

Terminal Evaluation of the Project

“Mainstreaming Biodiversity Conservation and Sustainable Use into NTFP and AFS production practices in Multiple-Use Forest Landscapes of High Conservation Value”

Deliverable 3: Final Terminal Evaluation Report

December 14, 2021

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ACRONYMS

AFS	Agro-forestry Systems
ANATER	National Agency for Technical Support and Extension
APA	Area of Environmental Protection
APP	Permanent Protection Area
APR	Annual Project Report
ASA	Brazilian Semi-arid Articulation
AWP	Annual Work Plan
BD	Biodiversity
CBD	Convention on Biological Diversity
CAA-NIM	Center for Alternative Agriculture of the North of Minas
CAMBio	Central American Markets for Biodiversity
CDP	Country Program Document
CDR	Combined Delivery Report
CONAB	National Food Supply Company
COOPERCUC	Family Farming Cooperative of Canudos, Uauá, and Curaçá
CT	Citizenship Territory
CU	Conservation Units
ECOFORTE	Fundacao Banco do Brasil
EFA	Escolas Familia Agricola
EMBRAPA	Brazilian Agricultural Research Agency
GEF	Global Environment Facility
GoB	Government of Brazil
GDP	Gross Domestic Product
ICMBio	Chico Mendes Institute for Biodiversity Conservation
ISPN	Society, Population and Nature Institute
MAPA	Ministry of Agriculture, Livestock and Supply
MDA	Ministry of Agrarian Development
MDS	Ministry of Social Development and Fight against Hunger
MIQCB	Interstate Movement of Babaçu Coconut Breakers
MMA	Ministry of Environment
MTR	Mid-Term Review
MUL	Multiple Use Landscape
OPF	Operational Focal Point
NBSAP	National Biodiversity Strategy and Action Plan
NTFP	Non-timber Forest Products
PAA	Food Acquisition Program
PGPMBIO	General Policy of Guaranteed Minimum Prices
PIR	Project Implementation Review
PMU	Project Management Unit

PNAE	National School Lunch Program
PNAPO	National Policy for Organic and Agroecological Production
PNATER	National Policy for Technical Assistance and Rural Extension
PNPPS	National Plan for the Promotion of Sociobiodiversity Production Chains
PRONAF	National Program for Strengthening of Family Agriculture
RESEX	Extractive Reserve
RTA	Regional Technical Advisor
SESP	Social and Environmental Screening Procedure
SFB	Brazilian Forest Service
SGD	Sustainable Development Goals
SISUC	Social and Environmental Indicators System for Conservation Units
SMART	Specific, Measurable, Achievable, Realistic, and Timely
SNUC	Consolidation of National System of Conservation Units
ToR	Terms of Reference
UN	United Nations
UNDP	United Nations Development Programme
UNEG	United Nations Evaluation Group
WWF	World Wildlife Fund

EXECUTIVE SUMMARY

Table 1 Project Information Table			
Project Title	Mainstreaming Biodiversity Conservation and Sustainable Use into NTFP and AFS production practices in Multiple-Use Forest Landscapes of High Conservation Value	PIF Approval Date:	February 21, 2013
UNDP Project ID (PIMS #):	4659	CEO Endorsement Date (FSP) / Approval date (MSP):	
GEF Project ID:	5091	ProDoc Signature Date:	June 12, 2015
UNDP Atlas Business Unit, Award ID, Project ID:	00083645	Date Project Manager hired:	Technical Adviser: November 01, 2015 Project Manager: January 01, 2016
Country/Countries:	Brazil	Inception Workshop Date:	February 23 – 24, 2016
Region:	Latin America and the Caribbean	Mid-Term Review Completion Date:	March 06, 2020
Focal Area:	Biodiversity	Revised Expected Terminal Evaluation completion date	November 26, 2021
GEF Operational Programme or Strategic Priorities/ Objectives:	Biodiversity	Planned Operational Closure Date:	December 12, 2021
Trust Fund:	5,479,452		
Implementing Partner:	Brazilian Agricultural Research Agency – EMBRAPA		
Financial Information			
PDF/PPG	at approval (US\$M)	at PDF/PPG completion (US\$M)	
GEF PDF/PPG grants for project preparation	100,000	91,324	
Co-financing for project preparation	370,000		
Project	at CEO Endorsement (US\$M)	At TE (US\$M)	
[1] GEF financing	5,479,452	4,536,836	
[2] UNDP contribution:	300,000	180,000	
[3] Government (parallel funding)	27,500,000	3,221,487	
[4] International Cooperation	-	6,274,536	
[5] Other	-	9,810,710	
[6] Total co-financing [2 + 3+4+5]:	27,800,000	19,486,733	
PROJECT TOTAL COSTS [1+6]	33,279,452	24,023,569	

Project Description

1. The project is implemented under UNDP's Direct Execution modality (DEX). EMBRAPA is United Nations Development Programme (UNDP) lead government partner and has responsibility in technical oversight and management through its leadership role in conducting most of the field activities and participation in the Project Board.
2. The project's objective is to ensure that the biodiversity of Brazilian multiple-use forest landscapes of high conservation value is conserved through a strengthened sustainable use management framework for non-timber forest products (NTFP) and agro-forestry systems (AFS). It will support Brazil's goal of promoting the conservation and sustainable use of biodiversity while reducing poverty and increasing resilience in the rural areas, which are governmental objectives stated in public policies and programs.
3. The project conserves biodiversity in key forest landscapes – Amazon, Caatinga and Cerrado – all renowned for their outstanding global biodiversity significance but currently under threat from increasing land use pressures across production landscapes.

Evaluation Rating Table

Monitoring & Evaluation (M&E)	Rating
M&E design at entry	4
M&E Plan Implementation	4
Overall Quality of M&E	4
Implementation & Execution	Rating
Quality of UNDP Implementation/Oversight	5
Quality of Implementing Partner Execution	5
Overall quality of Implementation/Execution	5
Assessment of Outcomes	Rating
Relevance	5
Effectiveness	5
Efficiency	4
Overall Project Outcome Rating	5
Sustainability	Rating
Financial resources	3
Socio-political/economic	3
Institutional framework and governance	4
Environmental	3
Overall Likelihood of Sustainability	3

TE Ratings scales

Ratings for Outcomes, Relevance, Effectiveness, Efficiency, M&E, I&E Execution	Sustainability ratings:	Impact Ratings:
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6: Highly Satisfactory (HS): no shortcomings 5: Satisfactory (S): minor shortcomings 4: Moderately Satisfactory (MS) 3: Moderately Unsatisfactory (MU): significant shortcomings 2: Unsatisfactory (U): major problems 1: Highly Unsatisfactory (HU): severe problems	4: Likely (L): negligible risks to sustainability 3: Moderately Likely (ML): moderate risks 2: Moderately Unlikely (MU): significant risks 1: Unlikely (U): severe risks	3: Significant (S) 2: Minimal (M) 1: Negligible (N)
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Concise summary of conclusions

4. The project is highly relevant because of the global significance of the three biomes intervened, and the support provided to the implementation of national policies and local priorities. It can be said it has left a memorable impression on beneficiaries and partners.
5. The project demonstrated adaptive management capacity to navigate through political turnover, with a change in terms of institutional priorities and staff rotation. It was able to shift market orientation from state to private sector and reacted fast to support communities during the COVID-19 emergency response, in ways that enhanced other development dimensions such as health, food security, access to energy, and connectivity.
6. The project is on track to achieve most of its outcomes and expected results, it was able to exceed certain targets while simultaneously achieved results that were not originally envisioned during project design. By November 2021 the project was only able to execute USD 5.2 million, that is 93%.
7. The project achieved impacts beyond the originally planned and has left an important legacy for future NTFP and AFS projects and initiatives. However, considering the amount of research and information generated and the limits imposed by COVID-19, it was weak to return to participating communities to evaluate results and disseminate the lessons learned.

Recommendations Summary Table

Rec #	TE Recommendation	Entity Responsible	Time frame
A	Category 1: Operational		
A.1	In order to improve efficiency, it is recommended that administrative and procurement instruments are continuously updated and adapted to rural contexts.	UNDP	Mid Term
B	Category 2: Exit strategy		

B.1	It is necessary to follow up on the creation of a portal to store all the information, documents and research. Also, seek to establish this portal with a partner institution to be in charge of maintaining and uploading updated information.	PMU UNDP EMBRAPA	Short Term
B.2	It is important for the project to be able to hold several local and regional events, not just one, to communicate all the information gathered by the project, and for the beneficiaries to know what the results of the project were.	PMU UNDP EMBRAPA	Short Term
B.3	It is recommended to evaluate the possibility of reaching agreements with the National Agency for Technical Support and Extension (ANATER) so that several actions carried out by the project can be linked to the institution, and thus enhance them after the project ends.	PMU UNDP EMBRAPA ANATER	Mid Term
B.4	The project could approach universities or federal districts that have a presence in Marajó to seek resources to continue with the project's actions. The mechanisms that can contribute may be linked to university extension and research projects, and may even contribute directly with financial resources.	PMU UNDP EMBRAPA	Mid Term
B.5	It is recommended that the project evaluate the possibility of seeking an ally to establish a distance education platform, where people can access research, and which, in addition, can be fed by the local communities themselves. This considering the amount of information and research leveraged by the project.	PMU UNDP EMBRAPA	Short Term
B.6	The stakeholders confirm their interest to explore together with the Agriculture Ministry opportunities for a new follow-up project for GEF 8. It is recommended to consider creating a task force or contact group to activate this opportunity.	UNDP EMBRAPA	Mid Term
B.7	The knowledge management and return to participating communities is crucial to close the process and empower participants for future challenges.	PMU UNDP EMBRAPA	Short Term
B.8	Considering the need to return to participating communities and stakeholders, it has been suggested by different partners that there is a need to organize a closing event to share lessons, information and results achieved. This event should also provide the ground for follow up, scale up and sustainability commitments.	PMU UNDP EMBRAPA	Short term

1 INTRODUCTION

8. The Terminal Evaluation (TE) of the Project is carried out as part of the monitoring and evaluation (M&E) framework established in the ProDoc, which establishes that an independent TE must be carried out three months before the final meeting of the Project Board. The TE is undertaken following UNDP and Global Environment Facility (GEF) guidance. It is expected that this evaluation will allow demonstrate progress of results originally planned by the project, its impact, sustainability, as well as recommendations for monitoring activities.

1.1 Purpose and objective of the TE

1.1.1 Purpose

9. The Terminal Evaluation assesses the achievement of project results against what was expected to be achieved and draws lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming. The TE report promotes accountability and transparency and assesses the extent of project accomplishments.
10. The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the “Guidance for conducting terminal evaluations of UNDP-supported, GEF-Financed Projects” (2020). The objectives of the evaluation are to assess the achievement of project results, and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming.
11. The TE will evaluate all interventions made by the Executing Agency (EMBRAPA) to ensure project execution. In this evaluation, work plan adjustments, financial and budgetary aspects, field activity adaptations, the engagement strategy and communication efforts are considered.

1.1.2 Evaluation Objectives

12. The evaluation objective is to assess all categories of project progress using mixed methods. The analytical approach took into consideration the overall problem and barriers mentioned in Chapter 2 Project Description, that this project was designed to support. The TE closely considered the logical framework (Annex 2) and the validation by stakeholders during the inception meeting process to judge whether the

expected results and implementation plan have indeed been the best strategy for implementation as vetted by partners.

- Assess the project's implementation strategy.
- Assess the relevance, efficiency, effectiveness, sustainability, and impact of the interventions.
- Assess the project's processes, including budgetary efficiency.
- Assess the extent to which planned activities and outputs have been achieved.
- Identify the main achievements and impacts of the programmed activities.
- Identify the underlying causes and issues of non-achievement of some targets.
- Document lessons learnt.
- Make recommendations for the design of future projects.

1.2 Scope and Methodology

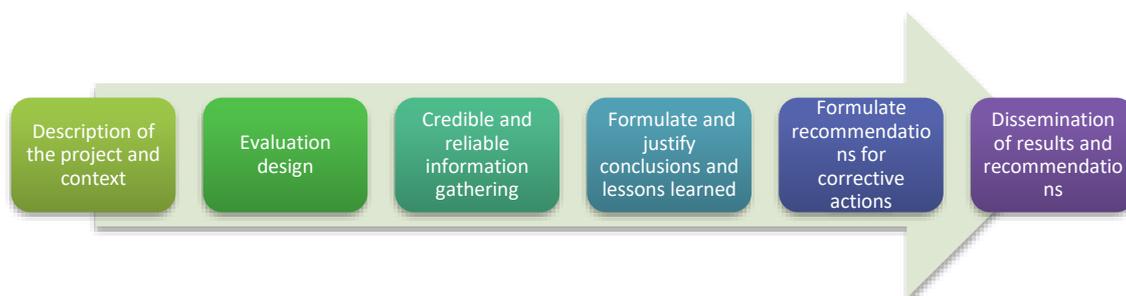
13. In general, the evaluation refers to the collection and systematic analysis of information on the characteristics and results of a project, which serves as a basis for improving its execution and effectiveness and informing decisions for current and future programming. This Terminal Evaluation is focused on results and how they were obtained. Thus, it allows the achievements of the project to be highlighted in the fulfillment of its logical framework, as well as to identify good practices and lessons learned in the design and implementation of the project. The thorough terminal evaluation covers the project implementation period from 2015 to 2021.

14. The Terminal Evaluation will be guided by the ***Guidance for conducting terminal evaluations of UNDP-supported GEF-financed projects (2020)***. In accordance with the guide and the context of the project, the following tools were used:

- Documentation reviews
- Stakeholder interviews
- Questionnaires

15. In general, the evaluation was carried out in six steps that seek to meet the four objectives of the Terminal Evaluation:

Graphic 1 Terminal Evaluation Process



Source: Guidance for conducting terminal evaluations of UNDP-supported GEF-financed projects, 2020

16. During the process, there was an active interaction between the evaluator, the Brazilian Agricultural Research Agency (EMBRAPA) and UNDP, the project management unit (PMU) and other interested parties, in order to accelerate the evaluation process and allow timely feedback of the findings.
17. Initially, on September 30, a first meeting was carried out online. The objective was the presentation of the evaluator to the PMU, EMBRAPA and UNDP, as well as the definition of delivery times and coordination mechanisms between the consultant and the designated counterparts. At the meeting, aspects such as communication channels, direct supervision and coordination of information and product delivery were defined.
18. As of March 11, 2020, the World Health Organization (WHO) declared COVID-19 a global pandemic as the new coronavirus spread rapidly to all regions of the world, limiting international and local travel. In this context, some limitations were encountered during the final assessment due to the new normal being experienced by the COVID-19 pandemic.
19. As this is a fully virtual assessment, the availability of stakeholders, and the capacity or willingness of key actors had to be taken into account. Additionally, consideration was given to the fact that internet/computer accessibility may be an issue, which resulted in some difficulties in arranging for the participation of certain stakeholders, leading to the need to reschedule dates.
20. In order to reduce the risks mentioned above, and, for the evaluation to be feasible, credible and useful, special attention was paid to the different methods and methodologies to be applied in the evaluation. In this sense, possible solutions to these drawbacks were proposed throughout the methodology.

1.2.1 Data Collection and Analysis

21. As a starting point for the evaluation, the evaluator, in accordance with the Guide, evaluated the results and impacts of the project through the evaluation matrix. The matrix presented in Annex 4 identified the key questions related to the evaluation criteria and cross-cutting issues, and how they were to be answered via the methods selected: desk review and interviews. These are detailed below.

1.2.1.1 Secondary Information – Desk Review

22. The evaluator reviewed the project documentation provided by the PMU and the implementing partners. In accordance with the Guidance for conducting terminal evaluations of UNDP-supported GEF-financed projects (2020), 27 documents were considered key for this evaluation. The detailed list of documents and their delivery status is presented in Annex 3. They include the Project Document (ProDoc), Annual Work Plans (AWPs), Combined Delivery Report (CDR), Annual Project Report (APR) and Project Implementation Review (PIR), Consolidated Quarterly Progress Reports, Site-level Quarterly Progress Reports, Mid- and Year-end Assessment Reports, Audit Reports and project products.

23. Based on this review, the evaluator carried out a detailed description of the project covering the identified problem and establishing objectives and their respective activities. A broader context was based on other national documents and reports, including official information from government and donor agencies, such as project documents, capacity building assessments, country reports or profiles. This information provided a measure of the baseline situation prior to project implementation, as well as its perceived contribution or impact.

1.2.1.2 Interviews with Stakeholders

24. As suggested by the Guidance for conducting terminal evaluations of UNDP-supported GEF-financed projects (2020), the evaluation followed a consultative approach that included conducting interviews. This activity enriched the vision of the context through direct contact with the most representative actors in the implementation of the project, thus receiving first-hand testimonies about the progress and barriers encountered.

