UZ: UZ Apurímac UZ Arequipa UZ Cusco U.Z. Lima, and UZ Puno.

Entity	Entity Resources	Resources in the scope of the project
	respective areas of intervention and in coordination with the Functional Units of the Program.	
Agroideas	Agroideas has decentralized units called Regional Units (UR) who are in charge of coordinating, executing and controlling the interventions of the Program in their territorial scope. Likewise, they provide support to the Line Functional Units, at their request, contributing to the fulfilment of the purpose and object of AGROIDEAS.	It has 5 UR: UR Apurimac - Abancay, UR Arequipa, UR Cusco, UR Lima – Cañete Headquarters, and UR Puno.

Source: Own elaboration.

3.1.4 Expected changes

In the short term, the sector is expected to: (1) improve its intra-sectoral articulation to increase and strengthen its interventions in high Andean areas under the EbA and climate resilience approaches; (2) train and sensitize its officials in the gender approach in the framework of public management; (3) promote a culture of performance evaluation, through monitoring and evaluation of its projects and interventions; and (4) promote the use and analysis of climate information for decision-making and planning of interventions in the territory.

In the medium term, it is expected that the sector: (1) consolidate its CGRAs in the sphere of influence of the project and promote the participation of peasant communities in these platforms; (2) complete the process of mainstreaming the gender approach in the prioritised goods and services of the National Agrarian Policy; (3) incorporate the EbA and climate resilience approaches into its investment gaps linked to natural infrastructure, including support to social capital development; (4) improve the promotion of its lines of subsidies and incentives in the high Andean areas; and (5) implement a reporting system for sectoral NDCs.

3.2 SERNANP

The National Service of Natural Areas Protected by the State is the governing body of the National System of Natural Areas Protected by the State (SINANPE), and in its capacity as technical-regulatory authority, it carries out its work in coordination with regional and local governments and property owners. Its purpose is to conserve the vast biodiversity of Peru, as well as to bring the protected natural areas (ANPs) closer to the population, to make it possible for everyone to take advantage of the resources they provide in a sustainable manner. Particularly, within the scope of the project, it is in charge of managing the following ANPs: (1) Cotahuasi Sub-Basin Landscape Reserve, (2) Salinas and Aguada Blanca National Reserve, (3) Nor Yauyos-Cochas Landscape Reserve and (4) National Sanctuary from Ampay.

3.2.1 Mandates and responsibilities

SERNANP's mission is " *Lead the System of National Protected Natural Areas of Peru with a landscape, adaptive and participatory approach, for the conservation of biological diversity and the provision of ecosystem services that contribute to sustainable development.* " (SERNANP Institutional Strategic Plan 2022-2026)

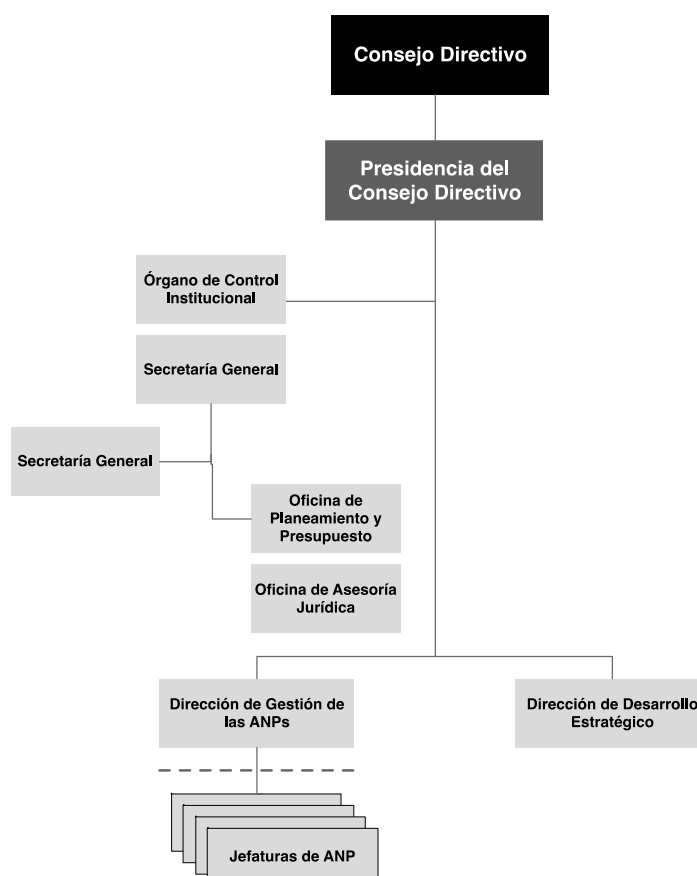
SERNANP's vision is " *Society values the environmental, cultural, social and economic benefits it receives from the representative ecosystems present in protected natural*

areas and actively contributes to their conservation." (SERNANP Institutional Strategic Plan 2022-2026).

3.2.2 Organizational chart and staff

Illustration 2 shows the organisation chart of SERNANP.

Illustration 2. SERNANP organisation chart



Source: SERNANP (web)

ANP chiefs manage each protected area. They are in charge of a team of specialists and park rangers. In addition, they are the highest authority within the ANP. Among its main functions are control and surveillance, environmental education, monitoring of wild flora and fauna, among others. In the sphere of influence of the project, SERNANP has 4 ANPs: (1) Salinas and Aguada Blanca National Reserve, (2) Cotahuasi Sub-Basin Landscape Reserve, (3) Reserve Landscape Nor Yauyos – Cochas and, (4) National Sanctuary of Ampay.

3.2.3 Offices and resources

SERNANP has offices throughout the country. The offices linked to the ANPs in the scope of the Project are: (1) Arequipa - Yanahuara Headquarters, (2) Arequipa - Cotahuasi Headquarters, (3) Junín - Huancayo Headquarters, and (4) Apurímac Headquarters. [Annex 2](#) presents the staff detail of each ANP Headquarters, according to the Staff Assignment Table, approved by Supreme Resolution No. 014-2010-MINAM.

3.2.4 Expected changes

In the short term, SERNANP is expected to: (1) improve its coordination with MIDAGRI to attract resources from its subsidy programs; (2) promote the conservation approach in puna ecosystems for the sustainable use of natural resources; and (3) train its officials at headquarters and in the territories in management of public investment.

In the medium term, SERNANP is expected to: (1) complete the implementation of the MGAS-SINANPE; (2) promote mechanisms to attract private financing in high Andean areas; (3) implement participatory management mechanisms for conservation purposes in puna ecosystems for the sustainable use of natural resources; and (4) diversify the tourism offer in the prioritised ANPs.

3.3 PROFONANPE

Profonanpe is a private environmental fund whose purpose is to promote the sustainability of life by connecting humanity with the environment. It is specialized in the collection, administration and channelling of financial resources for the execution of programs and projects that contribute to the conservation of biodiversity, environmental remediation, and mitigation and adaptation to climate change.

Thus, it is the National Implementation Entity (ENI) of the Adaptation Fund (FA) in Peru since March 2014 and is the Direct Access Entity (DAE) of the Green Climate Fund (GCF) since March 2015 and, therefore, the nationally accredited institution to execute financial resources from both climate funds.

3.3.1 Mandate and responsibilities

PROFONANPE's mission is " *Manage collaborative projects that have a positive impact on the environment and people.*" (Annual Report 2021)

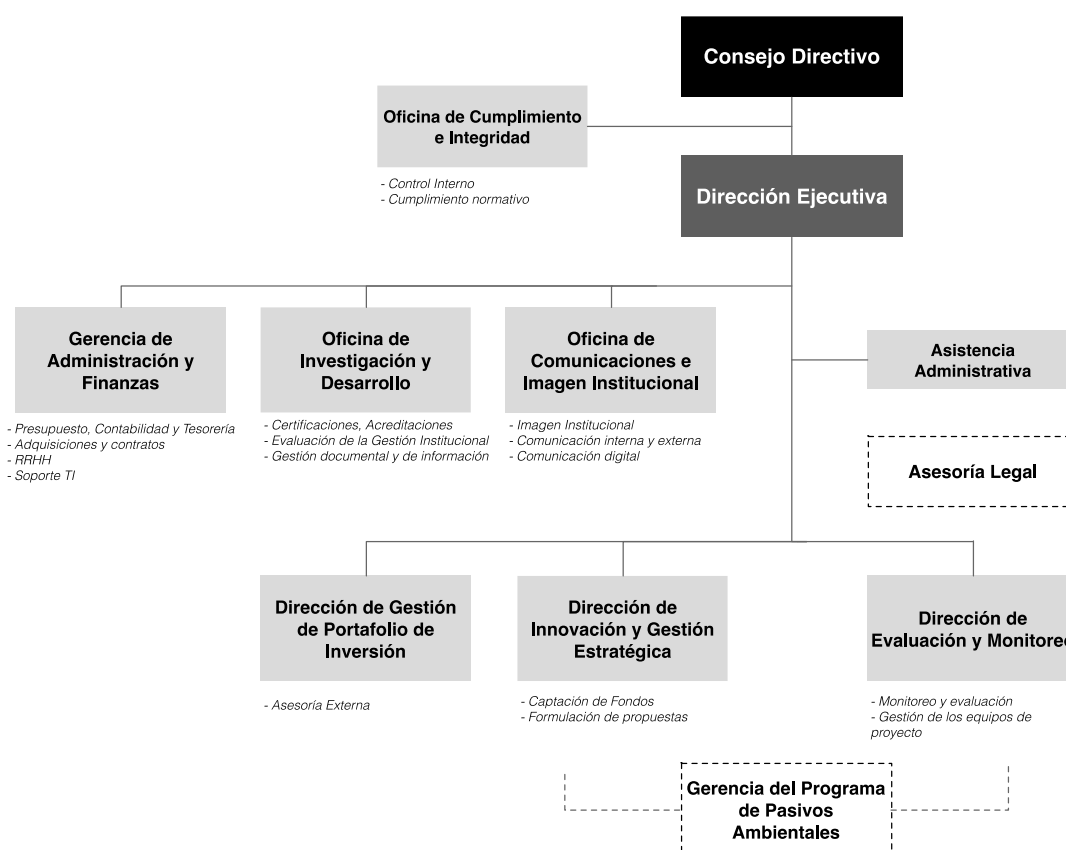
PROFONANPE's vision is " *To be the reference ally in Latin America for the implementation of the environmental agenda.*" (Annual Report 2021)

In accordance with the Profonanpe Organization and Functions Regulations, approved by Supreme Decree No. 001-2021-MINAM, Profonanpe has the following functions related to the project:

- Contribute to the conservation, protection and management of ANPs.
- Contribute to finance activities to strengthen the technical and operational capacity of SERNANP, for the optimal fulfilment of its purposes regarding the operation, protection and management of ANPs.
- Promote the protection of the environment, the strengthening of environmental management, the sustainable use of natural resources and environmental heritage.

3.3.2 Organizational chart and staff

Illustration 3. PROFONANPE organization chart



Source: Annual Report (PROFONANPE, 2020)

3.3.3 Offices and resources

According to the 2021 Institutional Report, Profonanpe has a new institutional headquarters at the intersection of Félix Dibós and Manuel Gonzales Prada streets in the Magdalena del Mar district in Lima.

Regarding to financial resources, the 2022 Management Report indicates that, as of December 31, 2022, Profonanpe manages 9 equity or long-term investment portfolios, 3 extinct or short-term portfolios and 4 trusts for a total value of USD 192 million, which represents a growth of 18% compared to the end of 2021 (+USD 29 million). The increase in funds is due to the inclusion of the new Cima endowment fund, due to the sale of carbon credits in the Cordillera Azul National Park National Protected Area in alliance with SERNANP (+USD 27 million), as well as an increase in funds invested in the FONAM III trust by the Peruvian Government (+USD 3 million).

According to the 2020 Management Report, at the end of 2020 Profonanpe had 108 workers (including internships), of which 49 were part of the central structure (45.4%) and the difference 59 worked prominently in the project portfolio. in execution (54.6%). Due to Profonanpe's modernization process and the characteristic of working based on specific projects and of limited duration, most of the personnel are new with less than two years in the institution. The lack of permanence of personnel within the institution has tried to compensate with a higher level of skills. Likewise, the new characterization of the institution's staff has a young face. 70.3% of the staff is under 45 years of age.

3.3.4 Expected changes

In the short term, PROFONANPE is expected to strengthen its capacities for (1) the implementation of repayable *grants*; and (2) adaptive management in the project cycle, together with the members of the Project Management Committee (CGP).

In the medium term, continuous improvement of the project's safeguards processes is expected.

3.4 Mountain Institute (IdM-in Spanish (Instituto de Montaña)

Mountain Institute is a Non-Governmental Organization (NGO) that has been working in the Andes of Peru since 1996. It has an inclusive approach that is complemented by sustainable development, modern science and traditional knowledge.

His work focuses on helping Andean communities become more resilient as they adapt to climate change. In this sense, they create more sustainable mountain economies while protecting ancient cultures and fragile ecosystems.

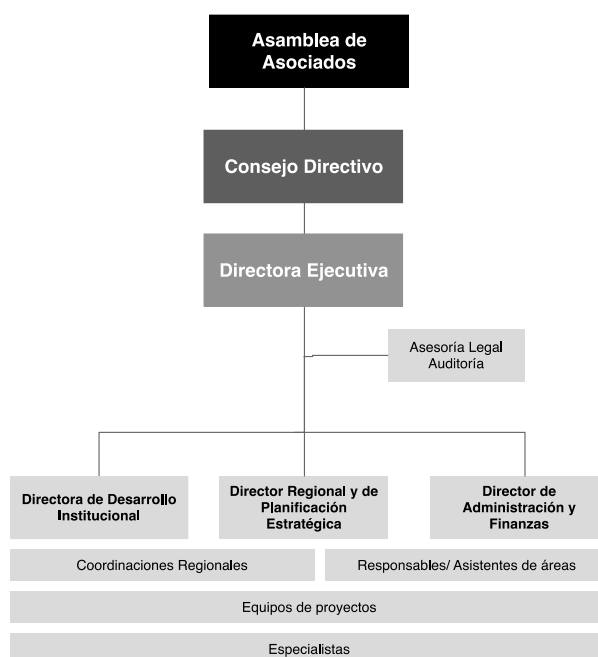
The IdM has grown significantly in the last 20 years and is now recognized as one of the leading NGOs in Peru. In mid-2020, it became an independent NGO from the headquarters in USA.

3.4.1 Mandate and responsibilities

The mission of the IdM is “Support *men and women of mountain communities so they can prosper in healthy environments based on sustainable economies, ecosystem conservation, research and innovation, all grounded in their own cultures and spirituality*”.

3.4.2 Organizational chart and staff

Illustration 4. IdM Organization Chart



Source: Organization and Functions Manual, 2020

The IdM Executive Directorate is in charge of the search for financing opportunities, formulation of program and project proposals, institutional representation, management

of ongoing projects (M&E, support) and performance evaluation. The Institutional Development Directorate advises the Executive Directorate, performs institutional representation functions, directs the area of knowledge management and communication, and directs ongoing projects (M&E). For its part, the Regional and Strategic Planning Directorate performs functions of regional institutional representation, strategic planning, induction and strengthening of the team's capacities in institutional values and approach. Regarding the Directorate of Administration and Finance, it performs institutional budget and project planning functions, budget control and supervision, and formulates and monitors contracts.

3.4.3 Offices and resources

IdM has an office in Lima at 408 Vargas Machuca street, in the Miraflores district.

According to the Staff Manual (2020), IdM has 14 functional positions. See **Table 5**.

Table 5: IdM functional charges

functional position	Cluster
Project Assistant I	Support
Office Assistant	
drivers	
Project Assistant II	
Administrative assistant	
counted	
Director's assistant	
Specialists Subject Areas	Controls
Project Coordinators	
Regional Coordinators	
Administration and Finance Manager	Executives
Institutional Development Manager	
Project manager	
Executive Director	

Source: Personnel Manual, 2020

3.4.4 Expected changes

In the short term, IdM is expected to have adequate training tools for the training of project facilitators.

4. Analysis of existing capacity in relation to the GCF Resilient Puna project

This section identifies the current technical capacities of the partners for the implementation of the GCF project. The analysis is made based on the five functional management capacities necessary to formulate, implement and review policies, strategies, programs and projects. These five functional capacities are: (1) Capacity to engage with different stakeholders; (2) Capacity to analyse a situation and define a vision and mandate; (3) Capacity to formulate policies and strategies; (4) Capacity to develop, manage and execute budgets; and (5) Capacity to monitor & evaluate interventions.

4.1 MIDAGRI

The current situation of the MIDAGRI capacities is summarized in **Table 6** and the narrative evidence is presented in **Table 7**, **Table 8**, **Table 9**, **Table 10** and **Table 11**.

Table 6. Current situation of MIDAGRI's technical capacities

Functional Capacity	Technical Capacity	Current situation
Capacity to engage with different stakeholders	Get involved with peasant communities and producer organizations	Sectoral interventions in rural communities are limited.
		Insufficient institutionalized spaces in the sector to gather demands from peasant communities.
	Promote and scale innovations considering ancestral knowledge and technology transfer	The sector has a regulatory framework and adequate tools to promote and scale innovations that consider ancestral knowledge and technology transfer.
		Adequate capacity to scale innovations and transfer technology within the scope of the project.
		Insufficient innovative methodologies for knowledge and technology transfer.
		Inadequate indicators for monitoring and evaluating the effectiveness of knowledge and technology transfer processes.
		There are not enough labour competency standards for agricultural activities in high Andean areas.
Capacity to analyse a situation and define a vision and mandates	Implement EbA measures and climate resilient value chains with a gender approach	The sector has defined competencies (functions) to promote agricultural development in peasant communities; however, it is in the process of implementation.
		The sector has defined competencies (functions) to mainstream the gender approach in the design of agricultural and irrigation activities; however, this process is a prospective and medium to long-term work.
		The sector has competences to develop specific guidelines, methodologies and tools that incorporate gender and climate resilience approach in the sector regulation and policy frameworks, however capacities to this are limited.

Functional Capacity	Technical Capacity	Current situation
		Limited capacities of the technical areas in terms of monitoring and evaluation of the interventions carried out by the sector.
Capacity to formulate policies and strategies	Articulate subsidy programs in high Andean areas	Limited capacities to coordinate sector subsidies in the territory
		The sector has various lines of subsidies (incentives), however there is little promotion of these in high Andean areas.
	Capacity to attract new private funds to finance EbA measures and sustainable economic activities resilient to climate change	It does not have specific mechanisms or protocols to attract funds from the private sector.
	Formulation of policies and norms	The sector has the capacity to implement the EbA approach at the operational level, but however capacities are limited.
Capacity to develop, manage and execute budgets	Capacity to implement EbA measures and climate resilient value chains	Limited capacities to implement EbA measures climate resilient value chains.
		MIDAGRI's programs with potential to integrate EbA and climate resilience approach.
		The sector has various subsidies and incentive programs, however the high Andean areas do not meet eligibility conditions.
	Budget planning, management and implementation with an EbA, gender, and climate resilience approach	The sector has budget planning instruments, but these are limited in terms of gender focus and climate resilience.
	MIDAGRI's programs coordination in the territory to implement EbA measures and climate resilient value chains	Limited intrasectoral coordination to implement EbA interventions and climate resilient value chains.
		Limited intergovernmental articulation to execute EbA interventions and sustainable economic activities resilient to climate change.
Capacity to monitor & evaluate interventions	Coordinate with other sectors to facilitate EbA and climate resilient value chains	Limited capacity to coordinate with other sectors for interventions in the territory.
	Monitor the impact of EbA measures and analyse climate information	Available of climate satellite information tools but insufficient diffusion for their use and application in decision-making.
		The sector has been implementing the Register of Agricultural Producers (PPA) that will allow for district and personalized information on agricultural producers.
		Limited implementation of the monitoring system for livestock activities.
		There is no follow-up and evaluation of the sector's interventions in terms of sowing and harvesting water. Likewise, there are no convincing parameters or indicators that allow evaluating the effectiveness of what is being carried out.
		There is no monitoring and reporting system for sectoral NDCs.

Functional Capacity	Technical Capacity	Current situation
	Monitor and report commitments under the NDCs	Indicators present design problems regarding specificity, measurement, relevance, temporality and performance ⁵

⁵It refers to the fact that they can be evaluated with the resources and technical experience of the entity.

Table 7. Technical capacities to engage with different stakeholders

Technical Capacity	Current situation	Narrative Evidence
Get involved with local communities and producer organizations	Sectoral interventions in peasant communities are limited.	The DCCNGS has been making efforts to implement pilots with the objective of identifying the departments where there are a greater number of communities. Pilots have been completed in the departments of San Martín and Ayacucho; and they plan to intervene in the departments of Apurímac, Huancavelica and Áncash. After concluding with the pilots, the DCCNGS plans to sensitize OPAs, Executing Units and MIDAGRIs' Programs that deliver services in the territory to increase the number of sectoral interventions in community areas.
		MIDAGRI delivers public services to producers organized under a demand approach. One of the main limitations to increase sectoral interventions in communal territories is the low level of associativity in the communities.
	Limited institutionalized spaces in the sector to collect demands from peasant communities	The communities channel their demands through the permanent Multisectoral Commission in charge of promoting, monitoring and supervising the implementation of strategic measures and actions for the integral development of indigenous peoples, led by the Ministry of Culture ⁶ ; where MIDAGRI is in charge of productive activities and land titling.
		On the other hand, some decentralized bodies such as AgroRural and SERFOR receive demands from communities. Thus, SERFOR, through General Management Resolution No. D000048-2022-MIDAGRI-SERFOR-GG, creates the Community Forest Management Functional Unit -UFMFC dependent on the Executive Directorate, which is constituted as a space for coordination, articulation, accompaniment, facilitation, orientation and follow-up at the national level for forestry and wildlife management in native communities and peasant communities.
		Currently, the DCCNGS only articulates with Regional and Local Governments through the CGRAs ⁷ to reach agricultural producers. In the future, he hopes to open a space within the CGRAs that allows working directly with communities.

⁶Supreme Decree No. 005-2021-MC, which creates the permanent Multisectoral Commission in charge of proposing, monitoring and supervising the implementation of strategic measures and actions for the comprehensive development of indigenous or native peoples in the country.

⁷Ministerial Resolution No. 0211-2017-MINAGRI, which approves the Regulation of the Regional Agrarian Management Committees, and its modification through Ministerial Resolution No. 0206-2021-MIDAGRI.

Technical Capacity	Current situation	Narrative Evidence
Promote and scale innovations considering ancestral knowledge and technology transfer	The sector has a regulatory framework and adequate tools to promote and scale innovations that consider ancestral knowledge and technology transfer	MIDAGRI has the Law No. 31368, Law that regulates the agricultural extension service ⁸ ; where the INIA is responsible for the regulatory development and supervision of agricultural extension and the granting of the respective accreditation, corresponding to the regional and local governments the implementation of the provisions set forth in this regulation in the framework of competence promoter within the territorial limits.
		To date, INIA has completed the proposal for the regulation of the Law that regulates the agricultural extension service, which is under evaluation of the Regulatory Impact Analysis in PCM.
		The Regulation contemplates the implementation of the National Registry of Agricultural Extension Service Providers (RNPSEA), whose administration and progressive implementation is the responsibility of MIDAGRI through INIA. The RNPSEA plans to include all types of Technical Assistance Providers (PAT), that is: companies, technicians, yachachiq, kamayoc, rural talent, among others. The requirements to enter the registry will be announced once the Regulations are approved. For INIA, the yachachiq, kamayoc and rural talents are front-line agricultural extension providers in the territory; therefore, they will be included and made visible in the RNPSEA. It should be noted that INIA has foreseen that this type of provider will be exempt from presenting competency accreditation requirements (as if the firms will be, for example).
		Being registered with the RNPSEA will generate a series of benefits for service providers, such as: access to information, training, and opportunities to be part of extension services through programs, projects, and activities in the sector.
		Currently, INIA has the support of UNDP for the implementation and promotion of the RNPSEA through a pilot in the departments of Ucayali, Huánuco and Pasco, which includes training and awareness actions, among others.
		INIA has an institutional repository for public access that contains technical-scientific publications, totalling 2,100 publications as of June 2023. On the other hand, although each OPA or executing unit has information repositories, these are not standardized and not all of them include an inventory of ancestral knowledge.
		SERFOR, through the Knowledge Management Department (DGC), prepares the Knowledge Management Plan for the forestry and wildlife sector; that collects, systematizes and disseminates the experiences and ancestral knowledge of peasant and native communities in forestry and wildlife matters.

⁸ Approved on November 15, 2021.

Technical Capacity	Current situation	Narrative Evidence
	Adequate capacity to scale innovations and transfer technology within the scope of the project	<p>INIA has 25 Agrarian Experimental Stations (EEA) distributed nationwide, 24 in each department of Peru and 1 macro-regional in the VRAEM; where research, technology transfer and agricultural extension activities are carried out. In addition, agricultural services are offered such as nurseries, laboratories, genetic nuclei of native and introduced breeds of farm animals for the production of breeding stock, etc. Within the scope of the GCF Project, INIA has 5 offices: (1) EEA Chumbibamba in Apurímac, (2) EEA Arequipa, (3) EEA Andenes, and (4) EEA Santa Ana in Junín from where it provides services to the area of Yauyos in Lima, and (5) EEA Illpa in Puno. It should be noted that, currently, INIA is formulating an investment project for the improvement of infrastructure and strengthening of prioritised EEA capacities, which will be financed with resources from the Inter-American Development Bank (IDB).</p> <p>The generation of knowledge follows a process of investigation, validation and enhancement through technology; however, by not having a strong line of extension services, the efforts of the different takeover bids are diluted.</p> <p>The technological offer to mitigate the effects of climate change exists; however, they are not applied, or the subsidies or incentives do not incorporate them into their designs.</p>
	Insufficient innovative methodologies for knowledge and technology transfer	<p>According to the "Methodological Guide for the Transfer of Agricultural Technology" (2016), INIA has the following tools to transfer agricultural technology: Training Courses (modular, virtual, with demonstration plot, video conferences), with demonstration plots (Demonstration of Methods, Field Day, Guided tour, agronomic tour), Internships, Technical Talks, ECAS, and Technical Assistance Modules (MAT, Plant Clinic). In addition, it has publications, radio programs, audiovisuals and technical material for dissemination (technical sheets and brochures).</p> <p>However, there is interest in implementing successful innovative methodologies in other countries, such as the "field days" applied in New Zealand, for example. They also plan to implement methodologies such as "peer training" in the future, with the aim of multiplying knowledge from producer to producer; as well as incorporating the gender approach in technology transfer processes ⁹.</p> <p>In general, the agricultural extension approaches of the sector continue to be vertical (generate the package and deliver it), not necessarily favouring adoption, adaptation and co-innovation.</p> <p>The sector does not have an agricultural extension system.</p>
	Inadequate indicators for monitoring and evaluating the effectiveness of	<p>The MIDAGRI indicators related to technology transfer are very limited, since they only collect data on the number of events and the number of attendees. This type of indicator does not allow measuring the efficiency or impact of the transfer of knowledge and technology on agricultural producers.</p>

⁹According to information collected in the interviews, 70% of livestock activities are carried out by women.

Technical Capacity	Current situation	Narrative Evidence
	knowledge and technology transfer processes	Follow-up is not carried out on the people trained to assess whether the transfer of knowledge and technology was effective.
	There are not enough labour competency standards for agricultural activities in high Andean areas	The sector does not have enough labour competency certifications for agricultural activities in high Andean areas, which are important tools for the recognition of capacities. It should be noted that the sector had a certification for bovines but lost it due to lack of demand; Likewise, the certification for the classification of alpaca fibre was obtained at SINEACE, but when the functions were changed to the MTPE, they were lost.
		Currently, the General Directorate for Livestock Development (DGDG) is working on generating labour competency standards within the framework of the MTPE, to obtain alpaca fibre classification and shearing certifications. On the other hand, SERFOR is working on the formulation of the Functional Map of the production chain of Wild Camelids - Vicuña, according to the criteria established by the Ministry of Labour and Employment Promotion -MTPE, the governing institution in labour matters. Which will allow the certification of skills in shearing, dehairing and other tasks in the vicuña and its fibre chain.

Table 8. Technical capacities to analyse situations and define a vision and mandate

Technical Capacity	Current situation	Narrative Evidence
Implement EbA measures and climate resilient value chains with a gender approach	The sector has defined competencies (functions) to promote agricultural development in peasant communities; however, it is in the process of implementation.	In the last restructuring of MIDAGRI (2021), ¹⁰ the Directorate for the Development of Peasant, Native Communities and Social Management (DCCNGS) was created, as a line directorate of the General Directorate of Territorial Management (DGGT). The DCCNGS has the following functions aligned with the project: (a) Promote and coordinate capacity building for regional and local governments, peasant communities, native communities, and indigenous or native peoples for agrarian development; and (b) Design and propose normative technical instruments, programs and projects that promote the agrarian development of peasant communities, native communities and indigenous or native peoples.
		The DCCNGS is a relatively new directorate that is in the process of consolidation within MIDAGRI. It has budgetary limitations for the adequate fulfilment of its functions.

¹⁰Regulation of Organization and Functions MIDAGRI approved by Ministerial Resolution No. 0080-2021-MIDAGRI.

Technical Capacity	Current situation	Narrative Evidence
	The sector has defined competencies (functions) to mainstream the gender approach in the design of agricultural and irrigation activities; however, this process is a prospective and medium to long-term work.	<p>In the last restructuring of MIDAGRI (2021), ¹¹the Directorate for the Promotion of Women Agricultural Producers (DPMPA) was created as a line directorate of the General Directorate of Territorial Management (DGGT). The DPMPA has the following functions aligned with the project: (1) Articulate, propose and promote that the technical regulatory instruments and mechanisms for the development of agricultural and irrigation activities incorporate the participation of women agricultural producers in interventions in the three levels of government; (b) Design goods and services for the participation of women agricultural producers in agricultural activity, considering their interests and needs within the framework of the sectoral policy; (c) Supervise the implementation of the instruments and mechanisms for the promotion of women agricultural producers in agricultural and irrigation activities; (d) Provides technical assistance and training to programs, special projects and public agencies attached to the Ministry, regional and local governments, for the better provision of services to women agricultural producers; and (e) Propose technical content for communications and awareness about gender gaps in the Sector; as well as the initiatives and innovative practices of women agricultural producers and actions to promote the participation of women agricultural producers in sectoral policy, in coordination with the Office of Communications and Institutional Image.</p> <p>The main mandate of the DPMPA is to encourage all MIDAGRI interventions to incorporate women agricultural producers; and that is achieved by mainstreaming the gender approach. The DPMPA has been deploying efforts on this issue through the Sectoral Committee for Gender Equality ¹²; which is made up of different instances of MIDAGRI. Currently, the DPMPA chairs this commission.</p> <p>The first line of work of the DPMPA is the mainstreaming of the gender approach in five prioritised services of the National Agrarian Policy (PNA) ¹³: (1) Access to financing, (2) Titling, (3) Access to water, (4) Technical assistance and training and, (5) Access to markets. It should be noted that the PNA does not have a gender focus. This work is expected to be carried out between 2023-2024; It is a medium-term process.</p> <p>Work has begun with the financing access service, for which they are receiving partial technical assistance from the Ministry of Women and Vulnerable Populations (MIMP), an entity that has not yet developed specific tools that effectively help to mainstream the gender approach in the services.</p> <p>As a first step, they are preparing a self-diagnosis that will make it possible to identify the situational status of the financing access service; and if it has the minimum elements to be able to start a process of mainstreaming the gender approach. The provider of this service is AGROIDEAS through the</p>

¹¹Regulation of Organization and Functions MIDAGRI approved by Ministerial Resolution No. 0080-2021-MIDAGRI.

¹²Approved by Ministerial Resolution No. 0313-2022-MIDAGRI.

¹³Of 22 services identified in the National Agrarian Policy. See Annex 8.

Technical Capacity	Current situation	Narrative Evidence
		<p>implementation of business plans. Based on the results of the self-diagnosis, the DPMPA will define a roadmap for mainstreaming the gender approach of the service.</p> <p>The second line of work is approval of protocols and/or guidelines for 3 PNA services: (1) Access to financing, (2) Titling and, (3) Technical assistance and training; within the framework of compliance with the National Gender Equality Policy (PNIG) ¹⁴. The DPMPA is about to conclude the guidelines for the technical assistance and training service, which is approved by Ministerial Resolution, being mandatory. These guidelines have been built collaboratively with all instances that provide some kind of technical assistance and training service at MIDAGRI.</p> <p>What is sought is to incorporate the gender approach in the methodology or in the procedure in which these services are provided. It should be noted that both the gender mainstreaming process in prioritised services and the protocols and/or guidelines dialogue. The protocol is a normative instrument, methodologically defined to approach the incorporation of the gender approach; while the work of mainstreaming the gender approach in the prioritised services lands the focus at the operational level.</p> <p>Once the guidelines are approved, they must be disseminated to all OPAs, executing units and MIDAGRI programs that have training and technical assistance competencies.</p> <p>The third line of work of the DPMPA is the generation of evidence. Beyond the accounting of male – female participation in MIDAGRI services; there is little evidence of the substantial exercise of rights that women have in agriculture. The sector has an underreporting of the work of agrarian women. For example, when a woman feeds or grazes animals, many times, it is not related that it is a job; and is classified as housework. The DPMPA has started a work process articulated with the Directorate of Statistics and Agrarian Information (DEIA).</p> <p>As a first step, through a panel of experts, they will analyse and establish the information gaps in the sector in terms of gender, identifying what information the sector has in terms of evidence and how the instruments for collecting information could be improved. From this, a work roadmap will be established.</p> <p>It is important to mention that there are two levels of work in terms of mainstreaming the gender approach. On the one hand, the MIDAGRI Human Resources Office (ORH) seeks to make visible, disseminate and spread the issue of the gender approach among public officials. In this line, the DPMPA joins efforts with the ORH to carry out workshops on the gender approach in public management, within the framework of strengthening the institution's capacities. Although there are efforts from the sector to address this issue, the scope is limited and insufficient. This is evident in the general understanding that public officials have about the gender approach; where it is believed that counting the participation of men and women already includes the gender approach. Clearly this is a great challenge for the sector, and specifically for the</p>

¹⁴ Approved by Supreme Decree No. 008-2019-MIMP.

Technical Capacity	Current situation	Narrative Evidence
		<p>DPMPA; because if there is no understanding of the gender approach, it will be difficult for the sector to apply norms, guidelines and protocols that include this approach.</p> <p>On the other hand, the DPMPA works to mainstream the gender approach of the services and goods of the sector aimed at agricultural producers, where the focus lands at the operational level.</p> <p>Finally, it is important to mention that the DPMPA comprehensively promotes the gender approach. Although it has the specific mandate to make women in agriculture visible, there are clearly other elements that are closely related, such as gender violence, or the overload of care work for rural women; and how these elements make it difficult for a woman to better develop her economic activity.</p>
		<p>The MIDAGRI Human Resources Office prepares the People Development Plans (PDP) where both the organic units and affiliated organizations and programs request their training requirements. The implementation of these trainings is limited due to the reduced budget allocated.</p> <p>For example, the PDP 2023 of MIDAGRI, INIA, Agroideas and SERFOR establish training needs in a gender approach; however, no budget has been assigned to them.</p>
	<p>The sector has competences to develop specific guidelines, methodologies and tools that incorporate the gender and climate resilience approach in planning, budgeting and investments in the sector; however, these are insufficient.</p>	<p>The General Office of Planning and Budget (OGPP) of MIDAGRI, has the following functions aligned with the project: (a) Propose and approve directives and rules of application in the institutional sphere related to the Administrative Systems of Public Budget, Strategic Planning, Investment Public and Modernization of Public Management; (b) Coordinate the actions related to the Multiannual Investment Programming, according to the norms and technical guidelines on the matter; and (c) Conduct agricultural planning and a monitoring and evaluation system, articulating the national, regional and local levels, in accordance with the National System of Strategic Planning with a territorial approach.</p>
		<p>Indicators for public investment projects do not incorporate the gender or climate resilience approach into their design.</p>
		<p>The MIDAGRI Office of Mutianual Investment Programming (OPMI) developed the Guidelines for the incorporation of Risk Management in a Context of Climate Change in water projects for irrigation ¹⁵; however, in practice they are not applied either by sector entities or by subnational governments. They point out that one of the causes of the low application of these guidelines in investments is the lack of dissemination.</p>
		<p>The Planning Office (OPLA) is in the process of formulating to incorporate the gender approach in the Multiannual Sector Strategic Plan (PESEM), under the guidelines of CEPLAN and the Ministry of Women and Vulnerable Populations. In addition, within the framework of said update, work has begun on resilience in good practices with producers. This will allow addressing issues associated with climate change, such</p>

¹⁵ Approved by RM N°0484-2019-MINAGRI.

Technical Capacity	Current situation	Narrative Evidence
		as droughts, soil degradation and deforestation. The PESEM update is in phase 1; that is, in the elaboration of the Situational Diagnosis of each region. To date, 14 regions have been visited.
	Limited capacities of the technical areas in terms of monitoring and evaluation of the interventions carried out by the sector.	<p>The Directorate for Monitoring and Evaluation of Policies (DSEP) is a line directorate of the General Directorate of Statistics, Monitoring and Evaluation of Policies (DGESEP) of MIDAGRI. The DSEP has the following functions aligned with the project: (1) Design and implement guidelines, methodologies, instruments, and tools for monitoring, supervision, and evaluation of national policies, sectoral plans, programs, special projects, and regulations on agrarian matters, as well as as well as evidence and knowledge management; in coordination with the organizational units and public bodies attached to the Ministry; (2) Design and implement the integrated agricultural sector information system, through the use of business intelligence tools and data analytics to strengthen planning and decision-making in the Sector; (3) Manage information, design strategies, mechanisms and dissemination of the results of monitoring, supervision and evaluation based on evidence of national policies, sectoral plans, programs, special projects and regulations in agrarian matters; and (4) Provide technical advice and strengthen the capacities of the organizational units, programs, special projects, and public agencies attached to the Ministry in terms of monitoring, supervision, and evaluation.</p> <p>The sector does not have a common practice to carry out evaluations of its projects or programs. Intermediate and final evaluations are only carried out on projects that have been financed with resources from official credit operations (ROOC), and because it is so established in the loan contracts. In general, investment managers in the sector are not concerned about evaluating the results of their interventions, they are only focused on executing. This is the result of the fact that in the public sector performance is measured based on budget execution based on what is defined in the operating plans.</p> <p>Monitoring and evaluation must be planned from the design of an intervention; given that the elaboration of the baseline must be foreseen, define indicators of results, periodicity, among others. In addition, depending on the type of intervention or policy, the type of evaluation required is established, for example, intermediate, final, impact (results) evaluations, among others. In addition, evaluations require a multidisciplinary team. All this entails an exclusive budget forecast for the evaluation from the design of the interventions.</p> <p>The sector has a weakness regarding knowledge management. It is not a common practice in the sector to systematize experiences for feedback on public policies. It is necessary to generate evidence through systematization to achieve incidence at the public policy level.</p> <p>The sector does not have suitable administrative records that allow the construction of quality indicators. Not all the information that is currently generated is useful for policy evaluation. However, it is expected</p>

Technical Capacity	Current situation	Narrative Evidence
		that the PPA will become the main administrative registry of the sector, being the most up-to-date source of agrarian information.
		PCM is working on policy evaluation methodologies for the application of the sectors.

Table 9. Technical capacities to formulate policies and strategies

Technical Capacity	Current situation	Narrative Evidence
Articulate subsidy programs in high Andean areas	Limited capacities to articulate sector subsidies in the territory	The sector does not have sufficient capacity for intrasectoral articulation in the territory. This is evidenced by little fluid coordination, in some cases non-existent, between the executing units, programs and OPAs of the sector.
		Although the CGRAs are the institutionalized mechanism for articulation and coordination of the sector with the GR and GL, in the respective territorial areas, to optimize the provision of goods and services provided by the sector; there is no institutionalized space at the technical level for intra-institutional coordination.
	The sector has various subsidies and incentives programs, however there is little promotion of these in high Andean areas.	Law No. 30893 and Supreme Decree 004-2020-MIDAGRI restructure AgroBanco and the AgroPerú Fund, respectively; establishing user eligibility mechanisms for access to soft (subsidized) loans. The financing lines are national in scope, that is, they are not sectorized (for example, to high Andean areas). A sectorization would require a regulatory change.
		In the case of the camelid chain, since 2020 Agrobancos has placed 2,077 credits for S/ 32 million, through the Livestock Program. However, most of these placements are to individual producers. In the case of the AgroPerú Fund, its camelid program has only placed 4 loans to producer organizations. According to the sector, the main difficulty for credit placements is the low level of associativity of producers in high Andean areas, as well as the lack of advice for the presentation of files.
		The sector has the Entrepreneurship Strategy for Rural and Indigenous Women (EMMRI) ¹⁶ , which is within the framework of the implementation of the National Gender Equality Policy; and through which subsidies are granted in favour of various Agrarian Organizations of Women at the national level. In 2022, S/30 million was available for the granting of subsidies by AgroRural and Agroideas; and for 2023, a budget of S/ 28 million has been managed, which will be executed by Agroideas. The sector aims for EMMRI to become a permanent subsidy mechanism.

¹⁶Approved by Ministerial Resolution No. 0591-2022-MIDAGRI.

Technical Capacity	Current situation	Narrative Evidence
		On the other hand, the dissemination and promotion actions of the various lines of subsidies and/or incentives of the sector are limited and insufficient in the high Andean areas. However, for several years MIDAGRI has been implementing emergency measures in the event of phenomena or emergencies by generating projects in multi-communal scope. However, impact evaluation is being neglected. For example, support has been provided to breeders and producers who have large areas of land and livestock, along with other less favoured producers with these assets; however, the impact is diluted in the former compared to the latter. It should be noted that MIDAGRI has left aside the preventive aspect in the design of its interventions.
Capacity to attract new private funds to finance EbA measures and climate resilient value chains	There are no specific mechanisms or protocols to attract funds from the private sector	<p>MIDAGRI do not have specific mechanisms to attract funds from the private sector. There are specific experiences from the UEFSA and AgroRural of coordination with private companies; however, these are very small scale. For example, with mining companies the financing of specific activities, preparation of studies and technical files has been achieved, within the sphere of influence of the mining company. However, it is important to mention that whoever is directly in charge of coordinating with these companies are the local governments.</p> <p>Although the specifications and agencies attached to MIDAGRI have an established organic structure; the regulatory and methodological frameworks are limited for the management of private funds. For example, SERFOR has the competencies; however, there are no regulations or methodologies to calculate carbon in puna ecosystems (grasslands and wetlands); which could lay the foundation for carbon crediting and accounting systems for future trade.</p>
Formulation of policies and norms	The sector has the capacity to implement the EbA approach at the operational level, but it is still insufficient.	<p>It is important to highlight that not every problem or solution requires a response at the public policy level. MIDAGRI, through its Institutional Operational Plans (POI), executes EbA interventions in the territory.</p> <p>The sector has been making efforts to develop tools that include a climate resilience approach, to improve decision-making regarding interventions in the territory. For example, the 2023-2024 Crop Guiding Framework is about to be published, where the climate change component in the impact on production is considered. It is also important to mention that the sector has received support from cooperation sources to incorporate the climate resilience approach into its operational instruments; An example of this is the support that AGROIDEAS received from UNDP. However, in the case of AGROIDEAS, what was started with the UNDP was not continued. Evidence of this is that currently the instructions for accessing the technology adoption incentive do not incorporate a climate or gender resilience criterion.</p>

Table 10. Technical capacities to develop, manage and execute public budgets.