25. The interviews targeted a diverse array of stakeholders, including project beneficiaries, government representatives, civil society organizations, academia, the UNDP Regional Technical Advisor (RTA), the UNDP Country Office, private sector, local government officials, and national agency officials including the GEF

operational Focal Point (OFP). This allowed the generation of reflections, and to obtain first-hand information about the different stages of the project life cycle, resulting in a comprehensive vision of the evaluation process. The benefits of applying this method were:

- Allowed to obtain information and perceptions of the people who manage, implement, or are beneficiaries of the project.
- The questions were clear and specific, which made it easier to obtain useful information.
- The organization of the interviews, according to evaluation criteria, allowed classifying the answers to facilitate the elaboration of conclusions.
- Allowed to have information to compare with the findings of the documentary review.

26. In the context of the new normal, the field mission was not carried out, making it necessary to maintain a coordinated and organized work between the evaluator and the project team to carry out the interviews. Many project stakeholders were limited in their availability to participate and as a mitigation measure for remote evaluation and to ensure the quality of the evaluation findings, it was proposed to expand the list of potential key stakeholders to be interviewed.
27. Together with the PMU, a universe of potential interviewees was identified (public institutions, private parties, NGOs and beneficiaries), who have participated in different phases of the project (design, execution and closure). The names of the interviewees were provided after consultation with the PMU.
28. Subsequently, a prioritization of actors was carried out by evaluating their availability and representativeness in the project. The list of interviewees is shown in Annex 2 of this report.
29. The execution of the interviews was designed based on an agenda so that representatives of the same institution were interviewed in the same day, avoiding creating confusion due to the perceptions of the different institutions.
30. For the interviews, a questionnaire was used, focused on the participation of the different actors according to their role in the implementation of the project. The list of questions for the evaluation followed the five criteria indicated in Annex D of the Terms of Reference (ToRs) and were proposed by the evaluator based on the information of the project, evaluation criteria and the evaluator's experience (Annex 5).
31. All interviews were online, and the dates were coordinated with the PMU. They lasted about 45 minutes each and were conducted individually. They were also semi-directed and with diverse social actors, always informing the interviewees about the

confidentiality of their answers. Also, as the Guidance for conducting terminal evaluations of UNDP-supported GEF-financed projects (2020) suggests, to preserve independence as well as confidentiality, UNDP staff project team members, and Implementing Partner representatives did not participate in stakeholder or beneficiary meetings or interviews.

32. The different perceptions were sought on issues of interest, to “triangulate” responses and generate less subjective visions.

33. The interviews were formally requested by the PMU and once the invitations had been sent, the evaluator coordinated with the day, time and platform to use to carry out the interviewees.

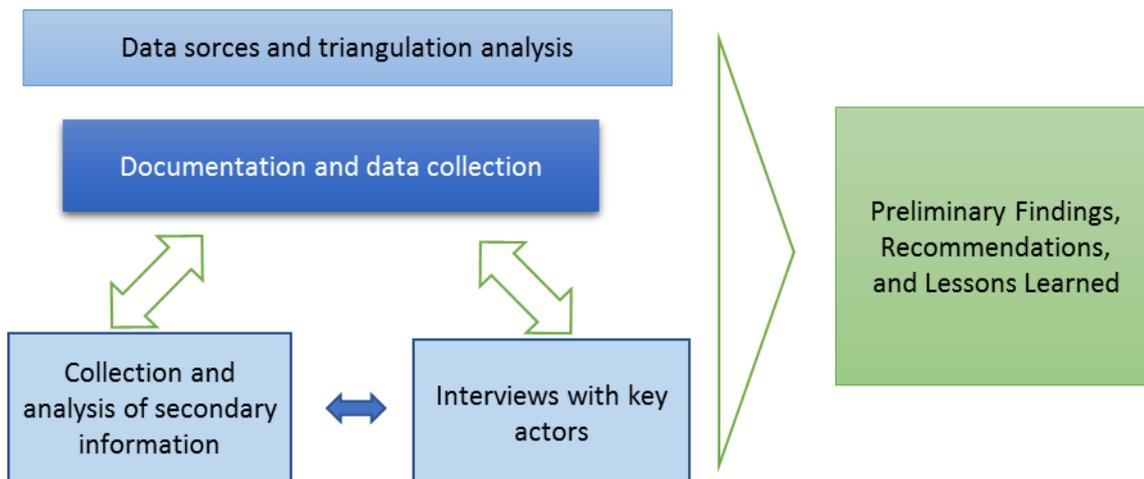
1.2.1.3 Evaluation Report

34. The TE report follows the Guidance for Conducting Terminal Reviews of UNDP-Supported GEF-Financed Projects (2020), it establishes the scope of the terminal evaluation and covers all activities undertaken in the framework of the project. This refers to:

- Planned outputs of the project compared to actual outputs and the actual results as a contribution to attaining the project objectives.
- Problems and necessary corrections and adjustments to document lessons learnt.
- Efficiency of project management, including the delivery of outputs and activities in terms of quality, quantity, timeliness, and cost efficiency.
- Likely outcomes and impact of the project in relation to the specified goals and objectives of the project.

35. Based on the information gathered, the evaluator has formulated a draft document that proposed recommendations that have a technical and practical nature, reflecting a realistic understanding of the project’s achievements, and helping to identify the influential factors and the possibilities of developing corrective measures that have led to a better performance of the project and to comply with the objectives and results established in the logical framework. For preparation of the draft evaluation report and in order to reinforce the credibility and validity of the findings, appreciations and conclusions obtained, the evaluator used triangulation techniques to ensure technical quality. Triangulation involves double- or triple-results checking from the data analysis by cross-comparing the information obtained via each data collection method (desk study and individual interviews) (Graphic 2).

Graphic 2 Information Analysis Diagram



Source: José Galindo, 2021

36. The evaluation was strictly governed by the standards of good evaluations of utility, feasibility, accuracy, and neutrality. The final evaluation of the project was applied to the design, implementation, and results stages of the project for each of its components.
37. **Planning:** Project formulation including the logical framework, assumptions, risks, indicators, budget, country context, national ownership, stakeholder participation in design, replicability, among others.
38. **Project implementation:** implementation approach, stakeholder participation, quality of execution by each institution involved and in general, financial planning, monitoring and evaluation during implementation
39. **Results:** Effects, impacts, catalytic effect of the results obtained, their integration with other UNDP priorities, such as poverty reduction, better governance, prevention and recovery from natural disasters and gender, as well as their sustainability in terms of resources financial, socio-political, institutional framework, governance and environmental.
40. For the TE, as previously mentioned, five criteria were assessed: Relevance, Effectiveness, Efficiency, Results, and Sustainability. Each of them was used to assess project relevance, effectiveness, and efficiency, as well as the quality of M&E systems and Outcomes. It is important to note that the rating scales differ for different criteria (Annex 6).
41. The Final Report will consider all comments to the draft report, including clarifications or modifications. At all times the consultant respected the consistency with the evidence gathered through direct observations or triangulation of documentation and interviews.

1.3 Ethics

42. The evaluation was conducted in adherence to the principles outlined in the United Nations Evaluation Group (UNEG) 'Ethical Guidelines for Evaluations' and GEF and UNDP policies on monitoring and evaluation. As needed, measures have been applied to protect the rights and confidentiality. The evaluator has signed a Code of Conduct form, which is attached here as Annex 7.

1.4 Cross-cutting issues

43. According to the Guidance for Conducting Terminal Reviews of UNDP-Supported GEF-Financed Projects (2020), the TE considered to what extent the project design and implementation took into account key cross-cutting issues, such as gender equality, rights-based approach, capacity development, poverty alleviation, climate change mitigation, and adaptation. These cross-cutting issues built on the synergies of the sustainable development goals (SDGs) and address critical gaps in their delivery.

44. To achieve this, during data collection and analysis, the evaluator found evidence on how key cross-cutting issues for the project were addressed throughout project design and implementation, aiming to identify what specific measures or strategies were taken, and to what extent it was possible to mainstream these issues across project interventions. From an inclusive approach, the TE evaluated if vulnerable groups were identified, how their integration was facilitated by the project, and if these processes contributed to their empowerment and exercise of their rights.

45. Beyond the review of key project documents and reports, the assessment included specific questions to address cross-cutting issues (Annex 5). The assessment also analyzed what extent the project monitoring and evaluation addresses its impact on gender and intercultural relations, considering the participation of stakeholders and the benefits derived from it.

46. Regarding the quality of the engagement process, the TE sought to ensure that the selection of people who participated in interviews and focus groups was adequate and included a diversity of technical actors, authorities, representatives of indigenous peoples and / or other informants who maintained the memory of the processes and were able to share information and perceptions about the project.

1.5 Limitations to the Evaluation

47. Regarding limitations for the COVID-19 pandemic, field visits to carry out interviews did not materialize, generating a delay in the entire evaluation. In this sense, for the

evaluation to be viable, credible, and useful, special care was taken with and different methods were applied to reduce information gaps.

48. Due to travel restrictions, the evaluator was not able to travel, therefore all his stakeholder consultations were undertaken remotely by internet conferencing.
49. Regarding the provision of the information package required for the evaluation, there were information gaps between what was requested and what was delivered. The evaluator contacted the PMU once again to request the information until it was complete.

1.6 Structure of the evaluation report

50. The Terminal Evaluation report is structured in three levels, beginning with this introductory chapter to the evaluation and its methodological process. A second level, covering chapters 2, 3 and 4, presents the evaluation results for each stage of the project life cycle. The main findings and analysis of the evaluation are summarized in the final chapter, presenting conclusions, lessons learned and recommendations.

2 PROJECT DESCRIPTION

2.1 Project start and duration, including milestones

51. The project was signed in 2015 and started its activities in 2016. It was originally supposed to last 5 years but during project execution, it faced setbacks related to delays in resources' assignment and partners' organization. Some other outside factors such as government shifts and economic crises in Brazil affected the project. Also, due to COVID-19, by year 2020 many project activities were significantly delayed, and as a result, a 12 month extension was granted. The new operational and financial closures date was set for June 12, 2021. After this, a second Covid-related extension was also granted from June 12, 2021 to December 12, 2021. The key dates and project milestones are detailed in the Project Information Table presented in the Executive Summary.

2.2 Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope

52. The Caatinga, Cerrado and Amazon biomes have different social and economic characteristics. Areas occupied by family farming and the number of family farms are

higher in the Caatinga and smaller in the Cerrado, where large properties to produce soybean and cattle predominate. In the Amazon, nearly 2 million people (about 10 % of the population) are engaged in family farming, and livestock production is the main land use in this biome. Also, production of NTFPs is recognized as being of major importance for income generation and food security for traditional peoples. At Caatinga, small-scale farming is the most widespread economic activity, followed by services and industrial production, which uses the native vegetation as a source of energy. Between 1996 and 2006, the absolute number of homesteads in the semiarid district expanded by 37,000 units and the region utilized by provincial ranches diminished by almost 2,000,000 ha, showing the effect of the Land Reform Program that, by 2011, settled 107,317 families in around 30,000 km². In the Cerrado, agriculture and livestock production to supply the worldwide market are the main economic exercises (soy, maize, cotton, and beef). Creation of charcoal for the steel business, principally in the State of Minas Gerais and all the more as of late in the State of Mato Grosso do Sul is turning into a significant activity.

53. 46. The government organizations, such as MMA, MDA, MDS, MAPA, National Food Supply Company (CONAB), Chico Mendes Institute for Biodiversity Conservation (ICMbio), Brazilian Forest Service (SFB), OEMAS and National Agency for Technical Support and Extension (ANATER), are related with biodiversity conservation, NTFP and AFS, and carry out various public policies that are essential to the task, among them: the General Policy of Guaranteed Minimum Prices (PGPMBIO), the National Policy for Organic and Agroecological Production (PNAPO), the National Policy for Technical Assistance and Rural Extension (PNATER), the National School Lunch Program (PNAE) and the Food Acquisition Program (PAA).
54. The private sector is gaining significant headway in the execution of corporate ecological obligations by setting up organizations for the creation of Amazonian biodiversity (BD) products, among them NATURA, BOTICARIO, COCACOLA and BERACA. Likewise, Cooperatives and ranchers' associations are involved in agro-processing and sales of agricultural products by buying new BD items, handling, and commercializing an assortment of them, empowering economies of scale and increasing the visibility for NTFP and AFS in the three biomes. Moreover, three financial organizations give credits inside the system of the National Program for Strengthening of Family Agriculture (PRONAF): the Bank of Brazil (BB), at public level, the Bank of Upper east (BNB) in the Caatinga and part of the Cerrado areas, and the Bank of Amazonia (BASA), in the Amazon areas.
55. The provide financing to put in place agroforestry systems for sustainable gathering, agroecology, restoration of Permanent Preservation Areas and Legal Reserves,

family farms and industrializing and commercializing agricultural products. NGOs like World Wildlife Fund (WWF), Society, Population and Nature Institute (ISPN), Center for Alternative Agriculture of the North of Minas (CAA-NM), Brazilian Semi-arid Articulation (ASA) assumed a vital part in executing projects to help communities and indigenous people groups by building capacity for the implementation of good environmental practices and income production.

56. In terms of the policy and legal framework, the key policies that are critical for NTFP and AFS are the National Biodiversity Policy, Biodiversity Strategy and Action Plan (NBSAP) along with the Convention on Biological Diversity (CBD) National Targets for 2020. The General Policy of Minimum Prices for Sociobiodiversity and The National Plan for the Promotion of Sociobiodiversity Production Chains (PNPPS) look to advance fair trade markets and minimum prices for BD items. Likewise, the PRONAF whose goal is to give financing to family ranchers to horticultural creation was key for the project's execution. The project has leveraged the work of these other initiatives in different ways.

2.3 Problems that the project sought to address, threats and barriers targeted

57. The project seeks to address the threats that are affecting forest landscapes in the Amazon, Caatinga and Cerrado biomes, which are known for their global biodiversity significance. These threats are related to pressures over production lands which are being affected by practices such as extraction in and around forested areas throughout the landscape, including land clearing, over-exploitation of resources, and poor fire management. All the factors mentioned above are causing increased encroachment on forest habitats both in areas under conservation and in locations that are strategic for connectivity across the landscape with the result of gradual loss of the global environmental values in these areas.

58. The barriers are targeted for long term solutions and include the governance framework to promote up-scaling of NTFP and AFS production that mainstream BD conservation, limited technical capacities and gaps of information. On the other hand, complex access to markets, financial barriers for sustainable production and, quality and variety of products issues were identified.

2.4 Immediate and development objectives of the project

59. The project focuses on developing a strengthened sustainable use management framework for sustainable NTFP and AFS production, while enhancing rights and roles of stakeholders, communities included, in the sustainable management of BD

and improving their livelihoods. Up-scaling and integration of AFS production provides environmentally friendly forms of land use, increasing connectivity of fragmented ecosystems.

2.5 Expected results

Outcome 1: Governance and capacity building framework for up-scaling best practices for BD sustainable management and production

- Output 1.1: Environmental safeguards optimize inputs of NTFP and AFS production to BD conservation in multiple use landscapes.
- Output 1.2: Improved decision–making support and strategies for policy makers at federal, state, and local levels for mainstreaming and managing AFS and NTFP in production landscapes.
- Output 1.3: Extension services deliver capacity building to small rural farmers on best practices, safeguards, and market access for NTFP and AFS.
- Output 1.4: Resource Use Agreements incorporate new safeguards and guidance for mainstreaming NTFP.
- Output 1.5: Data system for information and networking consolidates and replicates best practices on NTFP and AFS.

Outcome 2: Market and financial frameworks for up-scaling for NTFP and AFS production in high-conservation value forest landscapes

- Output 2.1 Improved reliability, quality, and diversity of NTFP supply and AFS production increase market value and access in 6 high biodiversity forest landscapes.
- Output 2.2: Market access improved for BD products.
- Output 2.3: Credit and financing mechanisms increased for AFS and for NTFP management.

2.6 Main stakeholders

Actor	Roles and responsibilities
EMBRAPA	Executing partner, Member of the Project Board. It was in charge of overall coordination of project activities. Co-financier
Ministry of Environment (MMA)	MMA is in charge of the environmental policy and is a key institution in designing and implementing public policies for biodiversity. Member of the Project Board. Co-financier. MMA was a key beneficiary of project results and a fundamental partner as it implements several programs and policies that were channeled to the project intervention areas and where proposed policies were tested and adjusted for further upscaling at biome level.
Ministry of Agrarian Development (MDA)	MDA coordinates the rural extension plan. Member of the Project Board. Co-financier. It had a key role in capacity development and at implementing current public policies, testing new initiatives, and proposing new policies. It uses the information produced by the project to train its technicians, finance training for producers in AFS, for directing its investments in the target landscapes, for more effective support to productive activities and improve its credit programs.

Ministry of Social Development (MDS)	The key role of MDS is to channel public investments at territorial level for social development, promoting social inclusion, food and nutritional security, full social assistance, and a minimum citizen income to poor families. Member of the Project Board. Co-financier. It participated in preparing proposals as inputs for public policies and programs, preparation of training and information materials.
Ministry of Agriculture, Livestock and Supply (MAPA)	Promotes the sustainable development and competitiveness of agribusiness. Together with MMA, MDS and MDA determines the minimum prices for BD products. Member of the Project Board. Participated in preparing proposals as inputs for public policies and programs and contributed to the inclusion of best management practices in the safeguards for BD production.
National Supply Company (CONAB)	Public company in charge of buying NTFP and AFSs products and ensuring fair prices. It also defines, with MAPA, the minimum prices for agricultural and BD products. It supported productive activities and training in the target landscapes, incorporating project information. It uses the information produced by the project to improve its purchases of NTFP and AFS products from the target landscapes.
Chico Mendes Institute (ICMbio)	Manages the Federal Conservation Units, promoting the environmental development of the communities in CUs under the sustainable use category, research and knowledge management, environmental education and promoting ecological management. Participated in the development of information and training materials and collaborated in training of producers on the best practices of sustainable management of NTFPs and AFS in CUs and their buffer zones, through providing personnel, infrastructure and mobility.
Brazilian Forest Service (SFB)	Charged with the management of forests. Collaborated in training of technicians on the best practices of sustainable management of NTFPs, through providing personnel, infrastructure, and mobility. May test project results in National Forests.
National Agency for Technical Assistance and Rural Extension (ANATER)	This institution, established by the Federal Government to promote technical assistance and rural extension to family farmers, participated in the development of information and training materials and collaborated in training of producers on the best practices of sustainable management of NTFPs and AFS. It benefits from project results to expand the technical assistance using the capacity building materials prepared by the project.
Brazilian Institute of Renewable Resources and Environment (IBAMA)	IBAMA undertakes environmental monitoring and policing and applies administrative penalties, particularly in regards the prevention and control of deforestation, fires, and forest fires, among other functions. As such it benefits from the best practices and sustainable harvesting levels to be generated by the project, that it may use to monitor harvesting levels as well as the use of unsustainable practices.
State departments of agriculture and environment (OEMA)	It participated in preparing proposals as input for public policies and programs in support of agro-extractivism and AFS; collaborated in training of technicians on the best practices of sustainable management of NTFPs and AFS through providing personnel, infrastructure, and mobility. It helped test and implement project results for upscaling to other areas.
Municipalities	They contributed to capacity development by mobilizing beneficiaries and providing facilities. Through the PNAE (School Food Programme), contributed, as an outlet for NTFP and AFS products, to design and implement of local sustainable use policies linked with federal and state public policies. They disseminated project results and lessons learned within their own development programs and projects.
CSOs: -MIQCB: Interstate Movement of Babaçu coconut breakers -ASSEMA: Association of	Partners in implementing project activities in the field. They were information sources for the project on NTFP and AFS production, collaborated in preparing training and information materials, and providing support to mobilization of producers and technicians for training. Collaborated through lobbying for a more effective implementation of NTFP and AFS related public policies and programs in the territories.

<p>Settler Areas of Maranhao State CNS: National Council of Extractivist Populations CAA-NM: Center for Alternative Agriculture of Northern Minas</p>	
<p>Cooperatives - COPPALJ: Small Producers Cooperative of Lago do Junco -Grande Sertão Cooperative -COOPERCUC: Family Farming Cooperative of Canudos, Uauá and Curaçá -COOPERACRE: Central Cooperative of Extractivist Commercialization of Acre</p>	<p>Cooperatives had a key role as commercialization channels of NTFP and AFS products, supplying public and private markets. They were partners in implementing project activities in the field, provided support in the identification of gaps and problems in productive chains (e.g., constancy and quality of production, volume of production, identification of buyers); validation of new products and technological/methodological solutions proposed by the project. Disseminate project results among its members and participate in the platforms established by the project to improve market access.</p>
<p>Workers Unions and Associations -STTR: Union of Rural Workers of Rio Pardo de Minas</p>	<p>Collaborated by providing support for mobilization of producers and technicians for training and disseminating project results among its members. Participated in platforms established by the project to improve market access. Collaborated through lobbying for a more effective implementation of NTFP and AFS related public policies and programs in the territories.</p>
<p>Family Farmers/ Agroextractivists</p>	<p>Key beneficiaries of project results. Participated in project activities through their associations, testing the technological and financial solutions proposed by the project.</p>
<p>Private companies - Natura - Beraca - Tobasa -Florestas do Brasil</p>	<p>Key role as commercialization channels for NTFP and AFS products. They were partners in implementing project activities in the field. They are important in sending market signals to stimulate adoption of sustainable practices among producers and in adjusting their purchasing policies to promote purchase of sustainable products from the target landscapes. Participated in the platforms established by the project to improve market access and enter into contracts with producers, cooperatives and associations to promote sustainable purchases.</p>
<p>Banks -Banco do Brasil -Banco do Nordeste (BNB) -Banco da Amazonia (BASA)</p>	<p>Provide funding for productive activities. They were partners in the development of favorable credit terms and technical indices for AFS and NTFP production, incorporated in their financing programs. Bank officers were trained in the new financial programs mainstreaming environmental safeguards, so they facilitate access of beneficiaries to credits and financial products.</p>

3 FINDINGS

3.1 Project Design / Formulation

3.1.1 Analysis of Results Framework: project logic and strategy, indicators

60. The project design was consistent with national policy, it clearly contributes to the National Biodiversity Strategy and Action Plan and is aligned to the CBD National Targets for 2020. The project also adheres to several national priority plans and programs, promoting the sustainable use of BD products such as the National Plan for Promotion of Chains of Socio-biodiversity Products.
61. The expected impact contributes to three specific Aichi Biodiversity Targets, and is aligned to the GEF Strategic Objective 2 of GEF 5: Mainstream biodiversity conservation and sustainable use into production landscapes, seascapes and sectors. It has been commented that this project is one with the largest contribution to the SDGs among UNDP's biodiversity portfolio in Brazil.
62. The intervention logic is evidence-based and provides a detailed description of the different components, outcomes, and outputs. The design stage did not provide for a Theory of Change, as it was not requested by the GEF at the time the project was designed, however, it presents the different elements needed to understand the intervention logic and sequence of events leading towards achieving the project objectives.
63. In the general opinion, the project scope was not coherent with the resources and time available, considering the extension as well as the cultural and biophysical differences between the three intervened biomes, risking a deluded or disperse impact. The project proved to be very complex, not only because its pioneering nature but also considering the number of different products and stakeholders involved through the value chain approach.
64. Under these conditions, the expected impact of this intervention resides mostly on the demonstrative nature of project interventions and the expected impact in terms of replication and scaling up. However, the design is considered weak in terms of knowledge management and strategic communications.
65. The interviewees appraise the fact that the project design left sufficient room for flexibility and stakeholders appropriation during the project startup process. This allowed stakeholders to incorporate their demands and validate the proposed intervention.

66. In terms of the four impact indicators, only two present a baseline and none of them fulfills the Specific, Measurable, Achievable, Realistic, and Timely (SMART) criteria. While indicators are specific and relevant, in all cases they lack time-bound criteria, and in the case of the heat foci as a proxy indicator it does seem achievable or attributable to the project. Considering the baseline presented, the targets for the indicators are ambitious and seem very difficult to achieve.
67. In addition, none of the eleven Outcome-level indicators meet all the SMART criteria fully. Five indicators do not present a baseline, while the rest do not seem to be described with sufficient detail and accuracy.

3.1.2 Assumptions and Risks

68. The design provides an appropriate analysis of potential risks, bringing in strategic considerations about political, institutional and financial aspects relevant to project implementation. The mitigation measures proposed are logical and simple, providing general guidelines on how to navigate through implementation.
69. Interestingly, no risks were assessed in terms of administrative, procurement and financial issues, considering the difficulties derived from implementing projects in rural isolated areas. On the other hand, considering most of implementation takes place at the field level, insufficient consideration was given to climate change externalities.
70. The assumptions are less elaborated and considerably more general than risks. In general terms, assumptions are quite positive and based on the continuation of public policies, such as the case of the public procurement of agricultural goods. To a certain extent, both assumptions and risks could be contradictory; if the assumption is not met, it becomes a risk.

3.1.3 Lessons from other relevant projects (e.g. same focal area) incorporated into project design

71. The project is a pioneering initiative for Brazil, which was based on previous relative isolated NTFP and AFS experiences, such as specific research developed by EMBRAPA. A major lesson applied to the project resides in the need to rescue traditional knowledge and practices from NTFP collectors and to ensure intervention responds to specific demands from stakeholders throughout the value chain.
72. Another GEF funded project Central American Markets for Biodiversity (CAMBio): Mainstreaming biodiversity conservation and sustainable use within micro-, small, and medium-sized enterprise development and financing) demonstrated that market

access is a key issue, particularly for much small-scale production of NTFP and AFS. The project design took into account that access to market is complex and there are different types of markets for NTFP and AFS, e.g., public and private markets, which in some cases share common barriers and in others confront barriers of their own.

3.1.4 Planned stakeholder participation

73. The Stakeholder Involvement Plan within the ProDoc describes a dynamic interaction that ensure channels for information, communication, and consultation among stakeholders as well as their specific roles and responsibilities. The institutions involved are MMA, MDA, MDS, MAPA, CONAB, ICMBio, SFB, OEMAS, ANATER and NGOs (rural workers cooperatives and associations). However, it has been repeatedly mentioned that critical changes in terms of representatives, objectives and structure occurred continuously throughout 2016 to 2020 in most of these government agencies, including the extinction of some of them.
74. Regarding partnership arrangements, the Project Board, made up of representatives of the implementing and executive agencies, is in charge of providing overall guidance for implementation.
75. EMBRAPA, as lead institution, is responsible for coordinating the development of outputs and outcomes, arranging meetings to plan and implement project activities, negotiating agreements among stakeholders, and reporting progress to the Technical Committee and the Project Board.
76. The PMU and Project Advisory Committee would support EMBRAPA and Local Committees in consolidating the AWP to be approved by the Project Board. Local Committees, which include a representative from Territorial Joint Committees, ensure that planning and implementation activities are in line with project objectives. Project Advisory, Technical and Local Committees and the PMU would work closely, so all the stakeholders' concerns and decisions are addressed and informed at every level.
77. The project design followed participative approaches to ensure incorporation of key institutional stakeholders and potential beneficiaries throughout the project implementation. These approaches include a bottom-up involvement with the community and the establishment of platforms for beneficiaries' interaction.

3.1.5 Linkages between project and other interventions within the sector

78. As mentioned in the ProDoc, the project identified eight ongoing projects and programs to create synergies with. The first actions carried out with these programs

were the identification of priority areas, species, and results that the project should address and seek for. PAA, PGPMBio and National Program for Strengthening of Family Agriculture (PRONAF) programs would help the project by promoting BD production and driving the acquisition of them from selected territories. Likewise, these programs would benefit themselves by collecting data to implement actions of their interest such as establishing minimum prices at BD products, promoting new products inclusion, and adopting technical indexes and safeguards.

79. The linkages among the project, PNAE and *Bolsa Verde* programs are focused on negotiating the purchase of BD products from areas of project intervention by raising awareness of the advantages of these products for health, local economy, and conservation. Also, *Bolsa Verde* and Ecofort Program's beneficiaries would be trained on sustainable management practices and in social inclusion promotion.
80. Three GEF Programs (UNDP/GEF Small Grants Programme; FAO/GEF Project "Reversing Desertification Process in Susceptible Areas of Brazil: Agroforestry Practices and Biodiversity Conservation"; and IADB/GEF Project "Consolidation of National System of Conservation Units (SNUC) and Enhanced Flora and Fauna Protection") were identified as potential partners for implementing actions in some target areas which overlaps among them. These actions are focused on strengthening and amplifying results by using lessons learnt and feedback.
81. To ensure that actions would be held as planned, the ProDoc mentions that the strategy implies annual meetings to oversee joint actions.

3.1.6 Gender responsiveness of project design

82. A gender analysis was not carried out during project design. However, the document briefly considers the role of women, recognizing that women play a very important role in NTFP management and in the implementation of agroforestry systems. It is also noted that they are often responsible for the collection and processing of products, innovation, and the creation of new goods for the market, and sometimes they are also responsible for marketing. With this background, the project receives the category GEN-1 "some contribution to gender equality".
83. The project design was not explicitly aligned with any national policy or strategy specific to gender equality. However, it is aligned with the National Program for Strengthening Family Agriculture, which has investment credits as part of its results, with a specific line "Pronaf Mulher".
84. During the design process, reference was made to the gender work experiences of the Interstate Movement of Babaçu Coconut Breakers (MIQCB), which worked on

strengthening women's organizations, as well as the experience of the Family Farming Cooperative of Canudos, Uauá, and Curaçá (COOPERCUC), whose population, mostly women, is dedicated to fruit processing, together with the NGO AGHENDA, promotes women's organizations and productive inclusion.

85. The project's proposal for gender inclusion contemplated that its interventions would take into account the difference in roles. The ProDoc proposed that the project will recognize the role of women in the use of natural resources; guarantee women's rights to be informed; take advantage of women's knowledge on NTFP and AFS issues; conduct a gender analysis to understand roles and design interventions. The gender analysis was carried out in 2019.
86. In general, there is no evidence that the logical framework contemplates specific interventions for women, nor have the indicators been disaggregated by gender.

3.1.7 Social and Environmental Safeguards

87. The Social and Environmental Screening Procedure (SESP) application was conducted during project design. The categorization obtained was 3.a "Impacts and risks are limited in scale and can be identified with a reasonable degree of certainty and can often be handled through application of standard best practice, but require some minimal or targeted further review and assessment to identify and evaluate whether there is a need for a full environmental and social assessment".
88. The project did not develop an environmental and social safeguards plan, because no negative impacts or associated social and environmental risks were identified. The SESP identifies five positive impacts related to affect the ability of men and women to use natural resources; variable impacts for men and women of different ethnicities and social classes; impact on gender equity; social and environmental impacts for indigenous or vulnerable groups; and habitat modification.

3.2 Project Implementation

3.2.1 Adaptive management

89. Interviews acknowledge the project implementation was flexible and adaptive to a highly dynamic context. The project was careful to adapt the intervention strategies to the local culture and existing conditions.
90. An extensive field-based startup process allowed stakeholders to understand, validate and update the overall intervention, allowing specific demands to be assessed and incorporated into the project strategy.

91. Some of the most relevant achievements celebrated by the project were not originally envisioned during project design, which demonstrates an important adaptive management capacity to find alternative strategies and means to achieve the project expected results.
92. As a measure to improve financial and administrative management, EMBRAPA was supported by staff from UN Volunteers to accelerate procurement process, and in general terms strengthen the project's administrative and financial capacity.
93. The political turnover had a considerable effect in terms of the expected public procurement market for NTFP; the project was able to switch attention to private sector markets both, at local and national level.
94. The project was sensitive to adapt to specific implementation contexts, implementing successful approaches with great potential for replication such as the NTFP Reference Centers, young journalists' initiatives (empowering young people in participating communities to undertake environmental communication activities), water management and best practices, and strengthening the organizational capacity of cooperatives and beneficiaries.
95. During COVID-19, the project was able to mobilize resources to support participating communities in terms of food security, emergency kits, health education and facilitated the local production of 5,000 masks. The project procured access to the internet and invested in photovoltaic solutions to increase contact and maintain coordination with rural communities and beneficiaries. Finally, an online platform was developed to deliver trainings and continue with capacity building activities that were interrupted during the lockdown.
96. The aforementioned activities were possible as a result of the project's quick and accurate response, as the team identified the availability of financial resources for travel at an early stage, which could not be given due to the restrictions. As a result, the project team moved these amounts to cover the most immediate needs of the communities.

3.2.2 Actual stakeholder participation and partnership arrangements

97. In general terms, stakeholders agree that the participation reported was adequate considering the context but did not meet the original expectations. Political turnover and key staff rotation affected participation spaces such as the Project Board and the Project's Advisory Committee have not played the role expected. It has been mentioned that it took time to build and consolidate the current arrangement, network, and partnerships to support project implementation.