Technical Capacity	Current situation	Narrative Evidence
Implement EbA measures and climate resilient value chains	Limited capacities to implement EbA measures and climate resilient value chains	The sector has been implementing natural infrastructure interventions in the territory for many years; without great innovations or technological changes. However, the sector does not prioritise these projects; but it executes short-term activities.
	The existence of executing units and OPAs of MIDAGRI with similar or equal functions to those of Agrorural is identified.	Agrorural has a complex organizational structure and lacks a single logical framework matrix structure. This hinders proper coordination and articulation between instances present within the same organization. Likewise, the existence of a duplication of functions of AgroRural with other executing units attached to MIDAGRI is identified ¹⁷ . In order to avoid duplication, some criteria to consider are interventions according to ecological floors and target population, in accordance with the objectives of the executing units or OPA.
	The sector has various subsidies and incentives programs, however the high Andean areas do not meet eligibility conditions.	On the other hand, the small number of interventions in the territory also respond to particular conditions of the high Andean areas, such as: (1) for technical irrigation, there is no installed irrigation infrastructure (it is mainly dry) or water licenses, (2) low level of associativity, (3) land titling, and (4) low level of connectivity. This reality does not converge with the design of subsidies or incentives in the sector.
Budget planning, management and implementation with an EbA, gender, and climate resilience approach	The sector has budget planning instruments, but these are limited in terms of gender focus and climate resilience.	The Budget Programs (PP) ¹⁸ of the sector do not have a climate resilience or gender approach. This, because most have not been updated under Directive No. 0005-2020-EF/50.01 that incorporates the concept of Theory of Change. Although this management document does not explicitly include the incorporation of the aforementioned approaches; it is assumed that there is a mainstreaming of them in current public management that would allow them to be included. It should be noted that, due to the prioritization of the MEF, PP 0121 is being updated under the aforementioned Directive; however, the design time depends on the capacity of the human resources of the sector. Likewise, the sector is updating PP 042 on a voluntary basis.

¹⁷Taken from the Continuity Evaluation Report of the Rural Agrarian Productive Development Program (Agrorural Program), prepared by Apoyo Consultoría for the Public Management Secretariat (SGP) of the Presidency of the Council of Ministers (PCM). December 2022.

¹⁸ It is a programming unit of the actions of public entities, which integrated and articulated are oriented to provide products (goods and services), to achieve a Specific Result in favor of the population and thus contribute to the achievement of a Final Result associated with a public policy goal. It is also a budget category that constitutes a Budget for Results (PpR) instrument.

Technical Capacity	Current situation	Narrative Evidence
Program coordination in the territory to implement EbA measures and climate resilient value chains	Limited intrasectoral articulation to execute EbA interventions and climate resilient value chains	One of the main weaknesses recognized by the sector is the limited coordination between its executing units, programs and OPAs. As an example, there is no official coordination between UEFSA and PSI for the continuity of interventions related to irrigation in the territory; On the one hand, UEFSA carries out interventions for planting and harvesting water from agricultural areas and, on the other hand, PSI carries out technical irrigation interventions for the efficient and sustainable use of water for irrigation in agriculture. There is not a sum of efforts to strengthen sectoral interventions in the territory.
		The CGRAs, as a space for sector articulation and coordination, have three operational instruments: (1) the Annual Work Plan (PAT); (2) the Regional Agrarian Agenda (ARA), which is a management instrument that allows territorialization of policies and strategies; and (3) the Regional Articulated Agrarian Operational Plan (POAAR), which is prepared for each department on a multi-year basis, and seeks to articulate MIDAGRI, GOREs and GOLOs projects. The POAARs are planning instruments that activate the Regional Agrarian Agendas.
		Both the ARAs and the POAARs are in the process of preparation and implementation. Currently, there are 8 approved POAARs (out of 24), among which is Cusco; and there are 2 ARAs approved by Regional Ordinance (Ica and Ayacucho) and 6 approved with the CGRA Act, none of them in the sphere of influence of the Project.
		Although there are CGRAs to articulate interventions in the territory, their effectiveness depends on the political and social context. For example, the northern RACs responded well during the Yaku climate emergency; however, the CGRAs in the south of the country (for example, Puno and Apurímac) fail to consolidate themselves mainly due to social conflicts.
		On the other hand, they have non-institutionalized spaces such as the so-called "MIDAGRI Teams", which is constituted as a space for intrasectoral articulation of specifications and programs with decentralized headquarters. They meet weekly to see what activities they carry out in the territory. However, it is not a recognized space within MIDAGRI.
	Limited intergovernmental articulation to execute EbA interventions and climate resilient value chains	The PP of the sector are not properly articulated with the subnational governments. Although PP 0121 began a process of articulation; that is, it decentralized 1 activity (5006064) in 4 regions (Ayacucho, Cajamarca, Puno and Huancavelica), the articulation should imply the decentralization of all products / activities at the national level. In addition, the indicators should be updated and in accordance with the goals established in the PDRC and PDLC.
		The technical assistance provided by OPMI MIDAGRI to subnational governments regarding the closing of gaps in the sector is insufficient. Added to this, the high turnover of personnel means that those in charge of the FUs/EUs are unaware of the nature of the interventions and/or the corresponding gap indicators. OPMI does not have learning tools or resources to train subnational governments.

Technical Capacity	Current situation	Narrative Evidence
Coordinate with other sectors to facilitate sustainable economic activities resilient to climate change	Limited capacity to coordinate with other sectors for interventions in the territory.	<p>The CGRAs are the institutionalized space for intersectoral coordination. In the last modification of its creation regulation (2021), it is indicated that the CGRAs can be integrated by representatives of other sectors at the national level, or their special programs or projects, according to their intervention in territorial development in each department, for the fulfilment of its territorial development objectives, which involves rural development, agricultural development and its articulation with social and environmental protection programs. However, even this articulation is limited, and depends on the level of consolidation of the CGRAs in the territory.</p> <p>Bearing in mind that 71% of the agricultural producers in the scope of the project belong to the subsistence family farming typology; In order to consolidate the interventions of the sector, it is required that previously enabling conditions exist, such as access to basic public services of education, health, water and sanitation, energy, connectivity, financial education, among others. Along these lines, intersectoral articulation is key to territorial rural development.</p> <p>The PP of the sector are not articulated with other sectors; Therefore, a chain of public interventions that allows to enhance the impact on the beneficiaries is not allowed.</p>

Table 11. Technical capacities to monitor & evaluate interventions.

Technical Capacity	Current situation	Narrative Evidence
Monitor the impact of EbA measures and analyse climate information	Availability of climate satellite information tools but insufficient diffusion for their use and application in decision-making	Since 2016, MIDAGRI has an agreement with SENAMHI with the aim of generating a broad platform that allows the exchange of agroclimatic knowledge and information (rainfall, temperature, frost occurrence, among others) that will serve as a tool in policy decision-making. agrarian. Likewise, there is the Specific Technical Cooperation Agreement No. 006-2020-MINAGRI-DVDIAR-AGRO RURAL between AgroRural and Senamhi.

Technical Capacity	Current situation	Narrative Evidence
		<p>The Department of Agricultural Statistics and Information (DEIA) is in charge of the Integrated Agricultural Statistics System (SIEA), made up of statistical analysis tools and satellite information. As part of this effort, it has worked on tools for managing climate information in the territory. Among them are: (1) Frost Monitoring, which is a viewer where you can analyse the different areas where temperatures dropped below zero degrees and would be affecting agricultural areas at the regional level; (2) Soil moisture and drought index, which is a viewer for Soil Moisture Monitoring at the regional level throughout Peru; (3) Satellite system for agroclimatic modelling, which is an agroclimatic modelling viewer at the national level, which allows finding optimal areas according to variables of altitude, slope, temperature, precipitation and whether they are within the agricultural area; (4) Pasture Satellite Monitoring System, which is a regional pasture modelling viewer, which allows finding optimal areas, according to variables of altitude, slope and temperature, also shows the theme of natural pastures, agricultural area at the regional level and graphs multitemporal NDVI and temperature; (5) Precipitation anomalies, which allows estimating the accumulated monthly precipitation and comparing it with the historical average in a range of years, finally showing the precipitation anomaly in the entire national surface; (7) Early warning system for the El Niño phenomenon; and (8) Real-time animation of cloud intensity.</p>
		<p>In accordance with its powers, the DEIA makes the analysis tools publicly available; however, it is the responsibility of the user areas of the sector and subnational governments to make use of these tools to generate evidence and make decisions, according to their needs. On the other hand, the DEIA has insufficient resources for the dissemination of its tools, which limits their use.</p>
		<p>From the side of the users within MIDAGRI, they indicate having access to the analysis tools; however, internal corporate governance structures for data and maps are not strong enough for agencies to consume or interoperate. Added to this is the limited specialized personnel that restricts the proactive scope of computer solutions for information analysis, making it more difficult to reverse the shortage of studies and foster analysis capacity.</p>
	<p>The sector has been implementing the Register of Agricultural Producers (PPA) that will allow for district and personalized information on agricultural producers.</p>	<p>MIDAGRI has been implementing the Register of Producers (PPA), which will be the most up-to-date source of agricultural information, with 38 analysis variables. The goal for 2023 is to reach 2.1 million producers nationwide (95% of the total). The PPA will be accompanied by an interoperable and real-time tool called "Digital Identity of the Agricultural Producer"; being an application with 13 different service modules to access credits, seeds, guano, to receive information from SENAMHI on weather alerts, wholesale market prices, among others. It should be noted that the PPA observatory will have information at the district level, and will allow the personalization of the information. In 2023, it is planned to implement a pilot with INIA and a Users' Board.</p>

Technical Capacity	Current situation	Narrative Evidence
	Limited implementation of the monitoring system for livestock activities.	The DGDG manages the Decision Support System of the General Directorate of Livestock - SODEGA, which is a responsive web system designed for decision-making by the General Directorate of Livestock, based on information from all activities related to the National Plan. Livestock Development-2017-2027. In this sense, SODEGA, according to the hierarchical level, allows registering, approving, reporting, and analysing the data of the beneficiaries according to the progress of the activities. The DGDG has managers in each region who guide, accompany and provide support to the zone coordinators using the SODEGA report as a source of information. In this sense, it ensures the quality of the information, as well as offering the necessary technical support for the use of the web application. However, it has problems to implement it because there is no availability of specialized personnel (web and gis programmer) for the generation of modules and maps.
		It also has a monitoring system for livestock interventions in technical assistance services, training and cultivated pastures; You are 100%. Likewise, (at 60% progress) it has an additional module for grassland management and viewers with layers of pastures, water availability, frost, NDVI, among others.
		Methodologies that evaluate ecosystem recovery interventions have not been approved or institutionalized. For example, there is no approved methodology to assess the change in condition of degraded grasslands. In this sense, it is necessary to strengthen capacities to use satellite systems and institutionalize them as a permanent activity in the sector. Likewise, given the budgetary limitations of the sector, the need to explore and make visible (socialize) the experiences in the field carried out by various institutions is not considered; so much technically relevant information is ignored or lost.
	There is no follow-up and evaluation of the interventions of the sector in terms of planting and harvesting water	Neither UEFSa nor AgroRural have carried out evaluations of water planting projects, since they do not have the equipment or the corresponding budget. They only monitor the number of interventions performed. There are no parameters or indicators that make it possible to measure the effectiveness of the measures that are being implemented in terms of planting and harvesting water.
Monitor and report commitments under the NDCs	There is no monitoring and reporting system for sectoral commitments for NDCs	There is no reporting system on NDC monitoring. Only operational activities aligned to the NDCs that execute the sector programs annually are reported. However, there is no monitoring of the interventions in the territory. For example, although seedlings are delivered for reforestation, it is not known whether they have grown or not.
		In this sense, a statistical goal (number of operational activities) is counted, but not a real goal of monitoring the NDCs. In other words, there is no system that guarantees real reporting in the territory. In this line, the DGAAA articulates with the CGRAs through the Regional Action Plan for the implementation of the NDCs, quantifying only gaps in activities.

Technical Capacity	Current situation	Narrative Evidence
		Although the DEIA has satellite information tools for monitoring relevant variables for the sector's NDCs; they are not currently using them.
		It should be noted that the sector has recently created the Commission for the Agrarian and Irrigation Sector on Climate Change (CSARCC) ¹⁹ , whose main purpose is to promote the implementation of NDC at a centralized level (political and technical) and to inform monitoring. to MINAM.
	Indicators present design problems regarding specificity, measurement, relevance, temporality and performance ²⁰	<p>In 2018, MINAM, through the AICCA project, carried out an evaluation of the NDC indicators of the agriculture sector in the area of water for irrigation, soils, agricultural production systems, and value chains. The Resilient Puna project will contribute to five NDCs, the result of the evaluation of indicators are:</p> <ul style="list-style-type: none"> - NDC (AGRI 7) "Management of natural grasslands to ensure feeding of livestock and reduce their vulnercapacity to climate change." It cannot be determined if the expected achievement represents a significant and achievable challenge for the sector. The baseline must be updated, information for the year 2012 is presented, which to date is not reliable information given the time elapsed. - NDC (AGRI 11) "Management of wild South American camelids (vicunas) considering the effects of climate change". There is no updated data. The information contained in the Technical Sheet and established as the baseline is from 2012, so it is difficult to determine if the objectives are achievable until the information is updated. - NDC (AGRI15) "Implementation of adaptive technological innovation services in the face of climate change in agricultural value chains". It cannot be determined since there is no established baseline, it is only mentioned that updated data from the ENA should be placed. - NDC (AGRI 16) "Implementation of business strategies that incorporate the management of risks and opportunities in the face of climate change". It cannot be determined since there is no adequate baseline. - NDC (AGU2) "Implementation of interventions related to planting and harvesting water for agricultural water security in hydrographic basins vulnerable to climate change". There is no information available to ensure whether the expected results are achievable.

¹⁹Ministerial Resolution No. 0187-2023-MIDAGRI, which creates the temporary Sectoral Commission under MIDAGRI called "Commission for the Agrarian and Irrigation Sector on Climate Change (CSARCC)

²⁰It refers to the fact that they can be evaluated with the resources and technical experience of the entity.

Technical Capacity	Current situation	Narrative Evidence
		It should be noted that, through the AICCA project, MINAM selected 8 agricultural NDCs to develop operational models for monitoring and evaluating these measures. Of these 8, the project will contribute to 2 NDCs: AGU2 and AGRI15.

It should be noted that, as part of the document revisions the 2023 People Development Plans (PDP) prepared by the Human Resources Offices of the MIDAGRI executing units, programs and OPAs linked to the project were analysed. The PDP is a management plan that seeks, among other things, to improve training and evaluation actions, in accordance with the provisions of the directive and the guidelines issued by SERVIR; and is circumscribed to the public administration entities indicated in Article III of the Preliminary Title of Law No. 28175 Public Employment Framework Law, whose personnel are included within the Human Resources Management Administrative System, in accordance with those established in the Third Final Complementary Provision of Legislative Decree No. 1023.

In the case of the MIDAGRI entities, the PDPs have an insignificant budget, which is why they prioritise training actions. As can be seen in **Table 12**, the issue of interculturality and the gender approach are cross-cutting issues prioritised by most entities, although with very low budgets; It is followed by investment and budget themes, and finally information management and analysis.

Table 12. Main MIDAGRIs' training actions according to PDP

Entity	Resolution	Main training actions linked to the objective of the project
MIDAGRI (Headquarters)	Resolution of the General Secretariat No. 0041-2023-MIDAGRI-SG	<ul style="list-style-type: none"> - Predictive models of economic series: Identify the statistical and econometric tools for the study of historical data in order to carry out a predictive analysis for decision making. - Improving relations with peasant and native communities: Understand the aspects that determine the communication and relationship with the people that come from the peasant and native communities, starting from a better knowledge of their general characteristics, classification and survival strategies. - Basic or general statistics: Understand the basic concepts of statistics and collect the different agro-industrial statistical data. - Theory of Change. Prepare the strategic planning and evaluation of the entity. - Use of technological tools: Understand the use of technological tools that help fulfil functions. - Public Management with a Gender Approach: Understand the different tools concerning the National Gender Equality Policy to reduce gender gaps in the entity.
INIA	General Management Resolution No. 0022-2023-INIA-GG	<ul style="list-style-type: none"> - Indicator design - Public investment projects - Rural development projects - interculturality - Gender equality
AgroRural	Executive Director Resolution No. 081-2023-MIDAGRI-DVDAFIR-AGRO RURAL-DE	<ul style="list-style-type: none"> - Business plans - Associativity of rural agrarian organizations - Gender approach in public administration

Entity	Resolution	Main training actions linked to the objective of the project
SENASA	Headquarters Resolution No. 0009-2023-MIDAGRI-SENASA	- ARCGIS Course (3 levels: Basic, Intermediate and Advanced)
SERFOR	General Management Resolution No. D0007-2023-MIDAGRI-SERFOR-GG	- Satellite image processing and analysis - Geomatics and use of georeferencing instruments - Specialized course national system of multi-year programming and management of - Power BI Specialization - Gender equality
Agroideas	Executive Director Resolution No. 036-2023-MIDAGRI-AGROIDEAS	- Agribusiness with a specialization in business intelligence and international market analysis - Evaluation of investment projects - Specialization Diploma in Monitoring and Evaluation in Program and Project Management - Gender equality in public management
UEFSA	Executive Directorial Resolution No. 181-2023 – MIDAGRI – DVDAFIR – UEFSA – DE	- General framework of the National System of Multi-year Programming and Investment Management - Programming and multi-year budget formulation
PSI	Directorial Resolution No. 032-2023-MIDAGRI-PSI	<i>The PDP matrix is not public.</i>
SSE	Executive Presidency Resolution No. 024-2023-MIDAGRI-SSE/PE	<i>The PDP matrix is not public.</i>

Own elaboration.

4.2 SERNANP

The current situation of SERNANP's capacities is summarized in **Table 16** and **Table 17**.

Table 13 and the narrative evidence is presented in **Table 14**,

Table 15, **Table 16** and **Table 17**.

Table 13. Current situation of SERNANP's technical capacities

Technical Capacity	Current situation
Get involved with peasant communities and producer organizations	Regulatory framework for involvement with peasant communities in the process of implementation.
	Limited capacities at the leadership level regarding social management and relationship with the population
Promote and scale innovations considering	Limited systematization of ancestral knowledge and dissemination of information

Technical Capacity	Current situation
ancestral knowledge and technology transfer	
Articulate subsidy programs in high Andean areas	Limited articulation with MIDAGRI to attract resources from its subsidy lines
Capacity to attract new private funds to finance EbA measures and sustainable economic activities resilient to climate change	SERNANP has efficient mechanisms to attract resources from private funds; however, successful experiences in high Andean areas are limited
Implement EbA measures and climate resilient value chains	The sector has defined competencies (functions) to execute EbA interventions and sustainable economic activities resilient to climate change in the territory.
	Low incidence of conservation projects and initiatives in high Andean areas
	SERNANP has participatory management mechanisms and instruments for the sustainable use of natural resources for conservation purposes, however, they need to be adapted to Puna ecosystems
Budget planning, management and implementation with an EbA, gender, and climate resilience approach	SERNANP has budget management instruments, however there are limited capacities in public management
	SERNANP has low investment execution
Coordinate their programs in the territory to implement EbA measures and sustainable economic activities resilient to climate change	Coordination capacity depends on the management strength of the headquarters
Coordinate with other sectors to facilitate sustainable economic activities resilient to climate change	Limited capacity for intersectoral coordination
Monitor the impact of EbA measures and analyse climate information (*)	The monitoring of the forest dynamics variables (Amazonian and Andean) of the NDC-MACC03 (National Program for Monitoring the Impact of Climate Change on Forest Ecosystems) is not associated with climatic variables.
Monitor and report commitments under the NDC (*)	They have a monitoring and reporting system for the adaptation measure NDC-MACC03; however, the scope of the measure in Andean ecosystems is insignificant.

(*) Analysis carried out based on the monitoring of the NDC- MACC03: National program for monitoring the impact of climate change on forest ecosystems, which is in charge of the Information Management Functional Operating Unit.
Own elaboration.

In the case of SERNANP, its PDP 2023, approved by General Management Resolution No. 012-2023-SERNANP, prioritises the following training lines related to the project: (1) strengthening the monitoring capacities of environmental elements with emphasis on the data processing and analysis, (2) recording and analysis of geo-referenced data of surveillance and control activities effectively implemented in ANPs and their reporting in the SMART software., (3) Interculturality, and (4) Gender Equality.

Table 14. Technical capacities to engage with different stakeholders

Technical Capacity	Current situation	Narrative Evidence
Get involved with peasant communities and producer organizations	Regulatory framework for involvement with peasant communities in the process of implementation.	SERNANP has an Environmental, Social and Indigenous Peoples Management Framework of the National System of Natural Areas Protected by the State ESMF-SINANPE ²¹ , whose objective is to strengthen the environmental and social sustainability of ANPs activities at the national level. Thus, through the ESMF-SINANPE, potential environmental and social risks associated with the activities implemented by SERNANP are identified. The ESMF-SINANPE establishes the environmental and social management measures and procedures aimed at managing probable risks that could affect the development of SERNANP activities and generate negative environmental and social impacts. The ESMF-SINANPE contains the guidelines to strengthen the incorporation of the intercultural approach, which considers that any SERNANP project that supports the issue of effective management must direct resources to the implementation of social safeguards, especially with regard to participatory management activities, co-management, RR.NN management, training, gender approach and participatory processes complementary to the ANP processes; since these activities could contribute to the mitigation of conflicts, the reaching of agreements and the establishment of commitments, the co-management or co-execution of activities, among other issues that require strengthening participation. The ESMF- SINANPE will be of obligatory use for all the activities carried out within the framework of the powers of SERNANP; in the jurisdiction of the Protected Natural Areas of national administration in Peru, as well as their buffer zones (ZA) in coordination with the competent authorities as appropriate.
	Limited capacities at the leadership level regarding social management and relationship with the population	The ESMF-SINANPE is in the process of progressive implementation. Although many of the ESMF procedures have been applied in a practical way, it is necessary to strengthen the capacities of the chiefs since the relationship with peasant communities in high Andean areas demands a greater effort in terms of communication and awareness of the sector's interventions.
Promote and scale innovations considering ancestral knowledge and technology transfer	Limited systematization of ancestral knowledge and dissemination of information	The dissemination of information facilitates dialogue and the generation of agreements with the population. Currently, there is a gap in the systematization of ancestral knowledge in high Andean areas.

²¹Approved by Presidential Resolution No. 240-2022-SERNANP.

Table 15. Technical capacities to analyse a situation and define a vision and mandate

Technical Capacity	Current situation	Narrative Evidence
Implement EbA measures and Climate Resilient Value Chains	The sector has defined competencies (functions) to execute EbA interventions and climate resilient value chains in the territory	<p>In accordance with the Regulations for Organization and Functions of SERNANP, approved by Supreme Decree No. 006-2008-MINAM, SERNANP has the following functions linked to the objectives of the project:</p> <ul style="list-style-type: none"> - Direct the National System of Natural Areas Protected by the State - SINANPE in its capacity as governing body of Natural Protected Areas and ensure its operation as a unitary system. - Manage the Protected Natural Areas of national administration, either directly or through third parties under the modalities established by the legislation on the matter. - Guide and technically support the management of Protected Natural Areas whose administration is in charge of regional and local governments and owners of properties recognized as private conservation areas. - Supervise and monitor the activities that are carried out in the Protected Natural Areas of national administration and their buffer zones, ensuring compliance with the regulations, the approved plans and the contracts and agreements that are signed. - Assign rights of use and exploitation through concessions, authorizations and permits or other mechanisms to carry out activities inherent to the objectives and functions of the Protected Natural Areas of national administration. - Promote, assign and regulate rights for environmental services and other similar mechanisms generated by the Protected Natural Areas under its administration. - Ensure inter-institutional coordination between national government entities, regional governments and local governments that act, intervene or participate, directly or indirectly, in the management of Protected Natural Areas. - Develop the management of protected natural areas considering financial sustainability criteria.

Table 16. Technical capacities to formulate policies and strategies

Technical Capacity	Current situation	Narrative Evidence
Articulate subsidy programs in high Andean areas	Limited coordination with MIDAGRI to attract resources from its subsidy lines	In the case of MIDAGRI, there is a general perception that the sector cannot (or should not) intervene within the ANP, or that it is very complex to do so, which limits the opportunity to allocate greater lines of MIDAGRI subsidies to the ANPs.
		In general terms, MIDAGRI's approach is productive and SERNANP's is conservation. While for SERNANP the central objective is conservation, and productive activities are a means to sustainability; In the case of MIDAGRI, the central objective is productive activity, and conservation is a co-benefit.
Capacity to raise new private funds to finance EbA measures and climate resilient value chains	SERNANP has efficient mechanisms to capture resources from private funds; However, successful experiences in high Andean areas are limited.	SERNANP has efficient co-management mechanisms, such as Administration Contracts, with great success of application in Amazonia. Through the Administration Contracts, private (non-profit) entities are entrusted with the management of ANPs as defined in the ANPs Master Plans. Within the framework of management contracts, private companies make sustainable use of the ANP and can market, in coordination with SERNANP, ecosystem services (carbon) generated in the ANP. Success stories are the Coordillera Azul National Park, administered by CIMA; and Tambopata National Reserve, managed by AIDER NGO.
		In high Andean areas, the only Management Contract is in the Salinas and Aguada Blanca National Reserve (RNSAB) and is managed by DESCO SUR NGO. Unlike the Amazon, there are no experiences of selling carbon in puna ecosystems (bofedales). Currently, there are no methodologies to calculate carbon in this type of ecosystem and generate income from its sale.
		The RNSAB has a MERESE with EPS SEDAPAR Arequipa, and channels resources through PROFONANPE.
		The Nor Yauyos Cochas Landscape Reserve has a MERESE signed between EPS Emapa Cañete SA and SERNANP. Within this framework, they have been implementing actions to recover native grasses, develop natural infrastructure, strengthen technical capacities and community organization, with which they seek to guarantee the water supply for the benefit of all.
		SERNANP has been working on some guidelines to modify the normative figure of environmental compensation in ANPs, in such a way that conservation actions are allowed and not only restoration of areas. With this, it seeks to open a line of financing so that private companies can invest voluntarily and strategically in ANPs. On the other hand, MINAM has been carrying out studies to evaluate the creation of Habitat Banks.

Table 17. Technical capacities to develop, manage and execute public budget

Technical Capacity	Current situation	Narrative Evidence
Implement EbA measures and climate resilient value chains	Low incidence of conservation projects and initiatives in high Andean areas	There is a higher incidence of conservation projects in the Amazon than in high Andean areas. This is also evident they have low capacities for alliance with the local population in high Andean areas. Conservation management is less known among the population of this type of ecosystems.
	SERNANP has participatory management mechanisms and instruments for the sustainable use of natural resources for conservation purposes, however, they need to be adapted to Puna ecosystems.	SERNANP has participatory mechanisms with well-defined processes for the sustainable use of natural resources within ANPs, such as: (1) Participatory diagnosis; (2) Granting of rights, and (3) Management Plans for sustainable economic activities within ANP. In a complementary way, it has instruments such as the "Conservation Agreements", the "Allies for Conservation" brand, and the Administration Contracts, which contribute to the final objective of conservation within the ANPs. In this line, SERNANP has participatory mechanisms and instruments that allow them to articulate with the local population and guarantee biological diversity.
		In high Andean areas, the usable natural resource is natural grasslands. Even though SERNANP has protocols for monitoring grasslands in many high Andean areas, it does not grant rights to use natural grasslands.
		The traditional use of grasslands by peasant communities generates a series of complexities of a social nature for their use through exploitation rights. In the line of resource management, SERNANP has been exploring innovative solutions for the use of grasslands under sustainable conditions, without prejudice to conservation. One of these solutions is to achieve a <i>match</i> between the "Conservation Agreements" and the "Management Plans". With this solution, a formal right for the use of grasslands is not granted, but through a conservation agreement with the communities, the aim is to order their use to avoid degradation of the resource through management plans. In the long term, the idea is that after a process of sensitization and awareness about the use and conservation of grasslands, enabling titles (minor activity agreements, for example) can be granted for the sustainable use of grasslands by the communities. peasants.
		On the other hand, the tourism management line has a logic similar to that of resource management. In this sense, SERNANP has five modalities for granting rights for the use of landscape resources: (1) Concession, (2) Contract, (3) Authorization, (4) Permit and (5) Agreement. However, the chiefs of ANPs interviewed pointed out that the tourist offer has not been diversified significantly in recent years.
Budget planning, management and implementation with an EbA, gender, and	SERNANP has budget management instruments, however there are limited	SERNANP makes its actions operational under Budget Program 0057: Conservation of Biological Diversity and sustainable use of natural resources in a protected natural area; whose main results indicators are hectares under use and hectares conserved.

Technical Capacity	Current situation	Narrative Evidence
climate resilience approach	capacities in public management	There are deficiencies at the level of headquarters and technical areas of central headquarters in budget programming, preparation of requirements, administrative management, among others.
	SERNANP has low investment execution	Low investment execution capacity. The annual average investment budget in the period 2019 - 2022 was S/ 6.7 million; and its average annual execution level was 56% ²² . This shows the low capacities in public management.
Articulate their programs in the territory to implement EbA measures and sustainable economic activities resilient to climate change	Coordination capacity depends on the management strength of the headquarters	The level of presence or articulation capacity goes through the management capacity of the Headquarters. For example, the RPNYC leadership has been able to mobilize significant resources from the private sector; while the RPSC has achieved a significant number of projects under PROFONANPE Entrepreneurs for Cotahuasi call for proposals.
		In the tourism line, the headquarters have different levels of capacity. For example, the RPNYC Headquarters is the only one that has a tourism specialist; in such a way that the RPNYC leads in the field of use of the landscape, ahead of the Ampay National Sanctuary, the RNSAGB and the RPSC.
Coordinate with other sectors to facilitate sustainable economic activities resilient to climate change	Limited capacity for intersectoral coordination	SERNANP has an agreement with MINCETUR, maintaining a very fluid coordination. Evidence of this is that MINCETUR provides technical opinions in processes related to the granting of rights. For example, Turismo Emprende, a MINCETUR competitive fund that finances tourism ventures, considers a higher score in its evaluation criteria if a venture is linked to an ANP. In this way they have managed to articulate this line of subsidy
		In the case of the use of resource management, SERNANP articulates mainly with SERFOR of MIDAGRI, for the issue of vicuña management; and to a lesser extent with other MIDAGRI entities, such as Agrorural. In general, the MIDAGRI interventions have a productive focus, while the SERNANP interventions have a conservation focus. This absence of a comprehensive approach leads to the failure to promote interventions in the territory.
		This comprehensive view involves having clear and agile instruments that can be understood and internalized by the local population. For example, understanding that a productive livestock project promoted by MIDAGRI is not divorced from actions for the improvement and conservation of pastures.

²²Friendly Consultation SIAF/MEF.

Table 18. Technical capacities to monitor & evaluate interventions

Technical Capacity	Current situation	Narrative Evidence
Monitor the impact of EbA measures and analyse climate information (*)	The monitoring of the forest dynamics variables (Amazonian and Andean) of the NDC-MACC03 (National Program for Monitoring the Impact of Climate Change on Forest Ecosystems) is not associated with climatic variables.	Sernanp is in charge of the adaptation measure: National Program for Monitoring the Impact of Climate Change on Forest Ecosystems (NDC-MACC03). Sernanp has been establishing enabling conditions for NDC-MACC03, for which it currently has a platform where data on forest dynamics is shared, evaluated in permanent plots: https://banda.shinyapps.io/forestviewer_v4/ The evaluations carried out by the Strategic Development Directorate are carried out in real time (deforestation monitoring), however they are not associated with climatic variables. A study has been carried out to identify the indicator variables (forest and climate); however, the measure requires that the forest dynamics variables be associated with climatic variables. Therefore, there is a need to implement weather stations in or near the ANPs, which allow to measure rainfall, temperatures, etc.
Monitor and report commitments under the NDCs (*)	They have a monitoring and reporting system for the adaptation measure NDC-MACC03; however, the scope of the measure in Andean ecosystems is insignificant.	As part of the establishment of enabling conditions for the NDC-MACC03, working meetings were held with representatives of institutions linked to the measure, with the aim of preparing the technical design and generating the necessary institutional arrangements. During these meetings, a methodological proposal was presented for monitoring the impact of climate change on the dynamics of the Andean-Amazonian forests and agreements were reached with the entities for contributions and validation of the proposal. Currently, the formation of this working group has been formally proposed to MINAM. By 2022, the information of the permanent plots of the Andean-Amazonian area within 13 National Protected Areas (ANP) was updated, with which it has been possible to estimate that the intact or preserved forests of Peru act as a very important reservoir of carbon and It has been calculated that this sink is equivalent to about 43 million tons of CO ₂ , with a carbon accumulation rate of 0.64 mg per hectare per year. In Peru, 197 monitoring plots are currently installed in Andean-Amazonian Forest ecosystems (8 in Andean ecosystems High Andean relict forest -Queñoal and others- and Mesoandean relict forest). These plots provide information on the current state of forest dynamics. It should be noted that the monitoring plots are not owned by SERNANP, but belong to other entities (eg INAIGEM, CONDESAN); Therefore, the information available comes from the evaluation carried out by said entities. The information is shared through the "Forest Viewer" platform, where the general data of the forest dynamics evaluated in 197 plots nationwide (Andean and Amazon forests) are uploaded.

Technical Capacity	Current situation	Narrative Evidence
		<p>This system is updated to 2022; however, it is necessary to improve it so that it can carry out the analysis of the pertinent variables.</p> <p>Although there is progress in the implementation of the measure, the studies carried out show a gap regarding the coverage of these plots in the Andean and Amazonian Forest ecosystems. At the national level, 223 additional parcels are required, which can either be managed by SERNANP or by alliances generated with other entities for their administration and financing. On the other hand, the measure requires that forest dynamics variables be associated with climatic variables, so the gap is also represented by the need to implement weather stations in or near the ANPs.</p> <p>By 2022, there was 23% progress in the implementation of the measure; however, according to the tentative programming, progress should have been close to 40%. This, taking into account implementation contributions from Regional Governments, which shows a 17% delay that is mainly due to the lack of application of the financing enabling condition.</p>

(*) Analysis conducted based on the monitoring of the NDC- MACC03: National program for monitoring the impact of climate change on forest ecosystems, which is in charge of the Information Management Functional Operating Unit.

4.3 PROFONANPE

Table 19 is developed from the findings and recommendations of the Profonanpe Partner Assessment (April 2022), prepared to assess Profonanpe's competence and capacity in financial management, cost efficiency and results management; in order to assess the contribution to Norway's decision to finance a financial mechanism to implement, manage and monitor REDD+1 projects in Peru. Likewise, Profonanpe's response capacity to raise these recommendations has been analysed based on what was reported in the Profonanpe Management Report for 2022. In general terms, Profonanpe shows a high capacity to adapt and solve problems in the short term.

It should be noted that Profonanpe has nine projects underway and a portfolio of proposals for an amount of more than USD 800 million that it is being preparing and negotiating with donors (Profonanpe, 2023). In this regard, it is important to highlight the following relevant points for the "Resilient Puna" project:

- Within the framework of the seventh replenishment period of the Global Environment Facility (GEF-7), Peru will implement four projects for a total portfolio of USD 34.8 million. Among them are the projects "Building human well-being and resilience in Amazon forests, through the enhancement of biodiversity for food security and bio-business, in a context of climate change" and "Sustainable management and restoration of the dry forest in the northern area of Peru", in which one of the formulators was the International Union for Conservation of Nature (IUCN). The Ministry of Environment is the national counterpart of these projects and has designated Profonanpe as their executing partner. For this reason, the implementing partners of these projects such as IUCN, FAO and UNDP initiated due diligence processes, which had satisfactory conclusions for Profonanpe.
- Entrepreneurs by Nature (ExN) is the acceleration fund of SERNANP and Profonanpe. ExN is a strategic initiative developed within the framework of the SERNANP Conservation and Development Program (Procodes) that aims to strengthen the co-management and co-participation of the population by promoting and strengthening private enterprises based on the sustainable use of natural resources associated with protected natural areas that contribute to their conservation and generate local economic development. In 2022, the second edition of the contest was developed, benefiting a total of 27 projects, which have received their subgrants and started activities in 29 ANPs nationwide. These projects involve 62 communities and 909 direct beneficiaries, have managed to preserve more than 4,000 hectares conserved under a sustainable management scheme and 65 species have been used. At the end of 2022, the third edition of this contest was launched, with a total amount of S/1,500,000 to continue promoting sustainable local ventures that contribute to the conservation of ANPs in our country.
- Entrepreneurs for Cotahuasi is an initiative that seeks to promote and strengthen ventures based on the sustainable use of natural resources associated with the Cotahuasi Sub-Basin Landscape Reserve, so that they contribute to its conservation and promote the local economy. The highlight of this contest is that the financing for donations comes 100% from the private sector thanks to a clear and tangible commitment to conserve ecosystems. To date, two contests have been carried out. In the first edition, 2 projects were financed in the Pampamarca and San José de Luicho communities, for a total amount of USD 10,450, which are 50% complete. On the other hand, in the second edition, 3 ventures were winners, in the Yanacanta, Huayqui and Locrahuanca communities, for a total amount of USD 23,971. Finally,

due to the great development and reception of these previous experiences, a third edition is being planned for this 2023.

Table 19. Findings, recommendations and response actions carried out by Profonanpe

Findings (April 2022)	Recommendations	Actions carried out by PROFONANPE related to recommendations ²³
Profonanpe has clearly documented and defined policies, standards and procedures for project management and monitoring, internal control and risk management.	It is recommended that Profonanpe establish a training plan for staff, sub-awardees, suppliers and consultants on Profonanpe's policies and procedures in relation to Internal Control mechanisms; Code of Ethics, Anti-Corruption Policy, Manual for Attention to Complaints; Guidelines to Avoid Conflicts of Interest; Environmental and social, gender and intercultural safeguards, and Administrative Guidelines among others. It is not enough for Profonanpe to only incorporate policies, standards and manuals in personnel and subcontracting contracts without the corresponding training.	During August 2022, a workshop on the Environmental and Social Management System (SGAS) was held, led by the safeguards team, made up of the Research and Development Office (OID) and the Monitoring and Evaluation Directorate (DIME). The objective of the workshop was to inform, train and sensitize the collaborators of the central headquarters and the intervention teams about the relevance of the SGAS for the institution. Additionally, as part of the line of work related to capacity building, the Indigenous or Native Peoples Unit (UPIO) held two workshops for Profonanpe personnel on indigenous or native peoples.
	Profonanpe must ensure that its Good Governance Policy, Code of Ethics, Manuals for addressing complaints and Guidelines for preventing conflicts of interest also apply to the members of its Board of Directors and all members of its Project Boards.	Profonanpe updated its Environmental and Social Safeguards Manual in July 2022. Likewise, in August 2022 it updated its Complaints Response Mechanism.
Profonanpe's internal policies related to financial management and fund administration are in line with good practices	Improve governance functions, ensure implementation of financial and internal controls and compliance functions and develop staff capacity in key areas.	The Office of Compliance and Integrity (OCI) was implemented, which reports directly to the Board of Directors and lays the foundations to be an integral and transparent institution and; the Investment Portfolio Management Directorate (DGPI), which professionalizes the management of funds and portfolios that are under the administration of Profonanpe. Finally, progress has also been made in implementing computer platforms that allow the efficiency and speed of internal processes.
		A new <i>Enterprise Resource Planning</i> (ERP) system is in the process of being developed to improve management processes. This new system not only seeks to improve information security, but also generate reports in real time through linking with the Profonanpe monitoring module.

²³ According to the Profonanpe Management Report (2022).

Findings (April 2022)	Recommendations	Actions carried out by PROFONANPE related to recommendations ²³
Profonanpe is developing a strategy on how to work with and strengthen indigenous peoples' organizations.		The Indigenous or Native Peoples Unit (UPIO) was created with the aim to implement the engagement strategy and provide technical assistance, advice and training to projects that work with the indigenous population, as well as develop initiatives and mechanisms that allow the role of Profonanpe to be enhanced as an ally of this human group.

Own elaboration based on the Profonanpe Partners Report (April 2022) and the Profonanpe 2022 Management Report.

4.4 IdM

Within the framework of implementation of the Puna Resilient project, IdM has technical capacities to: (1) engage with peasant communities and producer organizations; (2) promote and scale innovations considering ancestral knowledge and technology transfer; (3) implement EbA measures and sustainable economic activities resilient to climate change; (4) manage financial resources; and (5) coordinate and articulate with other institutions to execute EbA interventions in the territory. See evidence in **Table 20** and **Table 21**.

Regarding the IdM experience, the following are relevant to the project:

- “Restoration of Ancestral Technologies and Water Management” – RETAMA; which integrates 2 indigenous knowledge on water management with contemporary science and technology. Thus, Andean communities restore ancient water management systems to adapt to climate change.
- Expansion of EbA Mountain in Peru, which builds on years of working with local mountain communities in the Nor Yauyos Cochas Landscape Reserve, by restoring the wetland and grassland ecosystems in the Reserve. Communities can improve management of declining water supplies, reduce erosion and the risk of natural disasters. EbA measures in mountains help increase the resilience of ecosystems and communities to address climate change. These actions also improve the habitat of wildlife such as the vicuña.
- Ancestral Technologies and Climate Change: This initiative combined modern science with traditional knowledge to help restore native wetlands and grasslands in the ecosystems of the Miraflores and Chachayllo communities in the Nor Yauyos Cochas Reserve.
- Tierra de la Vicuña: Joint initiative of the IdM and OIKOS to mobilize the communities of the South American Andes to conserve and restore the ecosystems of the Puna.