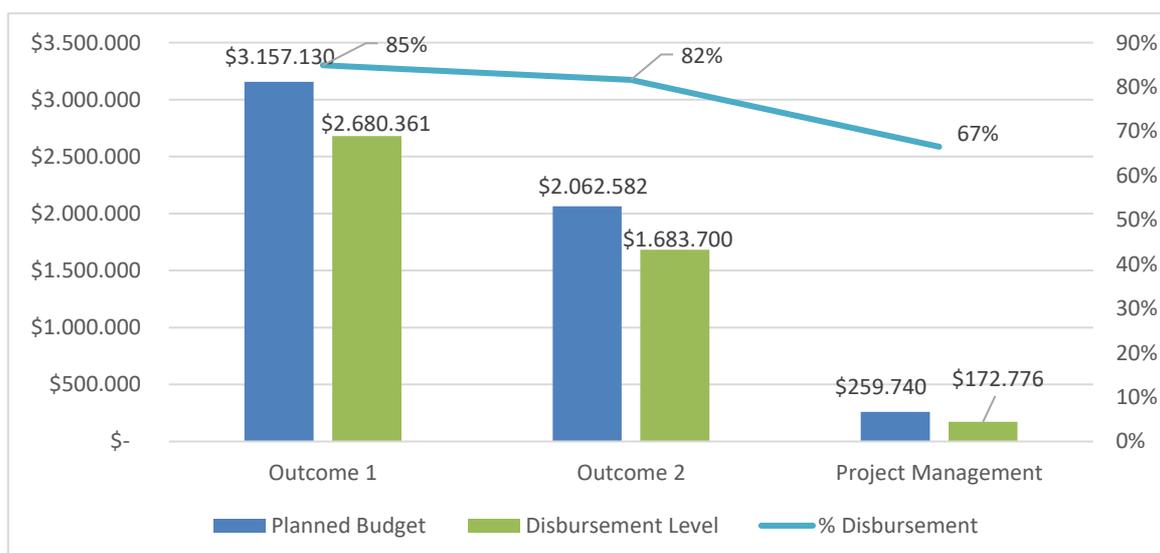
98. Not all stakeholders performed according to the original commitments, some institutions were affected by political turnover and institutional reform, including the cases of MMA, MDS, and CONAB. The project somehow attended the leadership gap by strengthening partnership at the federal level with MAPA, and across the different intervention sites through additional partnerships with local stakeholders.
99. According to testimonies, the participation of beneficiaries across the different activities was remarkable. The combination of science and experienced extensionists demonstrated results relatively fast, thus motivating continued commitment and engagement from participating farmers and cooperatives. With this regard, not all communities performed or participated in the same manner; those with previous cooperative experience were able to move faster. Investing in governance and capacity building was mentioned as a successful strategy for improving beneficiaries' participation.

3.2.3 Project Finance and Co-finance

100. The original project budget equals USD 5.4 million from the GEF for the implementation period. Until 2021, the project disbursed USD 5.2 million, that is 93% of the total available budget.

101. However, the information at the component level has only been updated through the second quarter of 2021, so the graphs below are updated to that time. Outcome 1 reports the highest execution with 85%, followed by Outcome 2, with 82%. On the other hand, Project Management reports the lowest execution with 67%, as shown in the following figure:

Figure 1. Outcome Budget vs Disbursement

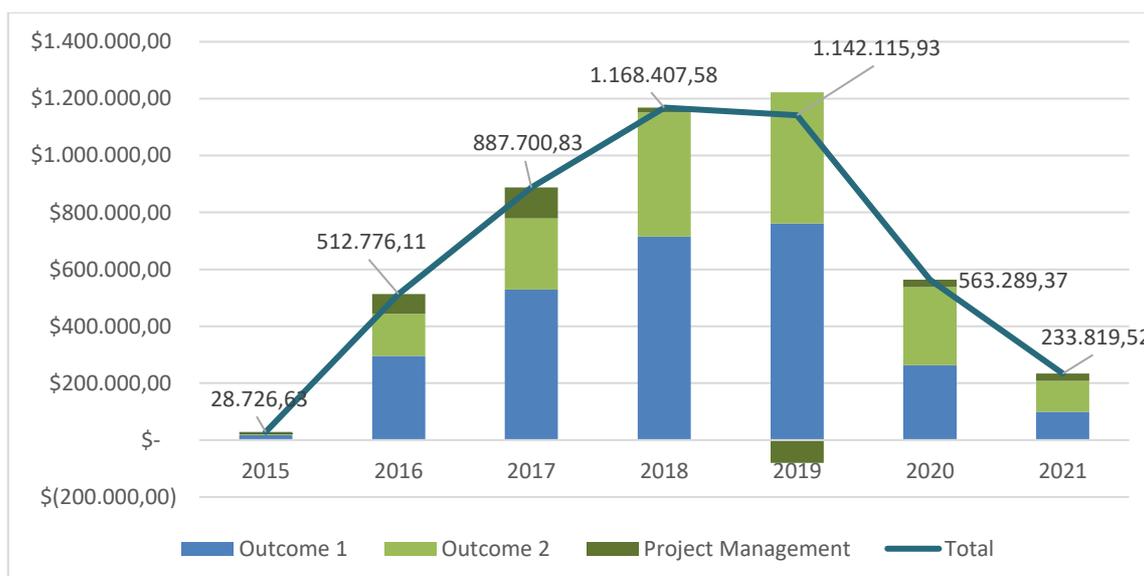


Source: Annual Progress Report, 2015 – 2021

102. The lowest execution accounts only for the second semester year 2015. Almost 60% of execution occurred between 2017 and 2019, and it decreased drastically in 2020 mostly due to COVID-19.

103. There are no major changes in the budgets planned by inputs between 2015 and 2019. However, for 2020, a reallocation of resources was made within the components to transfer the budget that was allocated for traveling to activities that contributed to the communities' response to the COVID-19 emergency.

Figure 2. Outcome Budget by year



Source: Annual Progress Report, 2015– 2021

104. In addition to the GEF funding, the project benefitted from co-financing commitments totaling USD 19,486,732.88 from EMBRAPA, UNDP, Fundo Amazonia, Fundacao Banco do Brasil (ECOFORTE), Banco da Amazonia and the European Union.

105. As part of the financial control, the project prepared progress reports, which included the planned budget and disbursement level for the different activities planned for each Outcome.

106. Also, as part of the PIRs, the project presented the implementation progress report. The information shown corresponded to the comparison of its cumulative progress with the budget approved in ProDoc, in the Atlas system, and the general ledger expenditure.

107. The above-mentioned tools, due to the quality and frequency of information, allowed the coordination of the project to be kept constantly informed of progress. The reports do not show that any relevant management problems have arisen.

108. Regarding co-financing, the project produced a final report as shown in Table 2. Initially, the project expected a co-financing of USD 27,800,000, but the final amount

mobilized was USD 19,486,732, due to CONAB, MDS and MMA not contributing as planned and even though the project had new co-founders, it did not equal the amount expected.

Table 2. Co-financing

Type/Source	Expected cofinancing (US \$)				Actual cofinancing (US \$)				Total	
	Grant	In-kind Support	Loans / Concessions	Others	Grant	In-kind Support	Loans / Concessions	Others	Planned	Actual
EMBRAPA	6,800,000.00	4,500,000.00			3,221,487.31				11,30,000	3,221,487
CONAB	4,000,000.00				-				4,000,000	-
MDS	4,000,000.00	200,000.00			-				4,200,000	-
MMA	7,000,000.00	1,000,000.00			-				8,000,000	-
UNDP		300,000.00				180,000.00			300,000	180,000
FUNDO AMAZONIA	-				6,022,770.83				-	6,022,771
FUNDACAO BANCO DO BRASIL (ECOFORTE) + Banco da Amazonia	-				9,810,709.74				-	9,810,710
EUROPEAN UNION	-				251,765.00				-	251,765
TOTAL	21,800,000.00	6,000,000.00	-	-	19,306,732.88	180,000.00		-	27,800,000.00	19,486,732.88

Source: Cofinance Report, 2021

Table 3. Confirmed Sources of Co-Financing at TE Stage

Sources of Co-Financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Amount (US\$)
National government	EMBRAPA	Grant / In kind support	Recurrent expenditures	3,221,487
National government's	CONAB	Grant	Recurrent expenditures	-
National government's	MDS	Grant / In kind support	Recurrent expenditures	-
National government's	MMA	Grant / In kind support	Recurrent expenditures	-
International Cooperation	UNDP	In kind support	Recurrent expenditures	180,000
International Cooperation	FUNDO AMAZONIA	Grant	Recurrent expenditures	6,022,771
Other	FUNDACAO BANCO DO BRASIL (ECOFORTE) + Banco da Amazonia	Grant	Recurrent expenditures	9,810,710
International Cooperation	EUROPEAN UNION	Grant	Recurrent expenditures	251,765

Source: Cofinance Report, 2021

3.2.4 Monitoring & Evaluation

<i>Overall quality of monitoring and evaluation</i>	4
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M&E Design at entry

<i>M&E design at the beginning of the project</i>	4
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109. The ProDoc proposes an M&E design based on established UNDP and GEF procedures. The principal components of the M&E plan are: inception report, project implementation reviews, quarterly and annual review reports, and mid-term and final evaluations.

110. The ProDoc presents a M&E Plan following milestones and standard procedures for GEF- UNDP, including monitoring responsibilities and events, project reporting and independent external evaluations. The Prodoc states that “the M&E plan will be presented and finalized in the Project Inception Report”, however, there is no evidence that any further adjustments or improvements were made during project inception.

111. In consequence, no project-specific M&E plan was prepared with a complete baseline and data analysis systems in place supporting SMART indicators. M&E design at the beginning of the project left a gap in terms of specifications regarding the regular collection of information, sources and methods of recording, reporting levels and responsibilities. There are also no indicator sheets for monitoring and reporting.

112. The budget allocated for M&E includes the activities mentioned in the first paragraph of this section. However, there is no budget allocated for the design of an M&E Plan for indicators.

M&E: Implementation

<i>Implementation of the M&E Plan</i>	4
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113. During project implementation, it was not verified that a M&E Plan or a M&E system was developed. However, it has been verified that the main milestones proposed in the ProDoc have been met, the final evaluation, Mid-Term Review (MTR), annual and semiannual reports and mission reports have been developed. In addition, the project has developed six PIRs. The only activity that has not been carried out is the audits, because the project was not selected to carry them out.

114. In addition, the key stakeholders held quarterly meetings to review the progress of the project. On the other hand, a more analytical description of the progress of the impact and outcome indicators was provided in the PIRs. These reports also presented a brief report on budget execution, which simply showed the annual budget allocated in the ProDoc, the annual planning and the actual execution.
115. In relation to environmental and social risks, it is worth remembering that they were not identified in the design, therefore, in the PIRs obviously no changes are reported, with the exception of 2020, which considered COVID-19 as a social risk. The approach of the actions to be considered is adequate.
116. It is important to highlight that the project took advantage of EMBRAPA's tools, such as the project management and programming system known as IDEARE, allowing the monitoring of indicator 1 Outcome 1: Improved institutional capacities of EMBRAPA to effectively influence the planning, implementation, monitoring and mainstreaming of NTFP and AFS measured by a % of increase in the capacity scorecard. Although it was foreseen in the ProDoc that this platform would help monitor all indicators, and that until the MTR it was not known how IDEARE would report, the project found a way to take advantage of the platform to report.
117. Moreover, the project developed the Social and Environmental Indicators System for Conservation Units (SISUC) in the 6 Citizenship Territories; the objective of the SISUC is to provide an analysis of the adoption of sustainable production, to strengthen the Local Governance Committees, and to develop an Action Plan for Environmental Safeguards for each Territory. As per the PIR, this would "empower local populations and ensure sustainability in adopting sustainable production strategies within the territories"

3.2.5 UNDP implementation/oversight (*) and Implementing Partner execution (*), overall project implementation/execution (*), coordination, and operational issues

118. According to interviewees UNDP played a leading role as implementing agency. UNDP's integral approach incorporates a wide range of development challenges, adding value in terms of institutional relationships, political dialogue and mainstreaming the human rights-based approach throughout the project cycle.
119. UNDP provided support since the project design, and later accompanied the start-up, oversight, and implementation supervision. In general terms, testimonies consider UNDP provided quality support to the implementing partner and the PMU.

120. UNDP's longstanding experience implementing GEF projects in Brazil, together with its project portfolio approach, provided an adequate framework and installed capacities for implementation. However, interviewees confirm that there has been a limited use of the global network and national portfolios in terms of coordination, exchange of information and exploration of synergies.
121. A major concern found was related to the administrative and financial procedures, which according to interviews were very difficult to follow considering the isolation and development context of the intervention sites. Interviews agree that administrative and procurement procedures should be more flexible and adaptive for these particular rural conditions, to avoid unnecessary delays and implementation gaps. It has been mentioned repeatedly that key resources were not procured on time, leading to an overall need to reprogram the interventions.
122. UNDP has left a positive impression across different stakeholders, even though its consistency was affected by staff rotation. Interviewees recognize the solid technical capacity, fluid coordination and communication. The PMU added value to the intervention and allowed a flexible and creative response towards uncertainty and change. However, rotation of key staff may have affected implementation rhythm.
123. EMBRAPA was acknowledged as a committed institution, with academic and research credentials to provide a solid base for project implementation. Interviews highlighted the strategic participation from EMBRAPA considering it has not been previously involved in NTFP or AFS, and does not usually implement projects dealing with small scale farmers or communities of NTFP collectors. Therefore, this project has opened the space and provided the right support needed to explore these new areas.
124. It is important to mention that EMBRAPA possesses a longstanding tradition in Brazil at implementing research projects, but did not have previous experience implementing development projects, which posed a considerable challenge and also supposed a learning curve for the institution.
125. A major concern found was the limited administrative, procurement and financial capacity, which affected considerably project execution during the first two years of implementation. EMBRAPA is an institution formed mostly by researchers and financial and administrative gaps were at least partially covered by additional support received from United Nations (UN) Volunteers.
126. The interviews highlight EMBRAPA's commitment towards the project, mobilizing a talented and multidisciplinary group of researchers, who interacted with a vast array of stakeholders to find specific, local based solutions to add value and strengthen the

NTPF and AFS value chain. Although no EMBRAPA staff was dedicated full time to the project, it has been repeatedly mentioned that the institution was always accessible and presented a good disposition to coordinate and maintain fluid communications.

127. It has been confirmed that the project director did an important job in terms of creating trust among partners, and ensured the project was less affected due to the political turnover and staff rotation among institutions.

3.2.6 Risk Management, including Social and Environmental Standards (Safeguards)

128. The risks that arose during implementation have been adequately monitored through the ATLAS platform and presented in the PIRs. This allowed the members of the Steering Committee to be kept informed. Except the COVID-19 pandemic, no new risks to those identified in the ProDoc were recorded.

129. The first and second PIRs (2016 and 2017) adequately address the potential risk of extinction of Ministries due to governmental changes, which would affect the project. The management response was adequate in maintaining collaboration with national entities and authorities to indicate, with solid information, that government programs and policies should be maintained.

130. For 2018 and 2019, government budget reduction was presented as a critical risk. It is highly valued that the project decided to focus on strengthening associations and cooperatives to access markets. In 2019 and 2020 the project was affected by COVID-19, especially because there was considerable field work being carried out. The measures adopted were adequate to the extent of mobility and health care restrictions. In addition, an extension of the project closure deadline was rightly requested.

131. Overall, the risks were adequately addressed, however, in the last year of implementation (2021), it is noticeable how the lack of interest from buyers of NTPF and AFS products was anticipated. The project not only proposed a stop-gap strategy to address the risk at that time, but also left as a legacy a platform that connects suppliers to buyers.

132. Regarding environmental and social risks, only COVID-19 is recorded as a social risk for the project. Twelve clear and timely actions were proposed by the project to address the problem. An innovative aspect of the project was to consider the economic impact of the pandemic on small farmers and extractive operators, and propose an exclusive emergency line of credit.

3.3 Project Results and Impacts

3.3.1 Progress towards objective and expected outcomes

3.3.1.1 Outcome 1: Governance and capacity building framework for up-scaling best practices for BD sustainable management and production

133. This outcome is on track and all indicators were accomplished, leading to an impact in terms of the creation of capacities at different levels. Improved EMBRAPA's capacities to influence planning, implementation, monitoring, and mainstreaming NTFP and AFS, has a national impact due to the extent at which EMBRAPA operates.
134. It is shown that EMBRAPA researchers and technical staff increased their capacity by 25% in the scorecard. Regardless, impacts at the level of the three main biomes: Caatinga, Cerrado and Amazon, number of NTFP species that have differentiated minimum prices reached its goal with 5 species (target was one species per biome) and the inclusion of two more is expected).
135. Likewise, citizenship territory (CT) and conservation units (CU) that adopt AFS for restoration of degraded lands increased from zero to five, surpassing the target which was 1 per biome.
136. In terms of creation of capacities at the community level, producers that adopted sustainable production of NTFP and AFS, measured as project's direct and indirect effect, reached the goal for the direct effect at NTFP with 117% and AFS with 169% respectively. The same is about to happen regarding indirect effect since there is so little left to reach the target proposed.
137. The extensionist capacities also increased as desired with 744 of them with approved evaluations rates higher than 80%, when the target was only 540 of them.

Table 4 Progress towards results Outcome 1

Indicator	End of project target level	Cumulative progress and comments
Improved institutional capacities of EMBRAPA to effectively influence the planning, implementation, monitoring and mainstreaming of NTFP and AFS measured by a % of increase in the capacity scorecard BASELINE LEVEL 0 (Zero)	20 % increase	Accomplished. 35% increase in EMBRAPA researchers and technical analysts carrying out NTFP and AFS research and activities. All EMBRAPA employees implemented activities related to NTFP or AFS and a 25% increase in the capacity scorecard was found.

<p>Number of NTFP species that have differentiated minimum prices (PGPMBio) in each biome</p> <p>BASELINE LEVEL</p> <p>Amazon: acaí, castanha and andiroba (3 species) Caatinga: Umbu and Babacu (2 species) Cerrado: Pequi (1 specie)</p>	<p>At least one species per biome</p>	<p>Accomplished</p> <ul style="list-style-type: none"> - Amazon: Açaí Andiroba - Caatinga: Umbu - Cerrado: Babaçu, Pequi <p>In addition to updating the prices of Açaí and Babaçu, which were already included in the Program, the project managed to include the Andiroba, Umbu and Pequi species. The inclusion of Brazil nuts and Licuri is expected to occur in 2021.</p>
<p>Percentage of target population that makes use of technical management guidelines prepared by the project</p> <p>BASELINE LEVEL</p> <p>0 (Zero)</p>	<p>15% of direct beneficiaries (2,980 producers)</p>	<p>Accomplished and exceeded by 40%.</p> <p>Direct beneficiaries using the Technical Guides: 4,162.</p> <p>Users who accessed technical content online: 43,100.</p>
<p>Number of Citizenship Territories and/or Cus that adopt AFS for restoration of degraded lands as a strategy for planning and implementation of the Forest Code.</p> <p>BASELINE LEVEL</p> <p>0 (Zero)</p>	<p>At least 1 in each biome</p>	<p>Accomplished</p> <ul style="list-style-type: none"> - Amazon: CT Alto Acre e Capixaba (adopted AFS as a restoration strategy In Chico Mendes Management Plan) and CT Marajó (adopted sustainable management as restoration in its use agreement). - Cerrado: CT Alto Rio Pardo (adopted restoration through direct seeding in the management plan). - Caatinga: CT S Francisco and Sobral (communities of traditional use that adopted the management of the caatinga as a use agreement/management plan).
<p>Number of producers that adopt sustainable production of NTFP and AFS through a) Direct and b) Indirect project effect (replication)</p> <p>BASELINE LEVEL</p> <p>a) 0 (Zero) b) 0 (Zero)</p>	<p>Amazon</p> <p>a) Direct effect: A. Acre: 226 (AFS), 300 (NTFP) Marajó: 350 (AFS), 400 (NTFP)</p> <p>b) Indirect effect: A. Acre: 400 (AFS), 600 (NTFP) Marajó: 600 (AFS), 800 (NTFP)</p> <p>Cerrado</p> <p>a) Direct effect:</p>	<p>Amazon</p> <p>a) Direct effect: A. Acre: 321 (AFS), 398 (NTFP) Marajó: 372 (AFS), 670 (NTFP)</p> <p>b) Indirect effect: A. Acre: 374 (AFS) (93%), 589 (NTFP) (98%) Marajó: 665 (AFS), 898 (NTFP)</p> <p>Cerrado</p> <p>a) Direct effect:</p>

	<p>A.R. Pardo:200 (AFS), 300 (NTFP) Mearim: 674 (AFS), 200 (NTFP) b) Indirect effect: A.R. Pardo: 300(AFS), 500 (NTFP) M. Mearim: 547 (AFS), 400 (NTFP)</p> <p>Caatinga: a) Direct effect: S. Francisco:30 (AFS), 60 (NTFP) Sobral: 240 (AFS) b) Indirect effect: S. Francisco: 278 (AFS), 400 (NTFP) Sobral: 500 (AFS)</p> <p>Total direct effect: 1,720 (AFS); 1,260 (NTFP) Total indirect effect: 2,625 (AFS); 2,800 (NTFP)</p>	<p>A.R. Pardo: 254 (AFS), 497 (NTFP) M. Mearim: 690 (AFS), 371 (NTFP) b) Indirect effect: A.R. Pardo: 388 (AFS), 612 (NTFP) M. Mearim: 511 (AFS) (93%), 323 (NTFP) (80%)</p> <p>Caatinga: a) Direct effect: S. Francisco: 128 (AFS), 197 (NTFP) Sobral: 264 (AFS) b) Indirect effect: S. Francisco: 282 (AFS), 407 (NTFP) Sobral: 473 (AFS) (94%)</p> <p>Total direct effect: 2,029 (AFS); 2.133 (NTFP) Total indirect effect: 2,693 (AFS); 2,829 (NTFP)</p> <p>There is a very little percentage left to achieve this goal at the Medio Mearim, Sobral and Acre biomes for indirect effects which were accomplished in view of publications, training, and consolidation of the Reference Centers</p>
<p>Increased know-how of extensionist with NFTP and ASF measured by the number that obtain at least 70% score in evaluations</p> <p>BASELINE LEVEL 0 (Zero)</p>	<p>At least 540 obtain over 70%</p>	<p>a) Accomplished</p> <p>As reported in the last PIR, the project conducted a survey of 744 extensionists who were trained, and the approval rates were higher than 80%.</p> <p>In the online training carried out during the reporting period for this PIR, more than 700 extensionists participated, with a positive evaluation of more than 80%.</p>

3.3.1.2 Outcome 2: Market and financial frameworks for up-scaling for NTFP and AFS production in high-conservation value forest landscapes

138. Outcome 2 presents impacts in financial frameworks and BD products' markets at the three biomes where interventions took place. All outputs are on track, three already accomplished the expected goals and targets, one will not meet the expected

target and the other would need updated confirmation to verify if the target has been accomplished.

139. For instance, the number of associations or cooperatives that maintain contracts with the same buyers, resulted in 7 associations in the 3 biomes with contracts for at least 3 years, surpassing the target which was 5 (1-2 per biome).
140. Likewise, the percentage of producers that access financing for NTFP and AFS production and management increased from 0% to 31%, surpassing the target proposed, which was 20%.
141. The percentage of increase in the share of BD product in family incomes shows the impact that the project had on families inside communities at the 6 CTs, with a 34% average increase, measured through a survey of 1979 families. This result doubles the proposed target, which was 15%.
142. Regarding actions focused on BD products improvement in terms of their production chain and their public purchases, they were very affected by COVID restrictions and the political decision of cutting budgets of key programs, respectively. However, strategies were identified and implemented and that will permit that the degree of improvement of production for 5 species (as proposed) will have guidelines and validated research by the end of the project.
143. The expected increase in public purchases of BD products was severely affected by budgetary cuts in key governmental programs (PAA, PNAE and PGPMBio). In reaction to this context, the project pursued a private sector market approach even though it would not meet the original volume and results expected originally. New ways for BD product purchasing were implemented, resulting in the creation of 2 large cooperatives, a virtual store and 2 sales centers.

Table 5 Progress towards results Outcome 2

Indicator	End of project target level	Cumulative progress and comments
Degree of improvement in production chains of 5 species for increased market value and access BASELINE LEVEL Value chains for Brazil nut and acai exist but are not adequately structured	<ul style="list-style-type: none"> • Brazil nut: sanitary quality of nut production • Açaí: sanitary quality of pulp production • Umbu: quality of processed pulp • Pequi: oil production cost • Babaçu: productivity in nut extraction 	Goals for umbu and pequi were achieved. The other indicators were impacted since they depended on field research. Researchers managed to advance, and results are expected by the end of the project, as planned by EMBRAPA.
Percentage of public purchases of BD products by key government programs (PAA, PNAE and PGPMBio) based on NTFP and AFS best practices	At least 20%	Successive cuts in budgets had a major impact. PNAE, which is the main program, suffered a cut of 62.35%. However, strategies are being implemented such as

BASELINE LEVEL: 0 (Zero)		hiring a specialized company to provide assistance so 2 large cooperatives have been created besides a virtual store and two sales centers. Virtual business meetings scheduled to connect producer with potential buyers.
Number of associations/cooperatives that maintain contracts for supply of products with the same buyer(s) (public and/or private) over a period of time BASELINE LEVEL	At least 5 associations/cooperatives (1-2 per biome) for at least 3 years	Accomplished 7 associations in 3 biomes: Amazon: Wilson Pinheiro Association/COOPERACRE Caatinga: COOPERCUC COOPERSABORES Central da Caatinga Cerrado: Central do Cerrado COOPAB Grande Sertão
Percentage of producers that access financing for NTFP and AFS production and management subject to environmental criteria BASELINE LEVEL: 0 (Zero)	20%	Accomplished 31% increase in access to credit by producers for NTFP and AFS production and management subject to environmental criteria.
Percentage of increase in the share of BD products in family incomes BASELINE LEVEL: As reported in 2019 PIR, the project finalized the studies on the components of families' income in three CTs (Alto Rio Pardo, Marajó and Médio Mearim). According to preliminary information, an increase of 30 to 35% in the household income is estimated.	15% (average for different CTs and production systems)	Accomplished 34% average increase in the income of families using the project's sustainable management and restoration technologies, as measured through a survey of 1879 families in the 6 CTs where the project operates.

3.3.1 Relevance

Relevance	5
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144. The interviews agree on the project's high relevance and consistency with national policies and priorities, but also that it has been responsive to local demands and needs. Project formulation responded to the NBSAP, the CBD National Targets for 2020, and impacted on three specific Aichi Biodiversity Targets.

145. The project also adheres to several national priority plans and programs, promoting the sustainable use of BD products, such as the National Plan for Promotion of Chains of Socio-biodiversity Products.

146. It has been commented that this project is one with the largest contribution to the SDG among UNDP's biodiversity portfolio in Brazil.

3.3.2 Effectiveness

Effectiveness	5
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147. Originally it was thought that the project would contribute to the UNDP Strategic Plan through two Outcomes, one related to legal and regulatory frameworks, policies and institutions, and the other related to mechanisms for conservation, sustainable use and access to benefits. In practice, the project contributed directly to the second Outcome, because it worked on improving NTFP and AFS production and commercialization chains with environmental criteria.

148. The impact indicators are mainly focused at the level of the three biomes: Amazon, Cerrado and Caatinga. In terms of surface areas of forests in multiple use landscapes (MUL) with sustainable products of BD as a direct effect of the project, results reached and even surpassed the proposed targets, with a total of 1,177,446 ha (117%).

149. Also, as indirect effects of the project in CU and in 6 selected CTs, areas of forests in MUL reached the target by 129% and 100% respectively. The creation of three Reference Centers for training, exchange, and dissemination of technologies will allow these number to keep growing. It is relevant to mention that Reference Centers were not originally in project design, but were incubated to maximize sustainability.

150. Regarding good practices of conservation as a result of the project, number of heat foci as an indicator of use of fire, decreased as desired in the project intervention areas, which did not happen in other areas outside of the project intervention.

151. Regarding harvesting, the project realized that this practice, at the actual level, is not affecting long term reproduction since it is well below the productive capacity.

Table 6 Progress towards impact indicators

Indicator	End of project target level	Cumulative progress and comments
Surface area (ha) of forests in multiple use landscapes- (MUL) with sustainable production of BD products through project direct effects	Amazon a) A. Acre: 931.172 ha b) Marajó: 103,519 ha	Accomplished. Amazon a) Alto Acre e Capixaba: 971,740ha

<p>BASELINE LEVEL Amazon a) A. Acre: 20 ha b) Marajó: 42,389 ha</p> <p>Cerrado a) A.R. Pardo: 0 ha b) Medio Mearim: 1,495 ha</p> <p>Caatinga: a) S. Francisco: 0 ha b) Sobral: 60 ha</p> <p>Total: 43,964 ha</p>	<p>Cerrado a) A.R. Pardo: 38,419 ha b) Medio Mearim: 12,786 ha</p> <p>Caatinga: a) S. Francisco: 2,000 ha b) Sobral: 5,000 ha</p> <p>Total: 1,092,896 ha</p>	<p>b) Marajó: 142,900ha</p> <p>Cerrado a) Alto Rio Pardo: 43,442ha b) Médio Mearim: 12,937ha</p> <p>Caatinga a) Sertão São Francisco: 2,212 ha b) Sobral: 5,115 ha</p> <p>Total: 1,177,446 ha</p>
<p>Surface area (ha) of forests in MUL with sustainable BD products that can be potentially achieved through project indirect effects in 1) Conservation Units (Cus) and surrounding area and 2) forested areas of 6 selected CTs (long term)</p> <p>BASELINE LEVEL 0 ha.</p>	<p>B) In Cus and surroundings:</p> <p>Amazon a) A. Acre: 0 ha b) Marajó: 194,867 ha</p> <p>Cerrado a) A.R. Pardo: 600 ha b) Medio Mearim: 12,980ha</p> <p>Caatinga: a) S. Francisco: 278 ha b) Sobral: 5,000 ha</p> <p>Total: 215,525 ha</p> <p>2) Forested areas of 6 CTs: 14,959,566 ha</p>	<p>Accomplished.</p> <p>B) In Cus and surroundings:</p> <p>Amazon a) A. Acre: 9 ha b) Marajó: 196,068 ha</p> <p>Cerrado: a) A.R. Pardo: 62,511 ha b) Médio Mearim: 13,090 ha</p> <p>Caatinga: a) S Francisco: 299 ha b) Sobral: 7,155 ha</p> <p>Total: 279.132 ha</p> <p>2) Forested areas of 6 CTs: 14,959,566 ha</p> <p>These numbers are expected to continue growing in the next few years with the full functioning of Reference Centers</p>
<p>Number of heat foci as a proxy indicator for use of fire as a management technique and hence driver of deforestation</p> <p>BASELINE LEVEL</p> <p>Amazon a) A. Acre: 250 in Chico Mendes; 214 in buffer zone b) Marajó: 9 inside Mapua; 20 in buffer zone. 1 in Isle of Ashes; 1 in buffer zone.</p> <p>Cerrado</p>	<p>10% reduction in each CT</p>	<p>Accomplished.</p> <p>Amazon a) A. Acre: 6 in Chico Mendes; 33 in buffer zone. Total: 39 (91.6% reduction) b) Marajó: 0 in Mapuá; 0 in buffer zone. Total: 0 (100% reduction). 0 in Isle of Ashes; 0 in buffer zone. Total: 0 (100% reduction).</p> <p>Cerrado a) A.R. Pardo: 0 within the RDS Nascentes Geraizeiras; 0 in buffer zone. Total: 0 (100% reduction)</p>

<p>a) A.R. Pardo: 12 in RDS Nascente Geraizeira; 69 in buffer zone b) Medio Mearim: 303 in Medio Mearim; 203 in buffer area. Total: 506</p> <p>Caatinga: a) S. Francisco: 216 in S Francisco; 83 in buffer area. Total: 299. b) Sobral: 40 in Sobral; 17 in buffer area. Total: 57</p>		<p>b) Médio Mearim: 31 in Medio Mearim; 20 in buffer zone. Total: 51 (89.9% reduction)</p> <p>Caatinga: a) S Francisco: 181 in S Francisco; 32 in buffer zone. Total: 213 (reduction of 28.8%). b) Sobral: 11 in Sobral; 7 in buffer zone. Total: 18 (68.4% reduction).</p>
<p>Conservation and production security of 5 key species enhanced through maintaining population growth rates stable or increasing measured through a population asymmetry index and size class distribution fit to the J reverse distribution model [Brazil nut, acai (Amazon), pequi, araticum (Cerrado) and umbu (Caatinga)]</p> <p>BASELINE LEVEL Sustainability indices and effects were determined for: Pequi, Araticum, Baru, Coquinho Azedo, Castanhado-Brasil and Licuri. Baselines will not be determined for Umbu and Açaí because the main problem is not related with the quantity of fruits harvested.</p>	<p>Index > 0</p> <p>(Inferred from population structure distribution models and the impact of anthropic variables</p>	<p>Accomplished</p> <p>The project's work on restoration and management ensured the propagation of populations of species targeted by extractivism.</p> <p>Maps will be on the geoportal on the new Bem Diverso website</p> <p>Results are expected to be achieved in the third quarter of 2021, following the recent conclusion of a tender.</p>

3.3.3 Efficiency

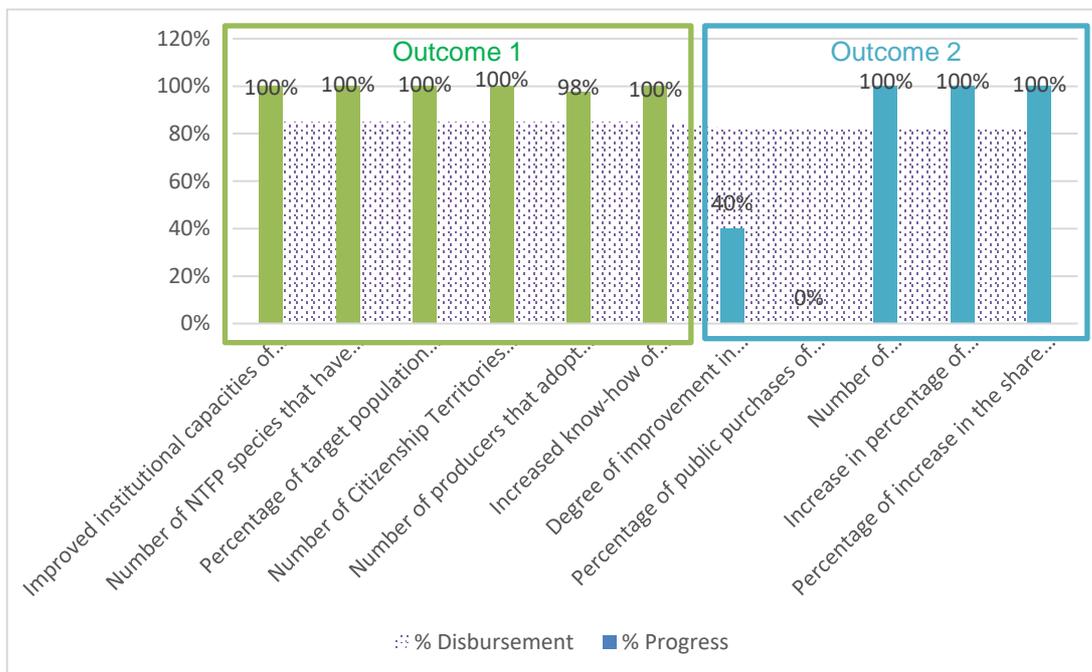
Efficiency	4
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152. The evidence gathered suggests project implementation has followed an efficient use of resources, ensuring quality delivery of goods and services. The project has tried to comply with the activities planned according to its annual work plans. It is verified that the PMU has complied with the plans; in the case of the intervention sites it is evident that to a good extent the activities have been complied with, but there are also some that are delayed or have been cancelled, especially in the TC Alto Río Pardo.