Table 20. Technical capacities to engage with stakeholders

Technical Capacity	Current situation	Narrative Evidence
Get involved with peasant communities and producer organizations	Adequate capacity to get involved with peasant communities and producer organizations	IdM raises awareness and disseminates information through efficient communication tools and channels with communities. For example, in the EbA Montaña project, videos and spots on climate change and adaptation were produced. Information showcases were also installed in each community, to inform the entire population of the progress and activities of the project. In addition, community members were trained so that they can prepare videos on the management of the community's territory, pastures, and water, from the local perspective. Likewise, learning forums were created for training (PNUD, PNUMA, UICN e IM, 2016).
		IdM has had experience in including the intergenerational component in its projects. Within the framework of the EbA Montaña project, "2 plays were presented, with the vision and perspectives of young people regarding the management of pastures and water in their community" (PNUD, PNUMA, UICN e IM, 2016).
		IdM has the recognition of the beneficiary communities. In the systematization of their experience in the EbA Montaña project, there are opinions and experiences of these communities, who "recognize the development of capacities as a result of the work and the implementation of pilot plots. The population consultation processes were well received and helped generate a sense of ownership and co-authorship (PNUD, PNUMA, UICN e IM, 2016). "
		IdM has experience as a facilitator in rural communities. For example, in the EbA Montaña project, they realized in advance that it was necessary to establish a relationship of trust with the rural communities prior to the implementation of the project. This measure was also supported by the partners; since they agree that "the 8 months dedicated to the initial phase (of approaching the community, diagnosis and selection and design of measures) seemed adequate. Especially, considering that the IdM did not have a long-term relationship already established with the communities (Zapata, Torres, Gómez, & Podvin, 2016). "
		IdM has the capacity to develop tangible strategies that capture interest and involvement with communities. For example, in the process of implementing EbA measures in the EbA Montaña project; "The plan was to move forward with the development of the 3 components in parallel, but the infrastructure was started before the others to respond to local priorities and thus reinforce the confidence and enthusiasm of the partners, and also with the idea of use the infrastructure as a practical and tangible platform to develop the other components. Indeed, the beginning of the works aroused local interest (Zapata, Torres, Gómez, & Podvin, 2016). "

Technical Capacity	Current situation	Narrative Evidence
Promote and scale innovations considering ancestral knowledge and technology transfer	Adequate capacity to promote and scale innovations considering ancestral knowledge and technology transfer	<p>IdM has methodologies with a participatory approach, such as the Integrated Participatory Rural Diagnosis (DRPI), whose objective was for the design of robust EbA measures to be the result of ²⁴dialogue between local interests and knowledge and scientific knowledge (Zapata, Torres, Gómez, & Podvin, 2016). The first step in carrying out the DRPI consisted in consulting local people through workshops and field visits to find out their own interpretation of vulnerability, and to identify with them preliminary proposals to respond to that vulnerability. The proposals were selected and prioritised. with the local population (PNUD, PNUMA, UICN e IM, 2016).</p> <p>The participatory work between external and local researchers was valued positively by both community members and members of the project team. However, IdM team members agreed that “it would have been helpful to better capitalize on local researchers after the diagnostic phase, assigning them more specific roles and even helping them 'formalize' as a group within the community”. In addition, it would have been necessary to investigate more about past conflicts and tensions within the communities and about the practices of resource use in the areas of direct influence of the robust measures (Zapata, Torres, Gómez, & Podvin, 2016).</p> <p>IdM has experience in methodologies such as Qualitative Cost Benefit Analysis (CBA); a type of novel research, for which a specific methodological guide was developed. It should be noted that the qualitative analysis showed IdM's capacity to make visible the community assessment of the environmental and social aspects of the EbA Montaña project (Zapata, Torres, Gómez, & Podvin, 2016).</p> <p>IdM has participated in the "Expansion of the EbA Montaña project" in Peru, which has been very effective at the national level, both in terms of the project's own results and in its dissemination. Among the most outstanding aspects, it is considered that, at the community level, there is both human and economic empowerment, through EbA measures(IUCN, 2022)</p> <p>IdM has embraced the Nature-Based Solutions initiative in Peru, which is an interdisciplinary program of research, education and policy advice based at the University of Oxford. Likewise, it will be included in the Resilient Puna, where the EbA experiences in the Nor Yauyos Cochas Reserve will be expanded; and in the NDC-Peru project (financed by IKI and GiZ) by supporting the development of a Climate Risk Assessment Manual for Hydrographic Basins(IUCN, 2022)</p>

²⁴ Robust EbA measures are proposed as actions that, making use of biodiversity and ecosystem services, increase the adaptive capacity and reduce the vulnercapacity of populations and ecosystems to climate change, and that will have a positive impact on the means of livelihood. life and ecosystems, regardless of how the climate changes(PNUD, PNUMA, UICN e IM, 2016)

Table 21. Technical capacities to develop, manage and execute budgets

Technical Capacity	Current situation	Narrative Evidence
Implement EbA measures and climate resilient value chains	Adequate capacity to implement EbA measures and climate resilient value chains	IdM has successfully implemented robust EbA measures in the "Ecosystem-Based Adaptation for Mountain Ecosystems in Peru" project, by becoming an IUCN field representative in Peru. Said measures were executed in the Nor Yauyos Cochas Landscape Reserve; specifically in the districts of Miraflores and Canchayllo, through the DRPI methodology.
		However, the local partners of both communities and the field teams of the IdM and the Nor Yauyos Cochas Landscape Reserve highlight that the support of the Board of Directors of each community was essential for the agreements to be fulfilled and to be able to culminate with the proposed activities (Zapata, Torres, Gómez, & Podvin, 2016).
		IdM has prepared Participatory Management Plans for Pastures and Water (PMPA) ²⁵ , in order to strengthen organizations at the local level. For this, a methodology ²⁶ that had previously been used by the IdM was adapted. In this sense, IdM has experience in technical assistance to strengthen organizations and communities.
		However, the IdM team considers that insufficient progress was made in strengthening the organizations in relation to what was originally planned, due to the high levels of demand for infrastructure and the times for preparing management plans; that they did not allow to execute them(PNUD, PNUMA, UICN e IM, 2016)
		According to the Systematization Report of the EbA Montaña project, "the IdM team positively valued having been able to formulate, and then apply, the methodological proposal and approach from the beginning, which allowed it to maintain its commitment to the processes participatory and enrich concepts (such as robust measures or EbA) and processes (vulnerability diagnosis) from the institutional and local perspective" (Zapata, Torres, Gómez, & Podvin, 2016).

²⁵PMPAs integrate EbA measures within the framework of local (communal and municipal) planning. In this way, they are not only a technical guide, but also a model for the participation of the authorities and the different local institutions in the management of pastures and livestock. Closely linked to them is the RPNYC Master Plan, with very clear lines of action and "linked to what was proposed and dealt with by the project" (PNUD, PNUMA, UICN e IM, 2016).

²⁶This participatory methodology consists of 8 steps: (1) Getting to know each other, (2) construction of the mission and vision, (3) elaboration of the diagnosis, (4) identification of the threats and causes of the problems, (5) design of the plan and monitoring actions, (6) implementation of the plan and monitoring actions, (7) improvement of the plan and (8) sharing the experience (Zapata, Torres, Gómez, & Podvin, 2016).

Technical Capacity	Current situation	Narrative Evidence
		Based on the success of the EbA Mountain project, the project "Expansion of EbA in mountain ecosystems" was implemented in Peru. Through which, effective EbA actions were consolidated, and new measures were introduced, ensuring the active participation of the community and seeing that this participation translates into community appropriation in two communities (Miraflores and Tomás). Which, too, was a project with successful results (IUCN; IM, 2022).
		IdM has systematized and disseminated particular experiences, such as those of the EbA Montaña project. For which, it carried out a methodology called "Learning in Action" (or Action Learning), which allowed the systematization of the implementation of robust EbA measures. This is a monitoring and evaluation tool that was applied periodically (during 4 cycles) in order to document and evaluate progress, collect lessons and adjust the planning of activities for the following period (Zapata, Torres, Gómez, & Podvin, 2016).
	Adequate capacity to manage financial resources	IdM has the capacity to manage financial resources and organization for the receipt of resources. Regarding management, the Final Evaluation Report of the EbA Montaña project (2017) mentions that each of the executing partners used their own financial systems; and that the IUCN headquarters in South America had the administrative support of IM, who provided detailed financial reports. An example of this is that IdM "reported that it had no delays in receiving funds from the IUCN Office in Quito. According to what they reported, they knew that the processes to request funds required time, so they generally started the procedures with sufficient time in advance."
Coordinate with other sectors to facilitate sustainable economic activities resilient to climate change	Adequate capacity to coordinate and articulate with other institutions to execute EbA interventions in the territory	In the EbA Montaña project, IdM and the IUCN established an alliance with the Laboratory of Ecology and Grasslands of the University of La Molina (PNUMA, IUCN, PNUD, GiZ, 2017)
		In the various evaluation reports of the EbA Montaña project that account for the IdM interventions together with UNEP, UNDP and IUCN; It is highlighted that communication was a transversal axis throughout the experience. The representatives of the organizations agreed that "thanks to everyone's willingness and the improvement of communication and coordination mechanisms (teleconferences, emails and meetings) it was possible to establish a dynamic of cooperation and collaboration. Likewise, finding effective communication and coordination mechanisms —such as the participation of the IdM in the monthly planning sessions of the RPNYC and the periodic meetings with the SERNANP— was key to achieving it" (Zapata, Torres, Gómez, & Podvin, 2016).

5. Recommendations for Capacity Development Action Plan

The Capacity Needs Assessment has established the following conclusions. The first is that there are cases in which the capacity exists, but the enabling conditions are weak and the implementation processes of EbA, climate resilience and gender approaches are progressive. The second is that it is necessary to strengthen existing capacities, as well as create new capacities where gaps exist.

The general objective of the proposed recommendations is to effectively enable the partner entities of the Resilient Puna project (MIDAGRI, SERNANP, PROFONANPE and IdM); while creating sustainable interventions in the long-term.

This section presents recommendations for the Capacity Development Action Plan for each project partner entity, based on the gaps identified in section 4. Likewise, priorities are established, according to the temporality, for the achievement of objectives: short term applies to objectives of less than one year; medium term up to 5 years and long term from 10 years onwards. Finally, the alignment with the project activities is carried out.

5.1 MIDAGRI

The recommendations according to the present situation are presented below:

- **Sensitization and dissemination:** The executing units, programs and OPAs of MIDAGRI pointed out the importance of sensitization among their officials to provide articulated goods and services in high Andean areas, which consider gender, EbA and climate resilience approaches. Likewise, they highlighted as a key to improve the dissemination in the territory of their subsidy lines (incentives) and investment instruments aligned with the objectives of the project; as well as promoting the agricultural cooperative model in the high Andean populations to achieve an effective activation of the demand. Additionally, the dissemination of satellite information tools implemented in the sector (SIEA) is highlighted, since they would allow the analysis of climate information for decision-making and the monitoring of sectoral NDCs.
- **Coordination:** The sector highlights the weak intrasectoral articulation, therefore, it is necessary to strengthen and consolidate institutionalized spaces that allow the coordination and chaining of interventions in the territory with an EbA, climate resilience and gender approach.
- **Promotion:** The sector highlights the importance of promoting the mainstreaming of the gender, EbA and climate resilience approach not only at the level of goods and services in the sector, but also in planning, budgeting and investment instruments.
- **Monitoring and evaluation:** The sector recognizes the absence of a performance evaluation culture in its interventions; For this reason, it considers it important to strengthen the capacities of its executing units, programs and OPAs in monitoring and evaluation of projects and programs, and in the development of quality indicators.
- **Staff training:** The following training needs have been identified: (1) focus on gender, EbA and climate resilience; (2) new technology transfer methodologies; (3) monitoring and evaluation of programs and projects to measure results and impact of goods and services provided; and (4) analysis of climate information, to generate evidence and decision-making.

The following table presents the recommendations for capacity development.

Table 22. Recommendations for Capacity Development in MIDAGRI

Identified gap	MIDAGRI	recommendations	Priority	Alignment with the Project
Sectoral interventions in peasant communities are limited.	Directorate of Development of Peasant and Native Communities and Social Management - DCCNGS	Sensitize MIDAGRI entities that provide goods and services in the territory to increase the number of articulated sectoral interventions in rural community areas. This would involve staff training, workshops, development of materials, and dissemination.	Short term	Activity 1.1.1 Lay the foundations to finance and implement EbA measures and climate resilient value chains
Insufficient institutionalized spaces in the sector to gather demands from peasant communities	Directorate of Intersectoral and Intergovernmental Articulation- IADI	Promote in the CGRAs ^{27a} a direct line of work with CC.CC and CC.NN, to create an institutionalized space that allows to collect their demands. This would imply consultancies, workshops and dissemination.	Medium term	Activity 3.1.1 Strengthen capacities for territorial planning and governance processes integrating EbA and climate resilience
		Consolidate the CGRAs in the territory in the area of Puna (Puno, Arequipa, Cusco and Ápurímac). This would involve staff training, workshops, development of materials, and dissemination.	Medium term	
The sector has a regulatory framework and adequate tools to promote and scale innovations that consider ancestral knowledge and technology transfer	National Institute of Agrarian Innovation (INIA)	Promote the National Registry of Agricultural Extension Service Providers (RNPSEA) in the area of influence of the project. This would imply training of staff, facilitators, workshops, preparation of materials and dissemination.	Medium term	Activity 1.2.1 Recover, innovate and scale ancestral knowledge and practices
Insufficient innovative methodologies for knowledge and technology transfer		Promote new technology transfer methodologies, such as "peer training", "field days", among others; in such a way that adoption, adaptation and co-innovation are favored. These methodologies must incorporate the gender and climate resilience approach. This would imply training of staff, facilitators, workshops, preparation of materials and dissemination.	Medium term	
There are not enough labour competency standards for agricultural activities in high Andean areas	General Directorate of Livestock Development (DGDG)	Support the standardization of occupational profiles for EbA practices and prioritised and in-demand value chains. This would imply consultancies and workshops.	Medium term	Activity 1 .2.1 Recover, innovate and scale ancestral knowledge and practices
The sector has defined	Directorate for the Promotion of	Disseminate the guidelines of the training and technical	Short term	Activity 3.1.1 Strengthen

²⁷ Approved by Ministerial Resolution.

Identified gap	MIDAGRI	recommendations	Priority	Alignment with the Project
competencies (functions) to mainstream the gender approach in the design of goods and services for the development of agricultural and irrigation activities; however, this process is a prospective and medium to long-term work.	Women Agricultural Producers (DMPPA)	assistance service under a gender approach, prepared under the National Gender Equality Policy (PNIG). This would imply training of staff, facilitators, workshops, preparation of materials and dissemination.		capacities for territorial planning and governance processes integrating EbA and climate resilience
		Support the development of protocols and guidelines for access to financing and titling services under the gender approach, according to the National Gender Equality Policy. This would imply consultancies, workshops and dissemination.	Medium term	Activity 3.1.2 Strengthen regulatory frameworks and M&E systems at the national level
		Support the mainstreaming of the gender approach of the prioritised services of the National Agrarian Policy 2021-2030: (1) Access to financing, (2) Titling, (3) Access to water for irrigation, (4) Technical Assistance and Training, and (5) Market access. This would imply consultancies, workshops and dissemination.	Medium term	
	DPMPA and MIDAGRI Human Resources Office	Train and sensitize MIDAGRI officials regarding the gender approach and its application in sectoral policies and interventions. This would imply staff training, facilitators, workshops, development of asynchronous learning resources, dissemination.	Short term	
The sector has powers (functions) to develop specific guidelines, methodologies and tools that incorporate the gender and climate resilience approach in the sector's planning, budget and investments; however, these are insufficient.	General Office of Planning and Budget (OGPP) through its Office of Budget and Office of Multiannual Investment Programming (OPMI)	Update PPs under Directive No. 0005-2020-EF/50.01 of interest to the Resilient Puna project under an EbA, climate resilience and gender approach. This would imply consultancies and workshops.	Medium term	Activity 3.1.2 Strengthen regulatory frameworks and M&E systems at the national level
		Improve the indicators of investment gaps in the sector aligned with the objectives of the project, including the climate resilience approach and mainstreaming of the gender approach. This would imply consultancies and workshops.	Medium term	
Limited intergovernmental articulation to execute EbA interventions and sustainable economic activities		Disseminate to subnational governments instruments with a focus on climate resilience of the sector for water security. This would imply staff training, facilitators, workshops, development of asynchronous	Medium term	Activity 3.1.1 Strengthen capacities for territorial planning and governance processes

Identified gap	MIDAGRI	recommendations	Priority	Alignment with the Project
resilient to climate change		learning resources, dissemination.		integrating EbA and climate resilience
		Disseminate to subnational governments the investment tools and instruments of the sector aligned with the objectives of the project. This would imply staff training, facilitators, workshops, development of asynchronous learning resources, dissemination.	Medium term	
Limited capacities of the technical areas in terms of monitoring and evaluation of the interventions carried out by the sector.	Policy Monitoring and Evaluation Directorate (DSEP)	Strengthen monitoring and evaluation capacities of programs and projects, through applied methodologies such as "learning by doing" and the use of asynchronous tools. This would imply staff training, facilitators, workshops, development of asynchronous learning resources, dissemination.	Short term	Activity 3.1.1 Strengthen capacities for territorial planning and governance processes integrating EbA and climate resilience
		Strengthen capacities regarding the culture of performance evaluation. This would imply staff training, facilitators, workshops, development of asynchronous learning resources, dissemination.	Short term	Activity 3.1.2 Strengthen regulatory frameworks and M&E systems at the national level
		Strengthen capacities for the elaboration of quality indicators that allow measuring results and impacts of the interventions carried out by the sector. This would imply staff training, facilitators, workshops, development of asynchronous learning resources, dissemination.	Short term	
The sector has various lines of subsidies (incentives), however the high Andean areas do not meet eligibility conditions.	Directorate of Associativity and Business Development	Promote the cooperative model (advantages and benefits of agricultural business associations with emphasis on the cooperative model through the formation of agricultural and/or communal cooperatives). This would imply staff training, facilitators, workshops, preparation of dissemination materials.	Medium term	Activity 1.1.3 Technical assistance to implement climate resilient EbA measures and value chains at the local landscape level
		Strengthen the organizational and business management of agricultural and/or community cooperatives. This would imply	Medium term	

Identified gap	MIDAGRI	recommendations	Priority	Alignment with the Project
		staff training, facilitators, workshops, development of asynchronous learning resources, dissemination.		
Financially and technically execute EbA measures and sustainable economic activities resilient to climate change	OPAs, executing units and MIDAGRI Programs	Disseminate and promote the various lines of subsidies and/or incentives of OPAs, executing units and sector programs that have interventions in the high Andean areas. This would imply promoters, workshops, communication campaigns, dissemination materials.	Medium term	Activity 1.1.2 Implementation of EbA measures and climate resilient value chains
Limited intrasectoral articulation to execute EbA interventions and sustainable economic activities resilient to climate change	General Directorate of Territorial Management (DGGT)	Promote space(s) for intrasectoral articulation at a technical level that allows coordinating, articulating, and chaining the sector's interventions in the territory to make them more robust. For example, that a UEFS/AgroRural water planting and harvesting project be carried out, PSI intervenes with parcel technical irrigation, INIA intervenes with technology transfer, market access is promoted through AgroRural and products are commercially articulated to the market through SSE. This would imply consultancies, workshops.	Short term	project governance
Availability of climate satellite information tools but insufficient diffusion for their use and application in decision-making	Department of Statistics and Agrarian Information (DEIA)	Disseminate satellite information tools (SIEA) in the sector and subnational governments, for use and generation of evidence for decision-making. This would imply staff training, facilitators, workshops, development of asynchronous learning resources, dissemination.	Short term	Activity 3.1.1 Strengthen capacities for territorial planning and governance processes integrating EbA and climate resilience Activity 3.1.2 Strengthen regulatory frameworks and M&E systems at the national level
		Disseminate satellite information tools for the sector (SIEA) for monitoring relevant variables for the sector's NDCs. This would imply staff training, facilitators, workshops, development of asynchronous learning resources, dissemination.	Short term	
	General Directorate of Agrarian Environmental Affairs (DGAAA)	Support the development and promotion of a sectoral protocol to include the analysis of climatic variables in the planning of interventions with an EbA approach and value chains. This would imply consultancies, workshops and dissemination.	Short term	

Identified gap	MIDAGRI	recommendations	Priority	Alignment with the Project
	OPAs, executing units and MIDAGRI Programs	Strengthen capacities for the analysis of climatic information for the generation of evidence and decision-making. This would imply staff training, facilitators, workshops, development of asynchronous learning resources, dissemination.	Short term	
Limited implementation of the monitoring system for livestock activities in highland areas and aligned to the NDC	General Directorate of Livestock Development (DGDG) and DEIA	Improve the Support System for livestock development decision-making (SODEGA). This would imply specialized consultancies for the generation of modules and thematic maps.	Medium term	Activity 3.1.2 Strengthen regulatory frameworks and M&E systems at the national level
There is no monitoring and reporting system for sectoral commitments for NDCs	General Directorate of Agrarian Environmental Affairs (DGAAA)	Support the implementation of a reporting system for the sector's NDCs. This would imply consultancies, workshops and dissemination.	Medium term	
Indicators present design problems regarding specificity, measurement, relevance, temporality and performance		Support the improvement of indicators of 3 NDCs in which the Resilient Puna project will build: NDC (AGRI 7), NDC (AGRI 11) and NDC (AGRI 16). This would imply specialized consultancies and workshops.	Medium term	

own elaboration

5.2 SERNANP

The recommendations according to current situation are presented below:

- **Sensitization and diffusion:** SERNANP highlights the importance of sensitization in the population of high Andean areas, about the use and conservation of grasslands for the sustainable use of the resource. Likewise, the dissemination of successful experiences that integrate conservation actions and productive development in puna ecosystems is key; which would make it possible to attract resources from the lines of subsidies and incentives of the agricultural sector and implement participatory management mechanisms.
- **Coordination:** SERNANP highlighted the weak intersectoral articulation; specifically with MIDAGRI, in ANPs of high Andean areas; Therefore, the development of sustainable conservation models in ANP is required, which integrate productive projects with a conservation approach. On the other hand, the importance of expanding the lines of action with the tourism sector to diversify the offer in the PNAs prioritised for the project was also pointed out.
- **Promotion:** SERNANP highlighted the importance of promoting the potential of ecosystem services in the ANPs of the high Andean areas in the private sector. As well as promoting participatory management instruments, such as Conservation Agreements linked to Management Plans in puna ecosystems, which would allow the ordering of resources and avoid their degradation.