153. Outcome 1 is the most efficient since it has invested 85% of its resources and has achieved 100% compliance in 5 of the six indicators, and one of them advanced

to 98%. On the other hand, Outcome 2 has spent 82% of the allocated resources and achieved 100% in 3 of the five indicators, one of them at 40% and another that has not been met due to factors external to the project.

Graphic 3 % Disbursement vs % Outcome Indicators Advance



154. Although the project did not assign a specific budget to ensure adequate gender equality, important contributions were made that improved the involvement of women. However, a larger budget would have yielded greater benefits in terms of the number of beneficiaries.

3.3.4 Overall Outcome

Overall Project Outcome Rating	5
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3.3.5 Sustainability

Overall likelihood	3
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Financial sustainability	3
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155. The immediate future of project activities is still uncertain, as no additional resources were allocated to EMBRAPA or other government partners to ensure

continuation of project activities. Escuelas Familia Agrícola¹ (EFA) are particularly vulnerable in terms of financial sustainability, since they depend mostly on state allocations and at the moment there are no additional sources of funding available in the short and midterm.

156. In the short term, there is a KFW project approved to take the lead on the follow up and sustainability of certain interventions, which could be visualized as a bridge funding to prepare for a larger scale intervention.

157. The cooperatives are installed and under operation, therefore it is expected that they will face less difficulties in terms of their financial sustainability.

<i>Socio-economic sustainability</i>	3
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158. The results achieved in terms of food security, diversification of income sources, increased productivity, and household income, reflected an enthusiastic participation from communities and cooperatives throughout implementation. Project sustainability resides in its impact in terms of providing alternative sources of income and economic activities for families under severe vulnerability, where migration rates are high.

159. However, due to the pandemic, returning to communities to verify the impact of the intervention was limited and, in some cases, it was not possible. These communities demand more attention and clear messages about the expectations for the future sustainability of the interventions.

160. Capacity building and institutional strengthening were instrumental to ensure communities, cooperatives, small farmers, and NTFP collectors build the social fabric and cohesion needed to participate effectively. Those beneficiaries with previous experience collaborating with development projects were able to move faster and present now better sustainability perspectives.

161. The acknowledgment and recognition of the benefits derived from implementing best practices across the value chain is likely to have a long-lasting impact, ensuring beneficiaries' appropriation leading into sustainability, but also bearing in mind the replication effect in neighboring communities and stakeholders.

<i>Institutional framework and governance</i>	4
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¹ The Family Agricultural Schools are community schools managed by the association of residents and rural unions linked to the community. The methodology used in the EFAs involved an alternating pedagogy where the student experiences, for one period, school time and, for another, community time.

162. The interviews reflect that commitment from EMBRAPA is high to further replicate and scale up project interventions. However, there is still a need to further refine and strengthen public policies aiming to improve conditions for bioeconomy, NTFP and AFS, as well as to raise additional resources through the design of project proposals.
163. The interviews confirm the results achieved with NTFP and AFS as a pilot phase that will guide alternative pathways for EMBRAPA to further expand its portfolio of services and sectors attended.
164. NTFP and AFS are pioneering areas for EMBRAPA, also opening a new relationship with small scale farmers and vulnerable families, whose demand for technical assistance has grown exponentially due to the results achieved.
165. The capacities and network achieved with extensionist partners such as the Escola Família Agrícola, universities, credit institutions and a number of local and regional partners offer a powerful social fabric for further replication and scale up.

<i>Environmental sustainability</i>	3
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166. Considering the scale of intervention, changes and improvements are likely to take decades before they could be visualized and celebrated. On the other hand, biomes face much more challenging and complex pressures which fall out of the scope that was addressed through the project's NTFP and AFS approach.
167. However, reducing pressure derived from small scale farmers and communities of collectors under severe vulnerability conditions, opens a window for opportunities to reduce stress in other sensitive sites and locations within the three biomes.
168. Monitoring and evaluation is fundamental to systematically assess the impact derived from interventions, as well as the emerging trends and challenges faced by the three biomes.

3.3.6 Country ownership

169. The project was formulated according to the needs and interests of major stakeholders, leading to enthusiastic and proactive participation across different project activities, as well as those specifically designed for stakeholder engagement.
170. Interviews confirm the project was adequately nested by EMBRAPA, whose leadership and institutional endorsement was key to mainstream sustainable NTFP and AFS across a vast array of stakeholders at federal, state and municipal scales.
171. The project has received great appreciation and recognition among different stakeholders involved and interviews confirm institutions involved feel proud of the results achieved and consider this project as a model for future reference.

3.3.7 Gender equality and women's empowerment

172. The design did not disaggregate the number of beneficiaries by gender; nevertheless, the project monitored participation by gender, resulting in 46% of direct beneficiaries being women.
173. In general, it is evident that the project sought to include gender issues in the different years of execution. From the beginning, the project noted the role of women in extractivism and in some biodiversity use activities, such as the extraction and processing of babacu, umbu, coquinho azedo and pracaxi. Therefore, the project identified strategy was related to the fact that NTFP production is closely related to the capacity of communities to respond to sustainable management.
174. Thus, the project sought to encourage women's participation through different spaces for debate. In the short term, forums and meetings such as the Webinar Women, Extractivism and Socio-biodiversity were held, but activities related to the exchange of experiences and capacity building were also implemented, which lay the foundations for long-term results.

3.3.8 Cross-cutting Issues

175. The ProDoc envisaged that the project would have a modest impact on the indigenous peoples. In practice, although it was not the objective, the project carried out some activities to support indigenous peoples, for example, helped in the organization of a nut collective and also helped to disseminate market and price information among them.
176. One of the positive effects of the project on local populations is related to the implementation of 15 Restoration Demonstration Units based on the Alto Rio Pardo TC model in rural communities, including indigenous populations, quilombolas and traditional communities. However, the most relevant effect of the intervention was to capture the interest of financial institutions to promote rural credit; this is the case of Banco da Amazônia.
177. The project objectives are in line with several priorities of the Country Program Document (CDP). These are: People: Inclusive and equitable society with extensive rights for all men and women; Planet: Sustainable management of natural resources for present and future generations; and Prosperity: Prosperity and quality of life for everyone.
178. The project worked on the development and dissemination of sustainable management practices and technology that reduce pressure on forests and increase

the connectivity and effectiveness of protected areas within the landscape, thus contributing to reducing the risks generated by climate change.

179. In relation to environmental poverty, the project improved the income of 1,879 families in the 6 TCs by 34% due to the use of sustainable management and restoration technologies.

3.3.9 GEF Additionality

180. The government of Brazil (GoB) recognizes that NTFP and AFS represent potential alternatives for sustainable conservation and use of BD. Without the GEF funding, the business-as-usual scenario would lead to progressive degradation of natural resources in high biodiversity value areas associated to unsustainable use of NTFP.

181. The intervention was rooted in federal, state and municipal governments and institutions, whose mandate and capacities respond to policies that failed to mainstream biodiversity into the economics of NTFP and AFS. GEF resources were instrumental to link institutions that were working in isolation, and proved to be successful to accelerate and scale up a process that otherwise would not be possible, or at least would have taken much longer time to realize.

182. The project's incremental reasoning builds on AFS and sustainable harvesting of NTFPs to reduce land conversion and degradation, increase restoration and promote conservation, but also to improve family income, promote local economy, and empower local communities and their livelihoods.

183. Moreover, considering the institutional restructuring and restricted budgetary allocations due to the financial and economic crisis, the project was fundamental to canalize investments in technologies and methods for sustainable production, access to credit and capacity building in high biodiversity areas.

3.3.10 Catalytic/Replication Effect

184. The project was conceived under an experimental nature, bridging the knowledge gaps on production to increase access to markets. It aimed at removing current barriers and uncertainties, leading to the upscaling of sustainable NTFP and AFS.

185. The interviews confirm that the most relevant contribution in terms of catalytic effect is the model generated and put into practice for multistakeholder cooperation. Continued confirmed commitment from institutions such as EMBRAPA acknowledge the success achieved and suggest a reasonable potential to scale up best practices within the biomes and in other areas of Brazil.

186. Among the specific interventions with great potential for replication, interviews mention the NTFP Reference Centers, young journalists' initiatives², water management best practices, and strengthening the organizational capacity of cooperatives and beneficiaries. Results such as 8 online courses related to good practices, and the investment in popular communication such as young journalists are instrumental to facilitate replication over time.

187. However, interviews acknowledge a weakness in terms of knowledge management and dissemination of the information and resources generated, partly due to the limitations imposed by COVID-19. It has been mentioned that return to communities, publication of existing data and research, or dissemination of results and lessons learned is a bottleneck now, considering the amount of information generated and the limited time left to implement.

3.3.11 Progress to Impact

188. The project reported improving 1,177,446 ha of the Cerrado and Caatinga biomes with sustainable production of BD products. Furthermore, the project contributed to the conservation and production security of five species by making efforts to maintain stable or decrease the index of population asymmetry and size class distribution. The project's work on restoration and management ensured the propagation of populations of species targeted by extractivism.

189. At the policy level, it is recognized that the project contributed with recommendations for public policies on access to credit and financing, as well as training for producers/multipliers and public officials on how to access financing for NTFPs/AFS, at the decision-making and customer service levels. In addition, the project's good relations with different actors allowed to contribute directly to the Government's new Harvest Plan with a line of credit for the bioeconomy, and the inclusion of new species in the PGPMBio.

190. In addition to the planned impacts, several unforeseen impacts were generated. Thus, the project rightly shifted the resources allocated to travel, which could not be realized due to COVID-19, and allocated them to support the communities. This allowed the communities to have access to food security, emergency kits, health education and facilitated local production of 5,000 masks. Also, the project procured access to internet and invested in photovoltaic solutions to increase contact and

² It refers to empowering young people in participating communities to undertake environmental communication activities.

maintain coordination with rural communities and beneficiaries. Moreover, an online platform was developed to deliver trainings and continue with capacity building activities.

191. Another unplanned impact was the creation of reference centers in the communities, which strengthened the involvement of young people in communications for the dissemination of project results. In the future, this will allow the project's interventions to become known and to be scaled up in other places.
192. On the other hand, a positive and negative effect at the same time is related to the generation of information. The project developed around 40 important research projects, disseminated regularly through social media. However, in the general opinion of stakeholders interviewed, it partially failed at knowledge management and dissemination of information generated. With this regard, interviews mention limitations related to COVID-19 restrictions, but also due to the important amount of information generated and the limited capacity to disseminate it to the different audiences and target groups.
193. Another project's merit was to introduce themes related to the work with harvesters, subsistence economy and bioeconomy within the agenda of EMBRAPA, an entity that has a tradition of working with medium and large producers.

4 MAIN FINDINGS, CONCLUSIONS, RECOMMENDATIONS & LESSONS

4.1 Main Findings

Project Design

194. This project is highly relevant since its impacts contribute to three Aichi Biodiversity Targets and to the GEF Strategic Objectives and it is considered one of the most relevant projects among UNDP's portfolio in Brazil for its contribution to the SDGs.
195. The project scope proved to be very complex due to the different realities it had to face inside the three biomes and these factors were not in coherence with resources and time available for the project.
196. None of the performance indicators fully meet the SMART criteria, five of them did not present a baseline at the design stage and the rest were not accurate or detailed.

197. It was very appreciated by the stakeholders that, since the design the project, it was flexible enough to let them incorporate their demands and validate the proposed intervention.
198. Risks did not consider financial and administrative issues even though it is known that difficulties in these aspects are common in projects implemented in isolated rural areas.
199. There was no effort to integrate gender analysis in the design, because it was not required when the project was designed. The project briefly considers and recognizes the role of women in NTFP and AFS management and development.

Project Implementation

200. The project implementation showed an adequate awareness of the social, cultural, and political context conditions and that resulted in the incorporation of specific demands and the adoption of strategies and means to achieve the project's objectives.
201. The project attention was rightly directed towards the private sector to fulfil the gap that was left due to political turnover on NTFP market availability.
202. As a measure to support EMBRAPA's financial and administrative management, UN Volunteers helped to accelerate procurement processes, strengthening the project capacities of internal articulation.
203. The project's adaptive management capacity allowed mobilizing underutilized resources to support the COVID-19 emergency response, in ways that enhanced their development dimensions such as food security, access to energy, and connectivity.
204. Not all stakeholders performed according to the original commitments because of political turnover that affected governmental institutions like MMA, MDS and CONAB.
205. The participation of beneficiaries is remarkable. They demonstrated motivation and engagement, especially from farmers and cooperatives. It is important to mention that cooperatives with previous experience were able to show results faster.
206. Regarding finance and co-finance, the original project budget equals USD 5.4 million from the GEF for the implementation period. Until second quarter 2021, the project disbursed USD 5.2 million, that is 93% of the total available budget. In addition to the GEF funding, the project benefitted from co-financing commitments totaling USD 19,486,732.88 from EMBRAPA, UNDP, Fundo Amazonia, Fundacao Banco do Brasil (ECOFORTE), Banco da Amazonia and European Union.

207. Although the ProDoc states that the project would develop a M&E Plan for monitoring indicators, currently, there is only the logical framework that provides the baseline, targets, and means of verification. However, during the implementation, it has been verified that the main milestones proposed in the ProDoc have been met.
208. UNDP's longstanding experience implementing GEF projects in Brazil, together with its project portfolio approach, provided an adequate framework and installed capacities for implementation. However, interviewees confirm that there has been a limited use of the global network and national portfolios in terms of coordination, exchange of information and exploration of synergies.
209. A major concern found was related to the administrative and financial procedures, which according to interviews were very difficult to follow considering the isolation and development context of the intervention sites.
210. EMBRAPA possess a longstanding tradition in Brazil at implementing research projects, but did not have previous experience implementing development projects, which posed a considerable challenge and also supposed a learning curve for the institution.

Project Results and Impacts

211. The Outcome 1 presents indicators where all the targets were reached. It leads to an impact in terms of the creation of capacities at different levels. Improved EMBRAPA capacities to influence planning, implementation, monitoring, and mainstreaming NTFP and AFS, has a national impact due to the extent at which EMBRAPA operates.
212. The Outcome 2 present impacts in financial frameworks and markets for BD products in the three biomes. All outputs are on track, and three were already accomplished.
213. The project pursued a private sector market approach and even though it would not meet the original volume and results expected, new ways for BD product purchasing are now implemented, resulting in the creation of 2 large cooperatives, a virtual store and 2 sales centers.
214. The Outcome 1 is the most efficient since it has invested 85% of its resources and has achieved 100% compliance in 5 of the six indicators, and one of them advanced to 98%. On the other hand, Outcome 2 has spent 82% of the allocated resources and achieved 100% in 3 of the five indicators, one of them at 40% and another that has not been met due to factors external to the project.

215. The project was able to improve 1,177,446 ha of the Cerrado and Caatinga biomes through the sustainable production of BD products. Furthermore, the project contributed to the conservation and production security of five species by making efforts to maintain stable or decrease the index of population asymmetry and size class distribution.

4.2 Conclusions

216. The project is highly relevant, because of the global significance of the three biomes intervened, and the support provided to the implementation of national policies and local priorities. It can be said it has left a memorable impression in beneficiaries and partners.

217. The project design was robust and left space to include local demands and priorities. However, the design responded to a different political context, leading into optimistic assumptions that were challenged by the political transition. A major weakness identified in the project relates to the formulation of indicators in aspects that do not meet SMART criteria.

218. The project demonstrated adaptive management capacity to navigate through political turnover, with a change in terms of institutional priorities and staff rotation. It was able to shift market orientation from state to the private sector and reacted fast to support communities during the COVID-19 emergency response, in ways that enhanced other development dimensions such as health, food security, access to energy, and connectivity.

219. The project is on track to achieve most of its outcomes and expected results. It was able to exceed certain targets while simultaneously achieving results that were not originally envisioned during project design. The only indicator the project will not meet relates to public purchases of BD products, which falls out of the control of the project.

220. By November 2021 the project was only able to execute USD 4.5 million, that is 83% of the total available budget. In addition to the GEF funding, the project benefitted from co-financing commitments totaling USD 19,486,732.88.

221. Women play a determinant role in subsistence economies and different aspects of the targeted value chains; the project supported cooperatives and best practices where women were either majority or leading actors. The gender considerations were not explicit during project design, and no effort was identified to integrate gender analysis throughout implementation, which eventually could maximize impact.

222. The project achieved impacts beyond those originally planned and has left an important legacy for future NTFP and AFS projects and initiatives. The appropriation from EMBRAPA would still need to be consolidated over time, for which it is important to consider a portfolio of projects at different scales to ensure continued flow of resources to scale up and follow up GEF investments.

4.3 Recommendations

Rec #	TE Recommendation	Entity Responsible	Time frame
A	Category 1: Operational		
A.1	In order to improve efficiency, it is recommended that administrative and procurement instruments are continuously updated and adapted to rural contexts.	UNDP	Mid Term
B	Category 2: Exit strategy		
B.1	It is necessary to follow up on the creation of a portal to store all the information, documents and research. Also, seek to establish this portal with a partner institution to be in charge of maintaining and uploading updated information.	PMU UNDP EMBRAPA	Short Term
B.2	It is important for the project to be able to hold several local and regional events, not just one, to communicate all the information gathered by the project, and for the beneficiaries to know what the results of the project were.	PMU UNDP EMBRAPA	Short Term
B.3	It is recommended to evaluate the possibility of reaching agreements with the National Agency for Technical Support and Extension (ANATER), so that several actions carried out by the project can be linked to the institution, and thus enhance them after the project ends.	PMU UNDP EMBRAPA ANATER	Mid Term
B.3	It is recommended to evaluate the possibility of reaching agreements with ANATER so that several actions developed by the project can be linked to the institution, and thus enhance the work that will conclude the project.	PMU UNDP EMBRAPA ANATER	Mid Term
B.4	The project could approach universities or federal districts that have a presence in Marajó to seek resources to continue with the project's actions. The mechanisms that can contribute may be linked to university extension and research projects, and may even contribute directly with financial resources.	PMU UNDP EMBRAPA	Mid Term
B.5	It is recommended that the project evaluate the possibility of seeking an ally to establish a distance education platform, where people can access research, and which, in addition, can be fed by the local communities themselves. This considering the amount of information and research leveraged by the project.	PMU UNDP EMBRAPA	Short Term

B.6	The stakeholders confirm their interest to explore together with the Agriculture Ministry opportunities for a new follow-up project for GEF 8. It is recommended to consider creating a task force or contact group to activate this opportunity.	UNDP EMBRAPA	Mid Term
B.6	The stakeholders would like to explore together with Agriculture Ministry opportunities for a new follow project for GEF 8.	UNDP EMBRAPA	Mid Term
B.7	Knowledge management and return no participating communities is crucial to close the process and empower participants for future challenges.	PMU UNDP EMBRAPA	Short Term
B.8	Considering the need to return to participating communities and stakeholders, it has been suggested by different partners that there is a need to organize a closing event to share lessons, information and results achieved. This event should also provide the ground for follow up, scale up and sustainability commitments.	PMU UNDP EMBRAPA	Short term

4.4 Lessons Learned

223. For future projects, local stakeholders should be included during formulation and design to ensure their needs are identified; they are the ones who should define what they want to work with and what they want to work on.
224. One valuable lesson is that the strategy can always change to achieve stated goals. The project had to look for new strategies to sell the BD products since the markets considered at the design phase were not available anymore.
225. The projects with technology transfer and capacity building goals should not delay or postpone training activities as it would result in insufficient time to achieve the expected results. Likewise, projects should ensure that equipment is in place at the implementation sites from the beginning, with trained people from the communities who will be operating them.
226. In relation to the above, the project showed that the sooner the communities are provided with tools, then there is real empowerment for the local communities. The project introduced tools such as the reference centers that had a very rapid impact with the communities, which represented a process of valuing the communities.
227. The project was designed with a partner that already had experience working in the intervention sites and had identified the key actors and local partners. This allowed for a smooth implementation, greater acceptance and impact.
228. The work with young people was key, as they were empowered to stay in the territory, to value and take care of their biome, and find opportunities for economic inclusion.

229. The projects that seek to have the impact of Bem Diverso should consider allocating more time, as well as having more scales of intervention because the degree of organization in each region is different.
230. The project demonstrated that it is necessary to work together, including communities, cooperatives and technicians. It is essential to establish a work network on all fronts that allows communication between the different actors. In this sense, the project had the sensitivity to communicate the needs of the people and the environment to the technical counterpart.
231. The project revealed the problem of getting fiscal notes to reimburse expenses in rural areas, which in turn was a problem for justifying expenditure to UNDP. It is necessary for future projects to look for alternative procedures and guidelines to improve procurement in rural isolated areas.
232. It is necessary to work with educational institutions based in the region such as Escola Familia Agricola, because the project is temporary but they can replicate the knowledge on a permanent basis.
233. During the COVID 19 lockdown, smart phones proved to be a very powerful tool to maintain stakeholders informed and coordinated, considering this technology has a great penetration in the rural area. Learning tools, knowledge platforms, communications campaigns or NTFP commercialization platforms could have greater impact if landed and installed to be used by smartphones.



5 ANNEX

5.1 Annex 1: TE ToR (excluding ToR annexes)

Terms of Reference for ICs and RLAs through /GPN ExpRes

Services/Work Description: Terminal Evaluation consultancy in ecosystem and biodiversity
Project/Programme Title: - BRA/14/G33 – (PIMS 4659) - Mainstreaming Biodiversity Conservation and Sustainable Use into NTFP and AFS production practices in Multiple-Use Forest Landscapes of High Conservation Value (Projeto Bem Diverso).
Consultancy Title: Terminal Evaluation for GEF Project Mainstreaming Biodiversity Conservation and Sustainable Use into NTFP and AFS production practices in Multiple-Use Forest Landscapes of High Conservation Value.
Duty Station: Home-based
Duration: 60 days
Expected start date: 23rd September 2021

1. BACKGROUND

1.1 Introduction

In accordance with UNDP and GEF M&E policies and procedures, all full- and medium-sized UNDP-supported GEF-financed projects are required to undergo a Terminal Evaluation (TE) at the end of the project. These Terms of Reference (TOR) set out the expectations for the TE of the full-sized project titled BRA/14/G33 – (PIMS 4659) - Mainstreaming Biodiversity Conservation and Sustainable Use into NTFP and AFS production practices in Multiple-Use Forest Landscapes of High Conservation Value (Projeto Bem Diverso) implemented by the United Nations Development Programme (UNDP). The project started on the first quarter of 2016 and is in its 6 year of implementation. The TE process must follow the guidance outlined in the document 'Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects':

http://web.undp.org/evaluation/guideline/documents/GEF/TE_GuidanceforUNDP-supportedGEF-financedProjects.pdf.

1.2. Project Description

The project's objective is to ensure that the biodiversity of Brazilian multiple-use forest landscapes of high conservation value is conserved through a strengthened sustainable use management framework for non-timber forest products (NTFP) and agro-forestry systems (AFS). It will support Brazil's goal of promoting the



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conservation and sustainable use of biodiversity while reducing poverty and increasing resilience in the rural areas, which are governmental objectives stated in public policies and programs.

The project will conserve biodiversity in key forest landscapes - Amazon, Caatinga and Cerrado - all renowned for their outstanding global biodiversity significance but currently under threat from increasing land use pressures across production landscapes. It will address one of the key land use threats to these forests, which is forest degradation driven by small-scale farmers that employ traditional subsistence farming and extraction practices in and around forested areas throughout the landscape, including land clearing, over-exploitation of resources, and poor fire management. This is causing increased encroachment on forest habitats both in areas under conservation and in locations that are strategic for connectivity across the landscape with the result of gradual loss of the global environmental values in these areas. It will seek to facilitate a shift from these unsustainable agricultural practices to an approach that conserves the biodiversity of multiple-use forest landscapes of high conservation value while meeting important social priorities and development goals.

The project will therefore focus on the development of a strengthened sustainable use management framework for sustainable NTFP and AFS production. This will be achieved through two Outcomes: 1) Governance and capacity building framework for up-scaling best practices for BD sustainable management and production, and 2) Market and financial frameworks for up-scaling for NTFP and AFS production in high-conservation value forest landscapes. By removing current risks and uncertainties, the project will contribute to the upscaling of sustainable NTFP and AFS production while at the same time enhancing the rights and roles of communities in the sustainable management of BD and improving their livelihoods. Up-scaling and integration of AFS production will provide more environmentally friendly forms of land use in a landscape-level mosaic, increasing connectivity of forest fragments and helping to maintain ecosystem services.

The Covid-19 pandemic has caused the suspension of all field activities since March 2020, and as the Project has a strong local implementation component in 6 Citizenship Territories, it had a major impact on the activities planned for 2020. In light of that situation, the project is implementing a series of mitigation, prevention and awareness-raising actions, such as support for the local production of masks, various informational materials and webinars on prevention measures against Covid-19 in rural areas, as well as content for online training. However, all this effort came up against a major bottleneck which is local internet access, given the remote locations with low human development levels and scarce infrastructure, including energy, sanitation and internet access.

In this context, the project sought options and prepared an accessibility plan for the main communities where it operates to carry out training, meetings and other online activities and in a safe way. The Project also approved an emergency travel plan that allows the displacement of beneficiaries within the territory itself, without crowding, and ensuring the continuity of field research and consolidated scientific data on the species. With these innovative solutions, the project is making progress towards meeting its indicators.

In terms of the overall national Covid-19 situation, Brazil is currently one of the world's epicenters, having recently reached 500,000 deaths with a high contamination rate. Vaccination is proceeding at a slow pace, and this means that we do not have forecasts in the field until at least the end of the year.



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2. SCOPE OF WORK, RESPONSIBILITIES AND DESCRIPTION OF THE PROPOSED WORK

2.1 Terminal Evaluation Purpose

The Terminal Evaluation (TE) Report will assess the achievement of project results against what was expected to be achieved and draw lessons that can both improve the sustainability of benefits from the project and aid in the overall enhancement of UNDP programming. The TE Report promotes accountability and transparency and assesses the extent of project accomplishments.

The results of the TE Report, including the analysis of the indicators and lessons learned, will serve UNDP for the elaboration of future projects and public policies. In addition, the Project has built a solid network of partners and beneficiaries who will also be able to use the results in formulating their post-project work plans. 2021 is the Project's last year of implementation.

The scope and objectives of the TE must include aspects such as the impact of the results of the innovative technologies supported by the project. The impact of the Covid-19 pandemic will also be an important aspect of the TE.

2.2 DUTIES AND RESPONSIBILITIES

TE Approach & Methodology

The TE must provide evidence-based information that is credible, reliable, and useful.

The TE consultant will review all relevant sources of information including documents prepared during the preparation phase (i.e., PIF, UNDP Initiation Plan, UNDP Social and Environmental Screening Procedure/SESP, the Project Document – PRODOC), project reports including annual PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based evaluation. The TE consultant will review the baseline and midterm GEF focal area Core Indicators/Tracking Tools submitted to the GEF at the CEO endorsement and midterm stages and the terminal Core Indicators/Tracking Tools that must be completed before the TE field mission begins.

The TE consultant is expected to follow a participatory and consultative approach ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), Implementing Partners, the UNDP Country Office(s), the Regional Technical Advisors, direct beneficiaries, and other stakeholders.

Engagement of stakeholders is vital to a successful TE. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to executing agencies, senior officials and task team/component leaders, key experts and consultants in the subject area, Project Board, project beneficiaries, academia, local government and CSOs, etc. Due to the situation of the Covid-19 pandemic in Brazil, there will be no field missions in this TE. However, the Project Management Unit



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will support and facilitate contacts and platforms for interviews with the stakeholders in each territory where the project operates.

The specific design and methodology for the TE should emerge from consultations between the TE consultant and the above-mentioned parties regarding what is appropriate and feasible for meeting the TE purpose and objectives and answering the evaluation questions, given limitations of budget, time and data. The TE consultant must, however, use gender-responsive methodologies and tools and ensure that gender equality and women's empowerment, as well as other cross-cutting issues and SDGs are incorporated into the TE report.

The final methodological approach including interview schedule and data to be used in the evaluation should be clearly outlined in the inception report and be fully discussed and agreed between UNDP, stakeholders, and the TE consultant.

The final TE report should describe the full TE approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the evaluation.

As of 11 March 2020, the World Health Organization (WHO) declared COVID-19 a global pandemic as the new coronavirus rapidly spread to all regions of the world. As external field missions are suspended in the Project, the TE consultant should develop a methodology that takes this into account to conduct the TE virtually and remotely, including by using remote interview methods and extended desk reviews, data analysis, surveys, and evaluation questionnaires. This should be detailed in the TE Inception Report and agreed with the Commissioning Unit.

As the TE is to be entirely carried out virtually, considerations should be taken for stakeholder availability, ability, or willingness to be interviewed remotely. In addition, their accessibility to the internet/computer may be an issue as many government and national counterparts may be working from home. These limitations must be reflected in the final TE report.

If a data collection/field mission is not possible, then remote interviews may be undertaken through telephone or online (skype, zoom etc.). International consultants can work remotely with national technical advisor support in the field if it is safe for them to operate and travel. No stakeholders, consultants or UNDP staff should be put in harm's way and safety is the key priority.

2.3 Detailed Scope of the TE

The TE will assess project performance against expectations set out in the project's Logical Framework/Results Framework (see TOR Annex A).

The TE will assess results according to the criteria outlined in the Guidance for TEs of UNDP-supported GEF-financed Projects:



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http://web.undp.org/evaluation/guideline/documents/GEF/TE_GuidanceforUNDP-supportedGEF-financedProjects.pdf.

The Findings section of the TE report will cover the topics listed below. A full outline of the TE report's content is provided in TOR Annex C. The asterisk “(*)” indicates criteria for which a rating is required.

i. Project Design/Formulation

- National priorities and country drivenness
- Theory of Change
- Gender equality and women's empowerment
- Social and Environmental Safeguards
- Analysis of Results Framework: project logic and strategy, indicators
- Assumptions and Risks
- Lessons from other relevant projects (e.g., same focal area) incorporated into project design
- Planned stakeholder participation
- Linkages between project and other interventions within the sector
- Management arrangements

ii. Project Implementation

- Adaptive management (changes to the project design and project outputs during implementation)
- Actual stakeholder participation and partnership arrangements
- Project Finance and Co-finance
- Monitoring & Evaluation: design at entry (*), implementation (*), and overall assessment of M&E (*)
- Implementing Agency (UNDP) (*) and Executing Agency (*), overall project oversight/implementation and execution (*)
- Risk Management, including Social and Environmental Standards

iii. Project Results

- Assess the achievement of outcomes against indicators by reporting on the level of progress for each objective and outcome indicator at the time of the TE and noting final achievements
- Relevance (*), Effectiveness (*), Efficiency (*) and overall project outcome (*)
- Sustainability: financial (*), socio-political (*), institutional framework and governance (*), environmental (*), overall likelihood of sustainability (*)
- Country ownership
- Gender equality and women's empowerment
- Cross-cutting issues (poverty alleviation, improved governance, climate change mitigation and adaptation, disaster prevention and recovery, human rights, capacity development, South-South cooperation, knowledge management, volunteerism, etc., as relevant)
- GEF Additionality
- Catalytic Role / Replication Effect



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- Progress to impact
- iv. Main Findings, Conclusions, Recommendations and Lessons Learned
- The TE consultant will include a summary of the main findings of the TE report. Findings should be presented as statements of fact that are based on analysis of the data.
 - The section on conclusions will be written in light of the findings. Conclusions should be comprehensive and balanced statements that are well substantiated by evidence and logically connected to the TE findings. They should highlight the strengths, weaknesses, and results of the project, respond to key evaluation questions, and provide insights into the identification of and/or solutions to important problems or issues pertinent to project beneficiaries, UNDP and the GEF, including issues in relation to gender equality and women’s empowerment.
 - Recommendations should provide concrete, practical, feasible and targeted recommendations directed to the intended users of the evaluation about what actions to take and decisions to make. The recommendations should be specifically supported by the evidence and linked to the findings and conclusions around key questions addressed by the evaluation.
 - The TE report should also include lessons that can be taken from the evaluation, including best and worst practices in addressing issues relating to relevance, performance and success that can provide knowledge gained from the particular circumstance (programmatic and evaluation methods used, partnerships, financial leveraging, etc.) that are applicable to other GEF and UNDP interventions. When possible, the TE consultant should include examples of good practices in project design and implementation.
 - It is important for the conclusions, recommendations and lessons learned of the TE report to include results related to gender equality and empowerment of women.
- The TE report will include an Evaluation Ratings Table, as shown in the TOR Annex.