- **Personnel training:** The following training needs have been identified: (1) management and public investment, and (2) involvement with peasant communities and populations under the guidelines of MGAS-SINANPE.

The following table presents the recommendations for capacity development.

Table 23. Recommendations for Capacity Development in SERNANP

Identified gap	SERNANP	recommendations	Priority	Alignment with the Project
Limited capacities at the leadership level regarding social management and relationship with the population	Directorate of Management of Protected Natural Areas (DGANP) and Headquarters of ANPs (RNSAB, RPNYC, SNA, RPSC)	Support the progressive implementation of the MGAS-SINANPE regarding involvement with peasant communities and local populations. This would imply consultancies, training of personnel, facilitators, workshops and dissemination materials.	Medium term	Activity 1.1.1 Lay the foundations to finance and implement EbA measures and climate resilient value chains
Limited systematization of ancestral knowledge and dissemination of information	Directorate of Management of Protected Natural Areas (DGANP)	Systematize and disseminate ancestral knowledge in high Andean areas. This would involve consultancies, staff training, facilitators, workshops and dissemination materials.	Medium term	Activity 1 .2.1 Recover, innovate and scale ancestral knowledge and practices
Limited coordination with MIDAGRI to attract resources from its subsidy lines	Directorate of Management of Protected Natural Areas (DGANP)	Systematize and disseminate successful experiences that integrate conservation actions and productive development in Puna ecosystems. This would involve facilitators, workshops, development of materials and dissemination.	Short term	Activity 3.1.1 Strengthen capacities for territorial planning and governance processes integrating EbA and climate resilience
		Promote an articulated work between SERNANP and MIDAGRI through sustainable conservation models in ANP, which integrate productive projects with a conservation approach. This will involve staff training, facilitators, workshops, materials development, and dissemination.	Medium term	
SERNANP makes use of existing mechanisms to capture resources from private funds; however, successful experiences in high Andean areas are limited	Directorate of Management of Protected Natural Areas (DGANP) and Financial Sustainability Functional Operating Unit (UOFSF)	Prepare a diagnosis that allows the identification of potential ecosystem services within conservation areas in puna ecosystems. This would imply consultancies and dissemination workshops.	Medium term	Activity 2.1.2 Strengthen capacities to develop and implement innovative EbA mechanisms in high Andean ecosystems
		Develop methodology to calculate carbon in the puna ecosystem and lay the foundations for accounting systems and carbon credits for future trade, including legal and institutional arrangements. This would imply	Medium term	

Identified gap	SERNANP	recommendations	Priority	Alignment with the Project
		consultancies, staff training and workshops.		
		Promote and disseminate with the private sector the offer of ecosystem services provided by the puna ecosystems. This will involve staff training, facilitators, workshops, materials development, and dissemination.	Medium term	
		Promote and disseminate tools that facilitate the participation of the private sector in conservation actions in ANP. This would imply training of staff, facilitators, workshops, preparation of materials and dissemination.	Medium term	
SERNANP has participatory management mechanisms and instruments for the sustainable use of natural resources for conservation purposes, however, they need to be adapted to Puna ecosystems	Participatory Management Unit of the Directorate of Management of Protected Natural Areas ANP Headquarters (RNSAB, RPNYC, SNA, RPSC)	Disseminate successful experiences under a conservation approach among the population of high Andean areas. This would imply training of personnel, facilitators, workshops, preparation of materials and dissemination	Short term	Activity 3.1.1 Strengthen capacities for territorial planning and governance processes integrating EbA and climate resilience
		Promote Conservation Agreements linked to Management Plans in puna ecosystems, which allow the ordering of resources and avoid their degradation. This would imply consultancies, staff training, facilitators, workshops and dissemination	Medium term	
		Sensitize and educate the population about the use and conservation of grasslands for the sustainable use of the resource. This would imply training of staff, facilitators, workshops, preparation of materials and dissemination.	Medium term	
		Identify strategies or lines of action that allow diversifying the tourism offer in the PNAs prioritised for the Puna project; and promote sustainability of tourism activities in the territory. This would imply specialized consultancies, staff training, facilitators, workshops, preparation of materials, and dissemination.	Medium term	

Identified gap	SERNANP	recommendations	Priority	Alignment with the Project
SERNANP has budget management instruments, however there are limited capacities in public management	DGANP and Headquarters of (RNSAB, RPNYC, SNA, RPSC)	Strengthen capacities in management and public investment for officials at headquarters and headquarters. This would imply staff training, facilitators, workshops, preparation of dissemination materials.	Short term	Activity 3.1.1 Strengthen capacities for territorial planning and governance processes integrating EbA and climate resilience
The monitoring of the variables of forest dynamics (Amazonian and Andean) of the NDC-MACC03 (National Program for monitoring the impact of climate change on forest ecosystems), is not associated with climatic variables (*)	Strategic Development Directorate (DEE)	Promote tools for the measurement of climatic variables that allow improving the forest monitoring indicator. This would imply the acquisition of weather stations, among other equipment.	Medium term	Activity 3.1.2 Strengthen regulatory frameworks and M&E systems at the national level
They have a monitoring and reporting system for the adaptation measure NDC-MACC03; however, the scope of the measure in Andean ecosystems is insignificant (*)		Promote the installation of permanent plots in Andean ecosystems that allow the generation of scientific evidence on the impact of climate change on puna ecosystems. This would imply investigative resources.	Medium term	
		Support the improvement of the "ForestViewer" reporting platform. This would imply specialized consultancies.	Medium term	

(*) Analysis carried out based on the monitoring of the NDC- MACC03: National program for monitoring the impact of climate change on forest ecosystems, which is in charge of the Information Management Functional Operating Unit.
own elaboration

5.3 PROFONANPE

The recommendations according to the course of action are presented below:

- **Training:** Profonanpe does not have experience executing projects with reimbursable *grants*; therefore, the strengthening of capacities for its implementation is required. On the other hand, it will be key to strengthen adaptive management in the project cycle at the level of the Project Management Committee; not only to improve management itself, but also to make it more flexible to change and learning. This is only possible in an environment of openness that needs to be continually facilitated and strengthened.
- **Systematization:** Profonanpe highlighted the importance of making an annual assessment of the project's safeguards management to identify bottlenecks, draw lessons learned and quickly provide feedback to the processes; thus reducing the risks of the project.

The following table presents the recommendations for capacity development.

Table 24. Recommendations for Capacity Development in Profonanpe

Identified gap	Profonampe	recommendations	Priority	Alignment with the Project
PROFONANPE does not have specific experience in executing projects with reimbursable <i>grants</i> .	Innovation and Strategic Management Department	Strengthen capacities for the implementation of reimbursable <i>grants</i> . This would imply consultancies, staff training, facilitators, workshops, preparation of dissemination materials.	Short term	Activity 2.1.1 Establish the Puna Fund for long-term financing of EbA measures and climate resilient value chains
PROFONANPE has clearly documented and defined policies, standards and procedures for the management and monitoring of projects, internal control and risk management; however, it is necessary to strengthen the management of the safeguards and the governance of the project.	Evaluation and Monitoring Directorate	Systematize annually the execution of safeguards within the framework of the project to provide feedback to the safeguard processes. This would imply an annual workshop, consultancy, dissemination.	Medium term	
	Project Management Committee (CGP) of the Resilient Puna project	Strengthen capacities for adaptive management in the project cycle at the level of the Project Management Committee (CGP). This would imply staff training, facilitators, workshops, preparation of dissemination materials.	Short term	

own elaboration

5.4 Mountain Institute

For IdM, it is key to ensure the training of facilitators during the execution of the project, through permanent training tools. This will allow facilitators to be trained as they rotate and will guarantee that the transfer of capacities is achieved under the same quality standard.

The following table presents the recommendations.

Table 25. Recommendations for Capacity Development in IdM

Identified gap	IdM	recommendations	Priority	Alignment with the Project
IdM has manuals for facilitators, however, more dynamic and effective learning resources are required to allow rapid and permanent training of the facilitators who will work on the project.	IdM	Develop asynchronous learning resources for the training of facilitators. This would involve training, development of technological packages for induction, workshops and materials.	Short term	Activity 1.2.2 Implement community monitoring and observation systems to measure the impact of EbA measures and provide feedback on regional and national policies

6. Annexes

Annex 1. MIDAGRI human resources in the territory

Sierra and Selva Exportadora (SSE)

Table 26. Staff of the Apurímac Decentralized Headquarters

organic unit	Structural Charge	Total Resources	Address
Apurímac Decentralized Headquarters	Head of Headquarters	1 person	Jr. Mayta Capac s/n Paitabamba Alta Apurímac - Abancay
	Administrative assistant	1 person	
Total		2 people	

Source: CAP approved by RPE N° 005-2020-MINAGRI-SSE/PE

Table 27. Cusco Decentralized Headquarters Staff

organic unit	Structural Charge	Total Resources	Address
Cusco Decentralized Headquarters	Head of Headquarters	1 person	Av. Roberto Acosta 107- Fourth floor, Urb. Santa Rosa Cusco - Cusco - Wanchaq
	Administrative assistant	1 person	
	Driver	1 person	
Total		3 people	

Source: CAP approved by RPE N° 005-2020-MINAGRI-SSE/PE

Table 28. Staff of the Puno Decentralized Headquarters

organic unit	Structural Charge	Total Resources	Address
Puno Decentralized Headquarters	Head of Headquarters	1 person	Jirón José Moral No. 215 3rd floor Puno - Puno
	Administrative assistant	1 person	
	Driver	1 person	
Total		3 people	

Source: CAP approved by RPE N° 005-2020-MINAGRI-SSE/PE

National Agrarian Health Service (SENASA)

Table 29. Staff of the Apurímac Executive Directorate

organic unit	Structural Charge	Total Resources	Address
Executive Director SENASA Apurímac	Executive Director	1 person	
	Head of the Plant Health Area	1 person	
	Head of the Animal Health Area	1 person	
	Head of the Management Area	1 person	
	Agricultural Health Specialist I	4 people	
Total		8 people	

Source: CAP approved by RM N° 0246-2020-MINAGRI

Table 30. Staff of the Arequipa Executive Directorate

organic unit	Structural Charge	Total Resources	Address
Executive Director SENASA Arequipa	Executive Director	1 person	
	Head of the Plant Health Area	1 person	
	Head of the Animal Health Area	1 person	
	Head of the Agri-Food Inputs and Safety Area	1 person	
	Head of the Management Area	1 person	
	Agricultural Health Specialist I	6 people	
	Agricultural Technician II	1 person	
	Administrative Technician I	1 person	
	Management Assistant II	1 person	
	Driver – Technician	1 person	
	Assistant	1 person	
Total		16 people	

Source: CAP approved by RM N° 0246-2020-MINAGRI

Table 31. Cusco Executive Directorate Staff

organic unit	Structural Charge	Total Resources	Address
Executive Director SENASA Cusco	Executive Director	1 person	
	Head of the Plant Health Area	1 person	
	Head of the Animal Health Area	1 person	
	Head of the Agri-Food Inputs and Safety Area	1 person	
	Head of the Management Area	1 person	
	Agricultural Health Specialist I	3 people	
Total		8 people	

Source: CAP approved by RM N° 0246-2020-MINAGRI

Table 32. Lima Executive Directorate Staff

organic unit	Structural Charge	Total Resources	Address
Executive Director SENASA Lima	Executive Director	1 person	
	Head of the Plant Health Area	1 person	
	Head of the Animal Health Area	1 person	
	Head of the Agri-Food Inputs and Safety Area	1 person	
	Head of the Management Area	1 person	
	Agricultural Health Specialist III	8 people	
	Agricultural Health Specialist II	18 people	
	Agricultural Health Specialist I	7 people	
	Agricultural Technician II	2 people	
	Agricultural Technician I	2 people	
	Agricultural technician	1 person	
	Administrative Technician III	2 people	
	Administrative Technician II	3 people	
	Administrative Technician I	1 person	
	Management Assistant II	2 people	
Total		51 people	

Source: CAP approved by RM No. 0246-2020-MINAGRI

Table 33. Puno Executive Directorate Staff

organic unit	Structural Charge	Total Resources	Address
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Executive Directorate SENASA Puno	Executive Director	1 person	
	Head of the Plant Health Area	1 person	
	Head of the Animal Health Area	1 person	
	Head of the Agrifood Inputs and Safety Area	1 person	
	Head of the Management Area	1 person	
	Agricultural Health Specialist I	10 people	
	Agricultural Technician II	1 person	
	Management Assistant II	1 person	
Total		17 people	

Source: CAP approved by RM No. 0246-2020-MINAGRI

National Forest and Wildlife Service (SERFOR)

Table 34. ATFFS Apurímac staff

Decentralized Organ	Structural Charge	Total Resources	Address
ATFFS Apurimac	Technical Forestry and Wildlife Administrator of Apurímac	1 person	
	Forestry Specialist	1 person	
	Administrative coordinator	1 person	
	Headquarters Manager	2 people	
	Forest Business Specialist	1 person	
	Wildlife Specialist	1 person	
	Legal Specialist	1 person	
	Capacity Development Specialist	1 person	
	Forestry Specialist	2 people	
	Forestry technician	2 people	
	Wildlife Technician	4 people	
	Administrative technician	1 person	
	Forest Control Technician	8 people	
	Wildlife Control Technician	4 people	
	Warehouse Technician	1 person	
	File Technician	1 person	
	Administrative technician	2 people	
	User Service Technician	2 people	
	Driver	1 person	
	Driver	2 people	
Total		39 people	

Source: CAP approved by RDE No. 047-2019-MINAGRI-SERFOR-DE

Table 35. ATFFS Arequipa staff

Deconcentrated Body	Structural Position	Total Resources	Address
ATFFS Arequipa	Technical Forestry and Wildlife Administrator of Arequipa	1 person	
	Forestry Specialist	1 person	
	Administrative coordinator	1 person	
	Headquarters Manager	2 people	
	Forest Business Specialist	1 person	
	Wildlife Specialist	1 person	
	Legal Specialist	1 person	
	Capacity Development Specialist	1 person	
	Forestry Specialist	2 people	

	Administrative technician	2 people	
	Forestry technician	2 people	
	Wildlife Technician	4 people	
	Forest Control Technician	8 people	
	Wildlife Control Technician	4 people	
	File Technician	1 person	
	Driver	1 person	
	Administrative technician	2 people	
	User Service Technician	2 people	
	Driver	2 people	
Total		39 people	

Source: CAP approved by RDE No. 047-2019-MINAGRI-SERFOR-DE

Table 36. ATFFS Cusco staff

Decentralized Organ	Structural Charge	Total Resources	Address
ATFFS Cusco	Technical Forestry and Wildlife Administrator of Cusco	1 person	
	Forestry Specialist	1 person	
	Administrative coordinator	1 person	
	Headquarters Manager	3 people	
	Forest Business Specialist	1 person	
	Wildlife Specialist	1 person	
	Legal Specialist	1 person	
	Capacity Development Specialist	1 person	
	Forestry Specialist	3 people	
	Administrative technician	1 person	
	Warehouse Technician	1 person	
	Forestry technician	6 people	
	Wildlife Technician	6 people	
	Forest Control Technician	4 people	
	Wildlife Control Technician	4 people	
	File Technician	1 person	
	Driver	1 person	
	Administrative technician	3 people	
	User Service Technician	3 people	
	Secretary	1 person	
	Driver	3 people	
Total		47 people	

Source: CAP approved by RDE No. 047-2019-MINAGRI-SERFOR-DE

Table 37. ATFFS Lima staff

Decentralized Organ	Structural Charge	Total Resources	Address
ATFFS Arequipa	Technical Forestry and Wildlife Administrator of Lima	1 person	
	Forestry Specialist	1 person	
	Administrative coordinator	1 person	
	Headquarters Manager	3 people	
	Forest Business Specialist	1 person	
	Wildlife Specialist	1 person	
	Legal Specialist	1 person	
	Capacity Development Specialist	1 person	
	Forestry Specialist	3 people	

	Administrative technician	1 person	
	Warehouse Technician	1 person	
	Forestry technician	3 people	
	Wildlife Technician	3 people	
	Forest Control Technician	8 people	
	Wildlife Control Technician	8 people	
	File Technician	1 person	
	Driver	1 person	
	Administrative technician	3 people	
	User Service Technician	3 people	
	Driver	3 people	
Total		48 people	

Source: CAP approved by RDE No. 047-2019-MINAGRI-SERFOR-DE

Table 38. ATFFS Puno staff

Decentralized Organ	Structural Charge	Total Resources	Address
ATFFS Puno	Technical Forestry and Wildlife Administrator of Puno	1 person	
	Forestry Specialist	1 person	
	Headquarters Manager	5 people	
	Administrative coordinator	1 person	
	Forest Business Specialist	1 person	
	Wildlife Specialist	1 person	
	Legal Specialist	1 person	
	Capacity Development Specialist	1 person	
	Forestry Specialist	5 people	
	Administrative technician	1 person	
	Warehouse Technician	2 people	
	Forestry technician	5 people	
	Wildlife Technician	8 people	
	Forest Control Technician	12 people	
	Wildlife Control Technician	4 people	
	File Technician	1 person	
	Driver	1 person	
	Administrative technician	5 people	
	User Service Technician	5 people	
	Driver	5 people	
Total		66 people	

Source: CAP approved by RDE No. 047-2019-MINAGRI-SERFOR-DE

National Institute of Agrarian Innovation (INIA)

Table 39. EEA Chumbibamba staff

Decentralized Organ	Structural Charge	Total Resources	Address
EEA Chumbibamba	Director of Agricultural Experimental Station	1 person	
	Planning Specialist	1 person	
	Administration Specialist	1 person	
	Secretary	1 person	
	Technology Services Specialist	2 people	
	Agricultural technician	2 people	
Total		8 people	

Source: CAP approved by RJ No. 0091-2021-INIA.

Table 40. EEA Arequipa staff

Decentralized Organ	Structural Charge	Total Resources	Address
EEA Arequipa	Director of the Agricultural Experimental Station	1 person	
	Specialist in promotion of Agrarian Innovation	2 people	
	Genetic Resources Specialist	1 person	
	Agricultural technician	1 person	
	Agricultural Technician (Governing Body)	1 person	
	Agricultural technician	1 person	
	Planning Specialist	1 person	
	Administration Specialist	1 person	
	Personnel Specialist	1 person	
	Accounting Specialist	1 person	
	Treasury Specialist	1 person	
	Supply Specialist	1 person	
	Administrative technician	1 person	
	Administrative Assistant	3 people	
	Driver	1 person	
	Agricultural Specialist and Coordinator Santa Rita	1 person	
	Agricultural Specialist and San Camilo Coordinator	1 person	
	Agricultural Specialist and La Bova Annex Coordinator	1 person	
	Technology Services Specialist	2 people	
	Technological Services Technician	3 people	
	Secretary	1 person	
	Biotechnological Innovation Specialist	1 person	
	Genetic Resources Innovation Specialist	1 person	
	Agricultural technician	2 people	
	Agricultural Innovation Specialist	2 people	
	Livestock Innovation Specialist	1 person	
	Agricultural Assistant	5 people	
	Secretary	1 person	
Total		40 people	

Source: CAP approved by RJ No. 0091-2021-INIA.

Table 41. EEA Andenes staff

Decentralized Organ	Structural Charge	Total Resources	Address
EEA Platforms	Director of the Agricultural Experimental Station	1 person	
	Specialist in promotion of Agrarian Innovation	2 people	
	Agricultural Technician (Governing Body)	3 people	
	Planning Specialist	1 person	
	Personnel Specialist	1 person	
	Accounting Specialist	1 person	
	Treasury Specialist	1 person	
	Accounting Specialist	1 person	
	Wealth Control Specialist	1 person	
	Administrative technician	2 people	
	Driver	1 person	
	Secretary	1 person	
	Agricultural Specialist and Mollepata Annex Coordinator	1 person	
	Agricultural Specialist and Andenes Annex Coordinator	1 person	
	Agricultural Specialist and Coordinator Annex Charcahualla – Urubamba	1 person	
	Livestock Specialist and Pilcopata Annex Coordinator	1 person	
	Technology Services Specialist	3 people	
	Administration Specialist	1 person	
	Technological Services Technician	1 person	
	Technological Services Technician	1 person	
	tractor driver	1 person	
	Technological Services Technician	1 person	
	Technological Services Assistant	1 person	
	Technological Services Assistant	1 person	
	Technological Services Assistant	1 person	
	Secretary	1 person	
	Agricultural Innovation Specialist	8 people	
	Forest Innovation Specialist	2 people	
	Genetic Resources Innovation Specialist	1 person	
	Biotechnological Innovation Specialist	2 people	
	Agricultural technician	6 persons	
	Agricultural Assistant	3 people	
	Secretary	1 person	
	Total	55 people	

Source: CAP approved by RJ No. 0091-2021-INIA.

Table 42. EEA staff

Decentralized Organ	Structural Charge	Total Resources	Address
EEA	Director of the Agricultural Experimental Station	1 person	
	Specialist in promotion of Agrarian Innovation	2 people	

	Technician (Governing Body)	1 person	
	Administration Specialist	2 people	
	Planning Specialist	1 person	
	Personnel Specialist	1 person	
	Accounting Specialist	1 person	
	Treasury Specialist	1 person	
	Supply Specialist	1 person	
	Administrative technician	2 people	
	Administrative Assistant	2 people	
	Driver	1 person	
	Secretary	1 person	
	Agricultural Specialist and Illpa Annex Coordinator	1 person	
	Agricultural Specialist and Tahuaco Annex Coordinator	1 person	
	Agricultural Specialist and Coordinator Huañingora Annex	1 person	
	Agricultural Specialist and Quimsachata Annex Coordinator	1 person	
	Technology Services Specialist	7 people	
	Technological Services Technician	1 person	
	Technological Services Technician	1 person	
	Technological Services Technician	1 person	
	Maintenance technician	1 person	
	Driver	1 person	
	tractor driver	1 person	
	Technological Services Assistant	1 person	
	Secretary	1 person	
	Livestock Innovation Specialist	6 persons	
	Agricultural Innovation Specialist	6 persons	
	Forest Innovation Specialist	1 person	
	Genetic Resources Innovation Specialist	3 people	
	Agricultural technician	4 people	
	Agricultural Assistant	4 people	
	Secretary	1 person	
	Total	60 people	

Source: CAP approved by RJ No. 0091-2021-INIA.

Irrigation Subsectoral Program (PSI)

In this sense, for the UGZ Offices in the scope of the corresponding Project, only the following information is available:

Table 43. PSI Zonal Offices

Zonal Offices	Departments served	Address
Arequipa	Arequipa, Moquegua, Puno, Tacna	Calle Malaga Grenet 310, Umacollo
Cusco	Apurimac, Cusco	José María Arguedas Street J9 Urb. Santa Mónica – Wanchaq District

Source: <https://www.gob.pe/9877-oficinas-descentralizadas-del-psi>

Rural Agrarian Productive Development Program (AgroRural)

Table 44. UZ Apurímac staff

Deconcentrated Body	Structural Position	Total Resources	Address
UZ Apurimac	Head of Zone Unit	1 person	
	Competitiveness Specialist IV	1 person	
	Environmental Management Specialist III	1 person	
	Engineer in Agricultural Sciences IV	2 people	
	Engineer in Agricultural Sciences III	2 people	
	Administrative Specialist II	4 people	
	Administrative Technician III	1 person	
	Technician in Agrarian Promotion II	7 people	
	Technician in Agrarian Promotion I	8 people	
	driver II	1 person	
	Vigilant	1 person	
Total		29 people	

Source: CAP approved by Ministerial Resolution No. 0253-2021-MIDAGRI.

Table 45. UZ Arequipa staff

Decentralized Organ	Structural Charge	Total Resources	Address
UZ Arequipa	Head of Zone Unit	1 person	
	Water Resources Specialist IV	1 person	
	Training Specialist III	1 person	
	Environmental Management Specialist III	3 people	
	Administrative Specialist IV	1 people	
	Administrative Specialist II	2 people	
	Engineer in Agricultural Sciences IV	1 person	
	Engineer in Agricultural Sciences II	2 people	
	Technician in Agrarian Promotion II	5 people	
	Technician in Agrarian Promotion I	6 people	
	Secretary II	2 people	
	driver II	1 person	
Total		26 people	

Source: CAP approved by Ministerial Resolution No. 0253-2021-MIDAGRI.

Table 46. UZ Cusco staff

Decentralized Organ	Structural Charge	Total Resources	Address
UZ Cusco	Head of Zone Unit	1 person	
	Competitiveness Specialist IV	2 people	
	Water Resources Specialist IV	1 person	
	Environmental Management Specialist III	9 people	

	Engineer in Agricultural Sciences III	6 people	
	Administrative Specialist IV	1 people	
	Administrative Specialist II	5 people	
	Administrative Technician III	2 people	
	Technician in Agrarian Promotion II	9 people	
	Technician in Agrarian Promotion I	16 people	
	Secretary II	4 people	
Total		56 people	

Source: CAP approved by Ministerial Resolution No. 0253-2021-MIDAGRI.

Table 47. UZ Lima Staff

Deconcentrated Body	Structural Position	Total Resources	Address
UZ Lima	Zonal Unit Head	1 person	
	Training Specialist IV	3 people	
	Competitiveness Specialist IV	1 person	
	Water Resources Specialist IV	1 person	
	Specialist in Agricultural Sciences IV	2 people	
	Forest Science Specialist IV	2 people	
	Environmental Management Specialist III	2 people	
	Specialist in Physiography and soils IV	1 person	
	Planner III	1 person	
	Administrative Specialist IV	2 people	
	Administrative Specialist III	1 person	
	Administrative Specialist I	1 person	
	PAD II System Programming	1 person	
	Administrative Technician III	11 people	
	Administrative Technician II	2 people	
	Technician in Agrarian Promotion I	5 people	
	Secretary / or IV	1 person	
	Secretary II	1 person	
	driver II	2 people	
Total		41 people	

Source: CAP approved by Ministerial Resolution No. 0253-2021-MIDAGRI.

Table 48. UZ Puno staff

Decentralized Organ	Structural Charge	Total Resources	Address
UZ Puno	Head of Zonal Unit	1 person	
	Administrative Specialist IV	2 people	
	Environmental Management Specialist IV	1 person	
	Environmental Management Specialist III	6 persons	
	Agricultural Sciences Engineer III	3 people	
	Agrarian Promotion Technician II	6 people	
	Technician in Agrarian Promotion I	10 people	
	Secretary II	2 people	
	driver II	1 person	
	Administrative Assistant II	1 person	
	Vigilant	1 person	
Total		34 people	

Source: CAP approved by Ministerial Resolution No. 0253-2021-MIDAGRI.

Agroideas Competitiveness Compensation Program

Table 49. Apurímac UR staff

Decentralized Organ	Structural Charge	Total Resources	Address
Apurímac Regional Unit	Regional Coordinator	1	
	Promotion and Regional Support Specialist	1	
	Follow-up and Monitoring Specialist (UR)	1	
Total		3	

Source: CAP approved by RSG No. 0175-2020-MIDAGRI

Table 50. UR Arequipa staff

Decentralized Organ	Structural Charge	Total Resources	Address
Arequipa Regional Unit	Regional Coordinator	1	
	Promotion and Regional Support Specialist	1	
	Follow-up and Monitoring Specialist (UR)	1	
Total		3	

Source: CAP approved by RSG No. 0175-2020-MIDAGRI

Table 51. UR Cusco staff

Decentralized Organ	Structural Charge	Total Resources	Address
Cusco Regional Unit	Regional Coordinator	1	
	Promotion and Regional Support Specialist	1	
	Tracking and Monitoring Specialist (UR)	1	
Total		3	

Source: CAP approved by RSG No. 0175-2020-MIDAGRI

Table 52. UR Puno staff

Decentralized Organ	Structural Charge	Total Resources	Address
Puno Regional Unit	Regional Coordinator	1	
	Promotion and Regional Support Specialist	1	
	Tracking and Monitoring Specialist (UR)	1	
Total		3	

Source: CAP approved by RSG No. 0175-2020-MIDAGRI

Annex 2. SERNANP human resources in the territory

Table 53. Staff of the Headquarters of the Salinas and Aguada Blanca National Reserve

Headquarters	Structural Charge	Total Resources	Address
Headquarters of the Salinas and Aguada Blanca National Reserve	Head of Protected Natural Area	1 person	Headquarters Arequipa - Yanahuara. Urb. Independencia Americana B-28, Umacollo Arequipa - Arequipa - Yanahuara
	Specialist in Protected Natural Areas	2 people	
	Administrative assistant	1 person	
	park ranger	3 people	
Total		7 people	

Source: CAP approved by RS No. 014-2010-MINAM

Table 54. Staff of the Headquarters of the Cotahuasi Sub-Basin Landscape Reserve

Headquarters	Structural Charge	Total Resources	Address
Headquarters of the Cotahuasi Sub-Basin Landscape Reserve	Head of Protected Natural Area	1 person	Headquarters Arequipa - Cotahuasi. Urb. Pampas de Ayñama 1st Stage, F-12 Arequipa - La Unión - Cotahuasi
	Specialist in Protected Natural Areas	2 people	
	Administrative assistant	1 person	
	park ranger	2 people	
Total		6 persons	

Source: CAP approved by RS No. 014-2010-MINAM

Table 55. Staff of the Headquarters of the Nor Yauyos – Cochas Landscape Reserve

Headquarters	Structural Charge	Total Resources	Address
Headquarters of the Nor - Yauyos - Cochas Landscape Reserve	Head of Protected Natural Area	1 person	Junín Headquarters - Huancayo. Av. Huancavelica 3113 - Urb. Covica Junín - Huancayo - El Tambo
	Specialist in Protected Natural Areas	2 people	
	Administrative assistant	1 person	
	park ranger	3 people	
Total		7 people	

Source: CAP approved by RS No. 014-2010-MINAM

Table 56. Staff of the Headquarters of the Ampay National Sanctuary

Headquarters	Structural Charge	Total Resources	Address
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Headquarters of the Ampay National Sanctuary	Head of Protected Natural Area	1 person	Apurímac Headquarters
	Specialist in Protected Natural Areas	1 person	Urbanization Santa Martha Mz. M – Lot 02
	Administrative assistant	1 person	Apurímac –
	park ranger	3 people	Abancay –
Total		6 persons	Abancay

Source: CAP approved by RS No. 014-2010-MINAM

Annex 3. MIDAGRIs' documents reviewed

Organization	Document name	Regulations with which it was approved
MIDAGRI	Institutional Strategic Plan PEI 2019-2024 modified from document 013: MIDAGRI	General Secretary Resolution 0059-2022-MIDAGRI-SG
MIDAGRI	Institutional Operating Plan POI of document 013: MIDAGRI consistent with the Institutional Opening Budget (PIA) 2023	Ministerial Resolution No. 0612-2022-MIDAGRI
MIDAGRI	Updated Multiannual Sector Strategic Plan - PESEM 2015-2021 (December 2016) of the Agriculture and Irrigation Sector	Ministerial Resolution No. 0602-2016-MINAGRI
MIDAGRI	Guidelines of the Second Agrarian Reform	Supreme Decree No. 022-2021-MIDAGRI
MIDAGRI	National Agrarian Policy 2021-2030	Supreme Decree No. 017-2021-MIDAGRI
MIDAGRI	National Family Farming Strategy 2015-2021 (ENAF)	Supreme Decree 009-2015-MINAGRI
MIDAGRI	National Livestock Development Plan 2017-2027 (PNDG)	Ministerial Resolution No. 0297-2017-MINAGRI
MIDAGRI	Working document: MIDAGRI actions for adaptation and mitigation against climate change by 2030	<i>no reference</i>
MIDAGRI	National Family Farming Plan 2019-2021	Supreme Decree No. 007-2019-MINAGRI
AGRORURAL	Institutional Operational Plan 2023 for Agro Rural	I can't find the resolution that approved it
AGROIDEAS AND AGRORURAL	Entrepreneurship of Rural and Indigenous Women	Ministerial Resolution No. 0244-2022-MIDAGRI
AGROIDEAS	Report on the Multiannual Institutional Operational Plan 2022 - 2024 of the Compensation Program for Competitiveness	Multiple Official Letter No. 038-2021-MIDAGRI-SG/OGPP
UEFSA	Consistency of the Institutional Operating Plan - POI with the Opening Institutional Budget - PIA for fiscal year 2022 of the Executing Unit Sierra Azul Fund UEFSA	Official Letter No. 978-2021-MIDAGRI-DVDAFIR/UEFSA-DE
PSI	Institutional Strategic Plan (PEI) for the 2017-2019 management period of the Irrigation Subsectoral Program -PSI	Directorial Resolution No. 407 - 2017 - MINAGRI - PSI
SENASA	Institutional Strategic Plan - PEI 2021-2025 of the National Agrarian Health Service SENASA	Headquarters Resolution 0055-2022-MIDAGRI-SENASA
SENASA	Institutional Operational Plan (POI) Multiannual 2024-2026 of the National Agrarian Health Service - SENASA	Headquarters Resolution 0089-2023-MIDAGRI-SENASA
SENASA	Annual Institutional Operational Plan 2023 of Sheet 160: National Agrarian Health Service - SENASA	Headquarters Resolution No. 0203-2022-MIDAGRI-SENASA
Executing Unit Agricultural Health Development Program – PRODESA (SENASA)	Program "Development of Agricultural Health and Food Safety - Phase II" Loan Contract No. 4457/OC-PE	Headquarters Resolution No. 0137-2020-MIDAGRI-SENASA

Organization	Document name	Regulations with which it was approved
SERFOR	Institutional Strategic Plan 2019-2024 of the National Fauna Service - SERFOR	Executive Management Resolution No. D000026-2021-MIDAGRI-SERFOR-DE
SERFOR	Institutional Operational Plan (POI) Multiannual 2022-2024 of the National Fauna Service - SERFOR	Executive Management Resolution No. D000253-2021-MIDAGRI-SERFOR-DE
SERFOR	Forestry and Wildlife Law No. 29763 and its regulations	SERFOR working document
SERFOR	National Forest and Wildlife Policy	Supreme Decree No. 009-2013-MINAGRI
INIA	Institutional Strategic Plan (PEI) 2020-2026 expanded from Sheet 163: National Institute of Agrarian Innovation	Headquarters Resolution No. 0090-2023-INIA
INIA	Institutional Operational Plan (POI) Multiannual for the period 2024-2026 of Sheet 163: National Institute of Agrarian Innovation	Directorial Resolution No. 004-2022-INIA-OPP
SSE	Institutional Strategic Plan for the period 2020-2024 of Sierra y Selva Exportadora	Executive Presidency Resolution No. 014-2020-MINAGRI-SSE/PE
SSE	Institutional Operational Plan (POI) Multiannual for the period 2024-2026 of Sheet 018. Sierra y Selva Exportadora	Executive Presidency Resolution No. 032-2023-MIDAGRI-SSE/PE
SSE	Annual Institutional Operating Plan (POI) 2023 of Specification 018-Sierra y Selva Exportadora for Fiscal Year 2023, consistent with the Opening Institutional Budget (PIA) for Fiscal Year 2023	Executive Presidency Resolution No. 107-2022-MIDAGRI-SSE/PE

Annex 4. SERNANPs´ documents reviewed

Organization	Document name	Regulations with which it was approved
SERNANP	PEI Institutional Strategic Plan of the National Service of Natural Areas Protected by the State - SERNANP, for the period 2022-2026	Presidential Resolution No. 131-2022-SERNANP
SERNANP	Institutional Operating Plan (POI) 2023 consistent with the Opening Institutional Budget (PIA) 2023 of the National Service of Natural Areas Protected by the State - SERNANP	Presidential Resolution No. 330-2022-SERNANP
MINAM	Updated Multiannual Sector Strategic Plan (PESEM) of the Environmental Sector 2017-2021	Ministerial Resolution No. 174-2016-MINAM
MINAM	Updating of the Master Plan for Protected Natural Areas (National Strategy)	Supreme Decree 016-2009-MINAM
SERNANP	Regulation of Organization and Functions of SERNANP	Supreme Decree No. 006 - 2008 - MINAM
SERNANP	Environmental, Social and Indigenous Peoples Management Framework of the National System of Natural Areas Protected by the State MGAS-SINANPE"	Resolution of the Presidency No. 240-2022-SERNANP
SERNANP	Master Plan of the National Reserve of Salinas and Aguada Blanca 2016-2020	Presidential Resolution No. 257-2016-SERNANP
SERNANP	Master Plan of the Landscape Reserve of the Cotahuasi Sub-basin 2019-2023	Presidential Resolution No. 079-2019-SERNANP
SERNANP	Master Plan for the Nor Yauyos Cochas Landscape Reserve 2022-2027	Presidential Resolution No. 264-2022-SERNANP
SERNANP	Master Plan of the Ampay National Sanctuary, period 2022-2026	Presidential Resolution N°012-2022-SERNANP

Annex 5. PROFONANPEs' documents reviewed

Type of Documents	Documents checked	Background / Objectives
Institutional Management Documents	Supreme Decree No. 001-2021-MINAM, Supreme Decree approving the Internal Regulations of PROFONANPE	Restructuring of Profonanpe through the Sixth Complementary Final Provision of Emergency Decree No. 022-2020, Emergency Decree for Strengthening the Identification and Management of Environmental Liabilities, provides that the National Environmental Fund - FONAM, created by article 2 of Law No. 26793, Law for the Creation of the National Environmental Fund, merge under the modality of absorption to PROFONANPE, created by article 2 of Decree Law No. 26154, having the latter as an incorporating institution; instructing PROFONANPE to carry out the corresponding actions in order to conduct and complete the merger process
	Code of Good Corporate Governance, November 2021	The Good Corporate Governance Code provides the principles to be followed mainly by the two management bodies of Profonanpe, so that they express their desire for self-regulation to the different interest groups with which Profonanpe relates.
	Code of Ethics, November 2021	The objective of the Code of Ethics is to establish the standards of ethical behaviour of the people that make up Profonanpe and, in general, of the people under its scope.
	Guidelines to prevent conflict of interest, December 2018	The objectives of the Guideline are i. Establish the procedure to prevent aspects related to conflict of interest, so that they are fulfilled by Profonanpe workers, consultants/suppliers hired to provide professional services, specific and/or specific services, etc. ii. Avoid situations that place them in this type of conflict. iii. If it occurs, know how to act correctly.
	Administrative Guidelines, December 2018	Establish the rules and procedures of Profonanpe for the granting and rendering of advances granted, contracting and acquisitions that are required for the execution of the projects, as well as for the approval and evaluation of the results thereof.
	Environmental and Social Safeguards Manual, July 2022	The objective of the manual is to promote the operation and implementation of Environmental and Social Policies in the interventions in which Profonanpe participates through procedures, tools and instruments in the formulation, implementation, monitoring and evaluation phases. It is important to mention that there was a first edition of the Manual in 2018.
	Environmental, Social and Gender Policies, July 2022	Their purpose is to avoid, mitigate and manage possible adverse environmental and social impacts and risks that may arise during the implementation of the interventions, as well as enhance and improve the environmental and social benefits and opportunities for the local populations involved. These policies constitute a management tool that allows both men and women to exercise their rights during the design and implementation of interventions, thus contributing to improving their quality of life.
	Complaints Response Mechanism, August 2022	The Complaints Attention Mechanism aims to establish the roles and functions, as well as the procedures that allow the resolution of complaints that are generated within the framework of Profonanpe's processes and interventions, in order to attend to them in a pertinent and timely manner. It is important to mention that a first version was approved in 2021.

Type of Documents	Documents checked	Background / Objectives
	Regulations for the prevention and fight against corruption, terrorism and others, December 2018	These Rules are intended to prevent and combat fraud and corruption that may occur in connection with the use of funds during the preparation and/or execution of a Project through Profonanpe. These Rules establish the general principles, requirements and sanctions applicable to the persons and executing entities that receive these funds, and that are responsible for their deposit or transfer, or make decisions regarding their use or influence them.
	Anti-Money Laundering and Anti-Financing of Terrorism Policy, October 2021	The purpose of this Policy is to warn and detect operations related to money laundering and terrorist financing in order to be able to deal with them and report them to the competent authorities.
	Whistleblower and Witness Protection Policy, November 2021	The purpose of this Policy is to provide guidelines for protection against retaliation for anyone who reports misconduct or misconduct, provides good faith information about wrongdoing by one or more employees, or cooperates as a witness in an audit or investigation. (duly authorized).
	Internal Sustainability and Eco-efficiency Policy, October 2021	Strategic Objective 1: Promote the development of good practices by Profonanpe's collaborators to achieve sustainability and eco-efficiency in the institution, inside and outside the office. Strategic Objective 2: Promote sustainable actions to reduce Greenhouse Gas (GHG) emissions in Profonanpe's facilities.
	Indigenous or Native Peoples Policy, August 2021	This Policy has 3 objectives: (1) To respect and promote the collective rights of indigenous or native peoples in the areas where the interventions implemented by Profonanpe and/or its strategic allies are carried out. (2) To promote the informed participation of Indigenous peoples throughout the life cycle of the programmes and projects implemented by Profonanpe and/or its strategic allies, in order to prevent, minimise or correct any negative impacts that may be generated, and to enhance the positive impacts for the benefit of indigenous peoples. (3) To promote activities that lead to the well-being of indigenous peoples and improve their livelihoods and the environmental sustainability of their territories.
	Gender Policy, July 2021	Promote equality between women and men in the exercise of their rights and opportunities for development, at the institutional level according to the framework of their powers.
	Equity, Diversity and Inclusion Policy, February 2021	The objective of this policy is to establish the guidelines that promote a culture of equity, diversity and inclusion in Profonanpe and in the areas where it operates.
evaluations	PROFONANPE Partner Evaluation Final Report, 2022 (prepared by Norway)	Contribution to Norway's decision to finance a National Financial Mechanism to implement, manage and monitor REDD+1 projects in Peru. Profonanpe's competence and capacity in financial management, cost efficiency and results management are evaluated

Type of Documents	Documents checked	Background / Objectives
	Management Report 2022	<p>During 2022, Profonanpe administered and managed 34 projects whose annual budgets amounted to almost USD 40 million, at the same time that the Ministry of the Environment appointed them as the technical operator of 4 new projects financed by the Global Environment Fund, which have total budgets. of more than USD 34.8 million and that will start operating in 2023. Profonanpe managed to consolidate its position with the Green Climate Fund, signing the Reaccreditation Framework Agreement for the period 2022-2027 and obtaining financing for a new project.</p> <p>Projects in the departmental scope of the Project (Puno, Cusco, Arequipa, Apurímac), in 2022: GIAHS (GEF-FAO); PDP INITIATIVE (GEF-WWF/ANDES AMAZON FUND / WWF MOORE); Entrepreneurs by Nature (FONANPE); Cotahuasi (Ares Mining Company)</p>

Annex 6. IdMs' documents reviewed

Type of Documents	Documents checked	Background / Objectives
Institutional Management Documents	IdM Operations Manual, February 2020	The IdM Operations Manual establishes the operating and accounting procedures updated to 2020. The operating procedures include issues on conflict of interest, technical and financial reports, planning and request for funds, income, payment of obligations, funds to render, petty cash, Acquisition of goods and/or services, preferred suppliers, use and maintenance of own vehicles, control of assets and belongings, request for travel expenses and accountability, hiring of short-term and long-term consultants, annual budget and cash flow, and financial monitoring and evaluation.
	Organization and Functions Manual, August 2020	The Organization and Functions Manual establishes the functions corresponding to all IdM positions, updated to 2020.
	Personnel Manual, February 2020	The Personnel Manual develops the criteria and/or requirements for personnel selection, remuneration, training, vacations, and attendance. Additionally, it includes the following Personnel Policies: Selection of personnel, Remuneration of personnel, Training of personnel, Ethics of personnel, Contingencies and termination of personnel, Work and breaks of personnel, Evaluation of personnel performance, Travel expenses, to prevent the money laundering and financing of terrorism, Anti-corruption.
	IdM Digital Brochure	This document provides the mission and outstanding projects executed by IdM
Project Evaluations	Final evaluation of the United Nations Environment Program project "Ecosystem-based Adaptation for Mountain Ecosystems", May 2017	The purpose of this document is to evaluate the EbA Montañas Project in Peru, regarding the project's performance (in terms of relevance, effectiveness and efficiency) and to determine the results and impacts (actual and potential) derived from the project, including its sustainability.
	Key Results: Scaling Up of Mountain Ecosystem-Based Adaptation	Building on the achievements of the EbA Mountain Program, the project 'Scaling up mountain ecosystem-based adaptation: building evidence, replicating success and informing policy' was implemented between 2017 and 2022. This project added 3 countries: Bhutan, Colombia and Kenya. In June 2022, the impact evaluation of the project was commissioned for the generation of lessons learned. This document summarizes the key results and presents the main conclusions of the expansion of the EbA Mountain Project.
	Scaling up mountain ecosystem-based adaptation: building evidence, replicating	Following the success of the EbA Montaña 2011-2016 project, the Mountain Institute implemented the Scaling-up Mountain EbA project in the Nor Yauyos Cochas Landscape Reserve and the communities of Miraflores, Canchayllo, Tanta and Tomás. In this sense, the EbA measures from the previous phase were consolidated and new EbA actions were implemented in Tomás.

Type of Documents	Documents checked	Background / Objectives
	success and informing policy	
	Key achievements: generating evidence, replicating success and informing policy	This document presents the main achievements obtained by scaling the EbA Mountain Program in the countries where it was applied.
	Catalogue of adaptation measures based on mountain ecosystems	This document presents the catalogue of EbA measures in mountains, based on experiences using nature-based solutions to build climate resilience in mountain communities in South America, Asia and Africa.
	The Ancestral Future: Ecosystem-Based Adaptation. Lessons learned for adaptation to climate change in the RPNYC, 2016.	The objective of this work has been to systematize the experience of the EbA Montaña project, focusing on the measures that were implemented in the different communities, and considering the effectiveness of the different strategies to generate positive results and promote sustainability, replicability and scaling to regional and national level.
	Experience Systematization Report: Implementation of robust Ecosystem-based Adaptation measures in the rural communities of Canchayo and Miraflores (RPNYC)	This document collects the results of the systematization process of the experience of implementing robust Ecosystem-based Adaptation measures in the peasant communities of Canchayllo and Miraflores (Nor Yauyos-Cochas Landscape Reserve, Peru), which were carried out between March 2013 and November 2015.

Annex 7. Questionnaire for structured interviews of public entities

MIDAGRI Questionnaire

Component 1: Resilient ecosystems and communities
Technical capacity: 1. Financially and technically execute EbA measures and sustainable economic activities resilient to climate change
1. Does the organization have the capacity to develop instruments and mechanisms for budget allocation of EbA measures and/or sustainable economic activities resilient to climate change in high Andean areas?
2. Do PPRs 0121, 0042, 0130, 0068 and 0089 incorporate EbA measures and/or sustainable economic activities resilient to climate change in their design? If the answer is no, do you consider it important to include it in your design? What type of support is required to include it in the design?
3. What is the level of articulation of the GORES and GOLOS to the PPRs of the sector? (low, medium, high). If you answer low or medium, indicate the reasons, and what is required to improve this situation.
4. To date, does the sector have the capacity to formulate an investment portfolio to implement EbA measures and/or sustainable economic activities resilient to climate change in the high Andean areas of Puno, Cusco, Apurímac, Cusco and Lima Provinces?
5. Does the organization have the capacity to hire a decentralized technical team for the execution of interventions that include EbA measures and/or sustainable economic activities resilient to climate change?
6. Does the organization have the capacity to delegate and decentralize financial responsibilities? Do you have the capacity to oversee the use of decentralized financial resources? Do you have the capacity to monitor the cost of delivering products and services to an adequate standard of quality?
7. What are the main problems of the entity for the execution of interventions in the high Andean areas? What are the opportunities for improvement?
8. Does the organization have the capacity to mobilize external (private) resources to implement EbA and/or sustainable economic measures resilient to climate change in the high Andean areas? What kind of tools do you have? <i>(For example, support from private entities in the territory, Oxl mechanism, among others)</i>
Technical capacity 2. Promote and scale innovations considering ancestral knowledge and technology transfer
1. Does the organization have the capacity to promote instruments and/or mechanisms that involve stakeholders in innovations that consider ancestral knowledge and technology transfer?
2. What are these instruments? Is there a rural talent policy or guideline? Or transfer of ancestral knowledge? Is there an active registry of Yachachiq and/or rural talents? Who operates it?
3. What are the main barriers to the promotion of innovations that consider ancestral knowledge and technology transfer? What are the opportunities for improvement in this topic?
4. We know that SINEACE was deactivated. What were the causes? Do you have plans to reactivate it?
5. Does the organization have the capacity to scale innovations considering ancestral knowledge and technology transfer?
6. What are the main barriers to scaling innovations that consider ancestral knowledge and technology transfer? What are the opportunities for improvement in this topic?
Component 2. Public and private investment aligned and leveraged for EbA
Technical capacity 3: Articulate subsidy programs in high Andean areas
1. Does the organization have the capacity to develop specific policies, frameworks and mechanisms for subsidies and/or incentives for the high Andean areas? <i>For example, the AgroPerú camelid financing programs. Catastrophic Insurance for alpacas was in process. Is it feasible to evaluate Agroideas developing specific incentives in high Andean areas?</i>

2. What are the main barriers to accessing this type of subsidies in the high Andean areas? What are the opportunities for improvement?
3. What is the level of inter-institutional articulation (between the Executing Agencies or specifications or programs of the entity) for the execution of subsidies in the high Andean areas?
4. If you answer that there is a low articulation, indicate the causes and opportunities for improvement.
5. What is the level of effectiveness of the CGRAs for inter-institutional articulation? Is there a way to measure the effectiveness of CGRAs?
Technical capacity 4: Capacity to raise new private funds to finance EbA measures and sustainable economic activities resilient to climate change
1. Does the organization have the capacity to develop instruments and/or mechanisms to raise private funds to finance EbA interventions over time (sustainability)? <i>For example, voluntary carbon market and water MERESE (or agricultural MERESE), or other remuneration mechanism for ecosystem services. Support from the private sector. FSA told us that they receive support from mining companies to prepare Technical Files for gochas and microservoirs within their area of influence.</i>
2. If yes, mention related experiences or regulations.
3. What are the main barriers to raising private funds? What are the opportunities for improvement? <i>For example, lack of standards, or lack of methodologies to calculate carbon in Puna ecosystems (grasslands and wetlands) and lay the foundation for accounting systems and carbon credits for future trade.</i>
4. Currently, does the entity have the capacity to manage new private funds?
5. What are the main barriers to managing new private funds?
Component 3. Strengthening of institutional capacities to integrate EbA in territorial planning
Technical capacity 5: Articulate their programs in the territory to implement EbA measures and sustainable economic activities resilient to climate change
1. What is the level of inter-institutional articulation (among the Executors or specifications or programs of the entity) for the execution of EbA measures and economic activities in the high Andean areas?
2. What is the level of effectiveness of the CGRAs for inter-institutional articulation? Is there a way to measure the effectiveness of CGRAs?
3. What is the level of intragovernmental articulation (with GR and GL) for the execution of interventions in the high Andean areas? <i>For example, can a project to support the productive development of the GR or LG be complemented with a line of subsidies from the sector? Is there this level of articulation in the territory?</i>
4. If there is a low level of articulation, mention the causes and opportunities for improvement.
5. What is the level of articulation of the GR and GL with the PPRs of the sector? (low, medium, high). If you answer low or medium, indicate the reasons, and what is required to improve this situation.
Technical capacity 6: Coordinate with other sectors to facilitate sustainable economic activities resilient to climate change
1. What is the level of intersectoral articulation for the facilitation of economic activities? (connectivity/local roads, communication, rural electrification, others?)
2. Are there spaces for effective coordination with other sectors? Are the CGRAs that space?
Technical capacity 7: Get involved with peasant communities and producer organizations
1. Do the sector's planning instruments involve peasant communities?
2. Does the sector have institutionalized spaces for participation where peasant communities can present their demands for support for productive development?
3. Is there an institutional communication channel with peasant communities?
4. The ROF indicates that they provide technical assistance in the process of citizen participation in the sector, in coordination with the corresponding organizational units; What topics do this technical assistance include?

Technical capacity 8: Formulation of policies and standards
1. Does the organization have policies and regulations focused on EbA measures and/or sustainable economic activities resilient to climate change in high Andean areas?
2. If they do not have it, what is required to be able to include or formulate policies with this type of approach?
3. Currently, there are Guidelines for the Second Agrarian Reform. Is the implementation of this reform still a priority for the sector?
Technical capacity 9: Plan budget, manage it and implement it with an EbA, gender, and climate resilience approach
1. Does the organization have budget planning instruments with a gender focus? Explain. <i>For example, the instrument has the Women's Fund. Are there other specific products for women?</i>
2. If the gender approach is not mainstreamed in sector planning, what are the main barriers and what are the opportunities for improvement for the sector? Is it a priority for the sector?
Technical capacity 10: Monitor the impact of EbA measures and analyse climate information
1. Does the organization prepare impact studies of EbA interventions or economic activities carried out in the territory? If so, does it have a repository of publicly accessible impact studies?
2. Does the organization have, analyse and use climate information for decision making in a timely manner? To answer yes; What dissemination mechanisms do you use to reach both producers and decision makers in the territory? <i>Do you have an agreement with SENAMHI for the exchange of climate information?</i>
3. If you answer no to the previous question, what kind of information do you require? and for what purposes?
Technical capacity 11: Monitor and report commitments under the NDCs
1. Does the organization have a monitoring and reporting system for the sector's NDCs? What are the advances?
2. If you have a monitoring and reporting system, indicate what kind of tools you have.
3. If not, what are the main problems you have in order to implement a monitoring and reporting system?
4. What is the level of progress in the implementation of the sector's NDCs?
5. What is the expected role of the "Commission of the Agricultural and Irrigation Sector on Climate Change (CSARCC)"?

SERNANP Questionnaire

Component 1: Resilient ecosystems and communities
Technical capacity: 1. Financially and technically execute EbA measures and sustainable economic activities resilient to climate change
1. Does SERNANP have the capacity to develop instruments and mechanisms for budget allocation of EbA measures and/or sustainable economic activities resilient to climate change in ANPs located in high Andean areas?
2. Does PP 057 incorporate in its design a climate change, climate resilience and gender approach? If the answer is no, do you consider it important to include it in your design? What type of support is required to include it in the design?
3. What is the level of articulation of the GR and LG with the PPs of the sector? (low, medium, high). If you answer low or medium, indicate the reasons, and what is required to improve this situation.
4. To date, does SERNANP have the capacity to formulate an investment portfolio to implement EbA measures and/or sustainable economic activities resilient to climate change in the ANPs within the scope of the project?
5. Does SERNANP have the capacity to contract a decentralized technical team for the execution of interventions that include EbA measures and/or sustainable economic activities resilient to climate change within the ANPs?

6. Does SERNANP have the capacity to delegate and decentralize financial responsibilities? Do you have the capacity to oversee the use of decentralized financial resources? Do you have the capacity to monitor the cost of delivering products and services to an adequate standard of quality?
7. What are the main problems or barriers of SERNANP for the execution of interventions in ANP located in high Andean areas? What are the opportunities for improvement?
8. Does SERNANP have the capacity to mobilize external (private) resources to implement sustainable EbA and/or economic measures resilient to climate change in the ANPs located in the high Andean areas? What kind of tools do you have? <i>(For example, support from private entities in the territory, Oxi mechanisms, others)</i>
Technical capacity 2. Promote and scale innovations considering ancestral knowledge and technology transfer
1. Does SERNANP have the capacity to promote instruments and/or mechanisms that involve stakeholders in innovations that consider ancestral knowledge and technology transfer?
2. What are these instruments? Is there a policy or guideline to promote transfer of ancestral knowledge?
3. What are the main barriers to promoting innovations that consider ancestral knowledge and technology transfer? What are the opportunities for improvement in this topic?
5. Does the organization have the capacity to scale innovations considering ancestral knowledge and technology transfer?
6. What are the main barriers to scaling innovations that consider ancestral knowledge and technology transfer? What are the opportunities for improvement in this topic?
Component 2. Public and private investment aligned and leveraged for EbA
Technical capacity 3: Articulate subsidy programs in high Andean areas
1. Does SERNANP have the capacity to develop specific subsidy policies, frameworks and mechanisms for ANPs located in high Andean areas?
2. What are the main barriers to accessing this type of subsidies in the high Andean areas? What are the opportunities for improvement?
3. What is the level of inter-institutional articulation (with MIDAGRI, for example) for the execution of subsidies in Buffer Zones in high Andean areas?
4. If you answer that there is a low articulation, indicate the causes and opportunities for improvement.
5. What is the level of effectiveness of the ANP Management Committees for inter-institutional articulation? Is there any way to measure the effectiveness of these Management Committees?
Technical capacity 4: Capacity to attract new private funds to finance EbA measures and sustainable economic activities resilient to climate change
1. Does SERNANP have the capacity to develop instruments and/or mechanisms to attract private funds that allow financing EbA interventions over time (sustainability)? <i>For example, the voluntary carbon market and MERESE water, or another compensation mechanism for ecosystem services. Support from the private sector.</i>
2. If the answer is yes, mention related experiences or regulations.
3. What are the main barriers to attracting private funds? What are the opportunities for improvement? <i>For example, lack of standards, or lack of methodologies to calculate carbon in Puna ecosystems (grasslands and bofedales) and lay the foundation for accounting systems and carbon credits for future trade.</i>
4. Does SERNANP currently have the capacity to manage new private funds?
5. What are the main barriers to managing new private funds?
Component 3. Strengthening of institutional capacities to integrate EbA in territorial planning
Technical capacity 5: Articulate their programs in the territory to implement EbA measures and sustainable economic activities resilient to climate change

1. What is the level of intragovernmental articulation (with GR and GL) for the execution of interventions in ANPs located in high Andean areas? If there is a low level of articulation, mention the causes and opportunities for improvement.
2. What is the level of effectiveness of the Management Committees for inter-institutional articulation? Is there any way to measure the effectiveness of these Management Committees?
3. What is the level of articulation of the GR and LG with the PPs of the sector? (low, medium, high). If you answer low or medium, indicate the reasons, and what is required to improve this situation.
Technical capacity 6: Coordinate with other sectors to facilitate sustainable economic activities resilient to climate change
1. What is the level of intersectoral articulation for the facilitation of sustainable economic activities resilient to climate change in ANPs located in high Andean areas?
2. Are there spaces for effective coordination with other sectors? If there is, indicate it.
Technical capacity 7: Get involved with peasant communities and producer organizations
1. Do the SERNANP planning instruments involve peasant communities?
2. Does SERNANP have institutionalized spaces for participation where peasant communities can present their demands for support for productive development?
3. Is there an institutional communication channel with the peasant communities?
Technical capacity 8: Formulation of policies and norms
1. Does SERNANP have policies and regulations focused on EbA measures and/or sustainable economic activities resilient to climate change in high Andean areas?
2. If they do not have it, what is required to be able to include or formulate policies with this type of approach?
Technical capacity 9: Budget planning, management, and implementation with an EbA, gender, and climate resilience approach
1. Does SERNANP have budget planning instruments with a gender focus?
2. If the gender approach is not mainstreamed in SERNANP planning, what are the main barriers and what are the opportunities for improvement for the sector? Is it a priority for SERNANP?
Technical capacity 10: Monitor the impact of EbA measures and analyse climate information
1. Does the organization prepare impact studies of EbA interventions or sustainable use activities resilient to climate change carried out in the territory? If so, does it have a repository of publicly accessible impact studies?
2. Does the organization have, analyse and use climate information for decision making in a timely manner? Do you have an agreement with SENAMHI for the exchange of climate information?
Technical capacity 11: Monitor and report commitments under the NDCs
1. Does the organization have a monitoring and reporting system for the sector's NDCs? What are the advances?
2. If you have a monitoring and reporting system, indicate what kind of tools you have.
3. If not, what are the main problems you have in order to implement a monitoring and reporting system?
4. What is the level of progress in the implementation of the NDC that SERNANP is in charge of?

Annex 8. Services defined in the National Agrarian Policy

According to the National Policy Guide, a service refers to the intangible, unique, non-storable and non-transportable provision, which is delivered to a user external to the provider entity. The National Agrarian Policy 2021-2030, approved under Ministerial Resolution No. 017-2021-MIDAGRI, defines 22 services articulated to the 14 guidelines of the Policy:

Guidelines	name of the service	Supplier
Improve financing mechanisms, agricultural insurance, and non-reimbursable resources for family agricultural producers (in transition and consolidated) and businesses	Service of support mechanisms for the articulation of agricultural producers to the market	AGROIDEAS
	Project services for the reconversion and diversification of agricultural production for agricultural producers	AGROIDEAS
Strengthen the mechanisms of commercial articulation of family agricultural products (in transition and consolidated) and business	Direct marketing channels to agricultural producers (in transition and consolidated) and businesses	RURAL AGRICULTURE SSE DGESEP
	Authorization of use of the Certification Mark "Family Farming of Peru"	DGASFS
Develop programs to strengthen productive and commercial capacities for family agricultural producers (in transition and consolidated) and business agricultural producers	Capacity building program in business, commercial and productive management for family agricultural producers (in transition and consolidated) and business	SSE
	Training service in transformation processes of associations of family agricultural producers (in transition and consolidated) to agricultural cooperatives	DGASFS
Develop an integrated agricultural information system	no services	
Increase the access of subsistence family agricultural producers to the financial market, non-reimbursable resources and insurance for productive purposes and technological improvement	Service of support mechanisms for the improvement of productive conditions of subsistence family agricultural producers	AGROIDEAS
Increase access to commercial articulation mechanisms for family subsistence agricultural products	Provision of the AGRO OFFER direct commercial articulation mechanism for subsistence family agricultural producers	DGESEP
Encourage associativity in subsistence family agricultural producers	Training service in access to organizational models for subsistence family agricultural producers	DGASFS
Increase the technical capacities of subsistence family agricultural producers	Training service in agri-food safety standards focused on good agricultural practices in subsistence family agricultural producers	SENASA
	Program to strengthen capacities in prevention and	SENASA

	control of pests and diseases that affect agricultural production	
Diversify value chains with more profitable and sustainable products	Service of projects for the reconversion and diversification of agricultural production for subsistence family agricultural producers	AGROIDEAS
Increase access to quality agricultural inputs	Service to promote the use of guano from the islands	RURAL AGRICULTURE
Increase access to agricultural information for subsistence family agricultural producers	no services	
Increase access to natural production resources for agricultural producers	Legal physical sanitation of agricultural property and rural cadastre	DIGESPACR
	Provision of irrigation infrastructure for agricultural production	PSI RURAL AGRICULTURE
	Provision of infrastructure for planting and harvesting water in agricultural production	UEFSA
	Formalization of water users for agricultural purposes	ANA
	Provision of infrastructure for technical irrigation on agricultural land	PSI RURAL AGRICULTURE
Implement agricultural practices for sustainable use of natural resources in production	Technical assistance in good irrigation practices and water management in agricultural producers	PSI RURAL AGRICULTURE
	Technical assistance in good soil management practices	RURAL AGRICULTURE
Improve the generation of information on natural resources for agricultural production	Cadastral Information Service for Rural Properties and Peasant and Native Communities	DIGESPACR
	Agricultural soil information service that includes survey and soil studies and classification of land by its capacity for greater use	DGAAA