3. Expected Outputs and deliverables

- The TE consultant shall prepare and submit:
- TE Inception Report: TE consultant clarifies objectives and methods of the TE. TE Consultant submit the Inception Report to the Commissioning Unit and project management after the document analysis. Approximate due date: October 4th, 2021.
 - Draft TE Report: TE consultant submits full draft report with annexes within 3 weeks of the end of the TE interviews. Approximate due date: October 18, 2021.
 - Final TE Report* and Audit Trail: TE consultant submits revised report, with Audit Trail detailing how all received comments have (and have not) been addressed in the final TE report, to the Commissioning Unit within 1 week of receiving UNDP comments on draft. Approximate due date: November 01, 2021.
- The final TE report must be in English. If applicable, the Commissioning Unit may choose to arrange for a translation of the report into a language more widely shared by national stakeholders.



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All final TE reports will be quality assessed by the UNDP Independent Evaluation Office (IEO). Details of the IEO's quality assessment of decentralized evaluations can be found in Section 6 of the UNDP Evaluation Guidelines.

4. Institutional arrangements/reporting lines

The Commissioning Unit and the Project Team will provide support to the operationalization of virtual / remote meetings and will provide the TE consultant with an updated list of interested parties with contact details (phone and email), in addition to providing all online documentation as well as setting up stakeholder interviews for the TE consultant.

4.1 Duration of the Work

The total duration of the TE will be approximately (average 25-35 working days) over a time period of 60 days starting September 23rd, 2021 and shall not exceed 60 days from when the TE consultant is hired. The tentative TE timeframe is as follows:

- September 08 to September 15, 2021: Selection of TE consultant
- September 23, 2021: Prep the TE consultant (handover of project documents)
- September 27, 2021: Document review, preparing and submit the TE Inception Report
- October 04 to October 15, 2021: Stakeholder meetings and interviews
- October 18, 2021: Preparing and submit of draft TE report
- October 18 to October 22, 2021: Circulation of draft TE report for comments
- October 25 to October 29, 2021: Incorporation of comments on draft TE report into Audit Trail & finalization of TE report
- November 01, 2021: Submit final TE report
- November 01 to November 12, 2021: Circulation of final TE report and approval

The expected start date of contract is September 23, 2021.

4.2 Duty Station

The TE consultant will work home-based, with the remote support of the Commissioning Unit, who will provide support in the agendas with stakeholders and interviews with the beneficiaries in the territories.

5. Experience and qualifications

I. Academic Qualifications:

Post-Graduate in related areas of the TOR



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II. Years of experience:

Mandatory criteria:

- Minimum 10 years of relevant professional experience
- Previous experience with results-based monitoring and evaluation methodologies
- Technical knowledge in the targeted focal area(s);
- Experience with implementing evaluations remotely will be considered an asset.

Qualifying criteria:

- Project evaluation/review experiences within United Nations system
- Experience of working on GEF evaluations
- Experience of working on GEF evaluations, preferably with traditional peoples and communities
- Experience working in Latin America

III. Language:

Fluency in written English and working knowledge of Portuguese.

IV. Competencies:

- Competence in adaptive management
- Demonstrated understanding of issues related to gender
- Experience applying SMART indicators and reconstructing or validating baseline scenarios
- Project evaluation/review experience within United Nations system will be considered an asset

A team of one independent consultant will conduct the TE with experience and exposure to projects and evaluations in other regions globally.

The consultant must complain with the following:

Consultant Independence: The consultant cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project's related activities.

Evaluator Ethics

The TE consultant will be held to the highest ethical standards and is required to sign a code of conduct upon acceptance of the assignment. This evaluation will be conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation'. The evaluator must safeguard the rights and confidentiality of information providers, interviewees, and stakeholders through measures to ensure compliance with legal and other relevant codes governing collection of data and reporting on data. The evaluator must also ensure security of collected information before and after the evaluation and protocols to ensure anonymity and confidentiality of sources of information where that is expected. The information knowledge and data gathered in the evaluation process must also be solely used for the evaluation and not for other uses without the express authorization of UNDP and partners.



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6. Payment Modality

Payment to the individual contractor will be made based on the actual number of days worked, deliverables accepted and upon certification of satisfactory completion by the manager.

Payment schedule:

- 20% payment upon satisfactory delivery of the final TE Inception Report and approval by the Commissioning Unit
- 40% payment upon satisfactory delivery of the draft TE report to the Commissioning Unit
- 40% payment upon satisfactory delivery of the final TE report and approval by the Commissioning Unit and RTA (via signatures on the TE Report Clearance Form) and delivery of completed TE Audit Trail

Criteria for issuing the final payment of 40%

- The final TE report includes all requirements outlined in the TE TOR and is in accordance with the TE guidance.
- The final TE report is clearly written, logically organized, and is specific for this project (i.e., text has not been cut & pasted from other MTR reports).
- The Audit Trail includes responses to and justification for each comment listed.

In line with the UNDP's financial regulations, when determined by the Commissioning Unit and/or the consultant that a deliverable or service cannot be satisfactorily completed due to the impact of COVID-19 and limitations to the TE, that deliverable or service will not be paid.

Due to the current COVID-19 situation and its implications, a partial payment may be considered if the consultant invested time towards the deliverable but was unable to complete to circumstances beyond his/her control.

5.2 Project Logical/ Results Framework (Last PIR)

This project will contribute to achieving the following Country Programme Outcome as defined in CPAP or CPD: Outcome #2: Capacities for integrating sustainable development and productive inclusion for poverty reduction.
Country Programme Outcome Indicators: 2.ii: Technical advice for the institutionalization of participatory mechanisms for indigenous peoples and traditional populations in programmes oriented to achieve environmental sustainability and poverty reduction
Primary applicable Key Environment and Sustainable Development Key Result Area (same as that on the cover page, circle one): Mainstreaming environment and energy
Applicable GEF Strategic Objective and Program: BD-SO2: Mainstream Biodiversity Conservation and Sustainable Use into Production Landscapes, Seascapes and Sectors,
Applicable GEF Expected Outcomes: BD Outcome 2.1 Increase in sustainably managed landscapes and seascapes that integrate biodiversity conservation
Applicable GEF Outcome Indicators: BD Indicator 2.1: Landscapes and seascapes certified by internationally or nationally recognized environmental standards that incorporate biodiversity considerations (e.g. FSC, MSC) measured in hectares and recorded by GEF tracking tool

Intervention Logic	Objectively Verifiable Indicators	Baseline	Targets (End of Project)	Means of Verification	Risks and Assumptions
Project Objective: The biodiversity of Brazilian multiple-use forest landscapes of high conservation value is conserved through a strengthened sustainable use management framework for non-timber forest products (NTFP) and agro-forestry systems (AFS)	Surface area (ha) of forests in multiple use landscapes-MUL- of the Amazon, Cerrado and Caatinga biomes with sustainable production of BD products through direct effect of the project	<u>Amazon</u> a) A. Acre: 20 ha b) Marajó: 42,389 ha <u>Cerrado</u> a) A.R. Pardo: 0 ha b) Medio Mearim: 1,495 ha <u>Caatinga:</u> a) S. Francisco: 0 ha b) Sobral: 60 ha Total: 43,964 ha	<u>Amazon</u> a) A. Acre: 931.172 ha b) Marajó: 103,519 ha <u>Cerrado</u> a) A.R. Pardo: 38,419 ha b) Medio Mearim: 12,786 ha <u>Caatinga:</u> a) S. Francisco: 2,000 ha b) Sobral: 5,000 ha Total: 1,092,896 ha	<ul style="list-style-type: none"> • Surveys • EMBRAPA and partner reports • External evaluation reports 	Government will to maintain and improve its policies for conservation and sustainable management and use of biodiversity
	Surface area (ha) of forests in MUL of the Amazon, Cerrado and Caatinga with sustainable production of BD products that can be potentially achieved through indirect effects of the project in: 1)	0 ha	1) In CUs and surrounding areas: <u>Amazon</u> a) A. Acre: 0 ha b) Marajó: 194,867 ha	<ul style="list-style-type: none"> • Surveys • EMBRAPA and partner reports 	

Intervention Logic	Objectively Verifiable Indicators	Baseline	Targets (End of Project)	Means of Verification	Risks and Assumptions
	Conservation Units (CUs) and surrounding areas- <i>CU is the name in Brazil for PA in the national protected area system</i> ; and 2) forested areas of 6 selected CTs (long term)		<u>Cerrado</u> a) A.R. Pardo: 600 ha b) Medio Mearim: 12,980ha <u>Caatinga:</u> a) S. Francisco: 278 ha b) Sobral: 5,000 ha Total: 215,525 ha 2) Forested areas of 6 selected CTs (long term): 14,959,566 ha	<ul style="list-style-type: none"> External evaluation reports 	
	Number of heat foci as a proxy indicator for the use of fire as a management technique and hence driver of deforestation ³	<u>Amazon</u> a) A. Acre: 250 inside Resex Chico Mendes; 214 in the 10 km buffer zone b) Marajó: 9 inside Resex Mapua; 20 in the 10 km buffer zone <u>Cerrado</u> a) A.R. Pardo: 12 inside RDS Nascente Geraizeira; 69 in the 10 km buffer zone b) Medio Mearim: to be determined in PY1	10% reduction in each CT	<ul style="list-style-type: none"> Reports from database of INPE (National Institute of Space Research) External evaluation reports 	

³ Monitoring will be undertaken through satellite data provided by the National Institute for Space Research (INPE) <http://queimadas.inpe.br> which carries out operational monitoring of fire outbreaks and forest fires through remote sensing, and predicting the risk of fire and vegetation. The site "SIG Focos Geral" displays heat foci on a GIS with several options: periods, regions of interest, satellites, maps (e.g. deforestation, hydrography, roads, etc.) and may export data in several formats (.txt, html, shp kmz). The project will monitor heat foci in the intervention areas using this database. See more details in Annex 5 Biological Monitoring Plan

Intervention Logic	Objectively Verifiable Indicators	Baseline	Targets (End of Project)	Means of Verification	Risks and Assumptions
		<u>Caatinga:</u> a) S. Francisco: to be determined in PY1 b) Sobral: to be determined in PY1			
	Conservation and production security of 5 key species enhanced through maintaining population growth rates stable or increasing measured through a population asymmetry index and size class distribution fit to the J reverse distribution model [Brazil nut, acai (Amazon), pequi, araticum (Cerrado) and umbu (Caatinga)]	To be determined in PY1-2 through sample plots to be established in each CT	Index > 0 (Inferred from population structure distribution models and the impact of anthropic variables <i>see Biological Monitoring Plan in Annex 5 for details</i>)	<ul style="list-style-type: none"> Population structure studies and reports External evaluation reports 	
Outcome 1: Governance and capacity building framework for up-scaling best practices for BD sustainable management and production	Improved institutional capacities of EMBRAPA to effectively influence the planning, implementation, monitoring and mainstreaming of NTFP and AFS into production practices at the landscape level as measured by a % of increase in the capacity scorecard (see Annex 6)	0%	20 % increase	<ul style="list-style-type: none"> Capacity scorecard Project reports 	Effective inter-institutional coordination for promotion of conservation and sustainable management and use policies
	Number of NTFP species that have differentiated minimum prices (PGPMBio) in each biome ⁴	To be determined in PY1	At least one species per biome	<ul style="list-style-type: none"> Official bulletins Project reports 	Producers' interest in adopting technologies and best practices
	Percentage of target population that makes use of the technical management guidelines prepared by the project	0	At mid term: Technical guidelines for at least 5 species	<ul style="list-style-type: none"> Official bulletins Project reports 	

⁴ This will be measured through a sample of municipalities in each CT. Baseline will be estimated in PY1 since not all municipalities have the information organized. The sample will comprise those municipalities that have well-organized information

Intervention Logic	Objectively Verifiable Indicators	Baseline	Targets (End of Project)	Means of Verification	Risks and Assumptions
			At end of project: 15% of direct beneficiaries (2,980 producers)		Effective coordination of civil society organizations (cooperatives, associations, workers unions, NGOs) facilitates adoption of best practices
	Number of Citizenship Territories and/or CUs that adopt AFS for restoration of degraded lands as a strategy for planning and implementation of the Forest Code ⁵	0	At least 1 in each biome	<ul style="list-style-type: none"> • MDA and ICMBio reports • Agreements within the Territorial Joint Committees of the Citizenship Territories • Project reports 	
	Number of producers that adopt sustainable production of NTFP and AFS through: a) Direct effect of the project b) Indirect effect of the project (replication)	a) 0 b) 0	<p>Amazon</p> <p>a) Direct effect: A. Acre: 226 (AFS), 300 (NTFP) Marajó: 350 (AFS), 400 (NTFP)</p> <p>b) Indirect effect: A. Acre: 400 (AFS), 600 (NTFP) Marajó: 600 (AFS), 800 (NTFP)</p> <p>Cerrado</p> <p>a) Direct effect: A.R. Pardo: 200 (AFS), 300 (NTFP) Mearim: 674 (AFS), 200 (NTFP)</p>	<ul style="list-style-type: none"> • Surveys • EMBRAPA and partner reports • Project reports 	

⁵ The new Forest Code now allows the use of AFS to restore APPs (Permanent Protection Areas). APPs comprise the margins of rivers, which must be preserved. The size of APPs varies according to the width of the river.

Intervention Logic	Objectively Verifiable Indicators	Baseline	Targets (End of Project)	Means of Verification	Risks and Assumptions
			b) Indirect effect: A.R. Pardo: 300(AFS), 500 (NTFP) M. Mearim: 547 (AFS), 400 (NTFP) Caatinga: a) Direct effect: S. Francisco:30 (AFS), 60 (NTFP) Sobral: 240 (AFS) b) Indirect effect: S. Francisco: 278 (AFS), 400 (NTFP) Sobral: 500 (AFS) Total direct effect: 1,720 (AFS) 1,260 (NTFP) Total indirect effect: 2,625 (AFS) 2,800 (NTFP)		
	Increased know-how of extensionists on NTFP and ASF as measured by the number that obtain at least 70% score in evaluations of project training on NTFP/AFS	0	At least 540 obtain over 70%	<ul style="list-style-type: none"> • Training program • Lists of participants • Training evaluations 	
Output 1.1: Environmental safeguards optimize inputs of NTFP and AFS production to BD conservation in multiple use landscapes					
Output 1.2: Improved decision-making support and strategies for policy makers at federal, state and local levels for mainstreaming and managing AFS and NTFP in production landscapes					
Output 1.3: Extension services deliver capacity building to small rural farmers on best practices, safeguards, and market access for NTFP and AFS					
Output 1.4: Resource use agreements incorporate new safeguards and guidance for mainstreaming NTF					
Output 1.5: Data system for information and networking consolidates and replicates best practices on NTFP and AFS					

Intervention Logic	Objectively Verifiable Indicators	Baseline	Targets (End of Project)	Means of Verification	Risks and Assumptions
Outcome 2: Market and financial frameworks for up-scaling for NTFP and AFS production in high-conservation value forest landscapes	Degree of improvement in production chains of 5 species for increased market value and access	Value chains for Brazil nut and acai exist but are not adequately structured	<ul style="list-style-type: none"> • <u>Brazil nut</u>: sanitary quality of nut production • <u>Açai</u>: sanitary quality of pulp production • <u>Umbu</u>: quality of processed pulp • <u>Pequi</u>: oil production cost • <u>Babaçu</u>: productivity in nut extraction 	<ul style="list-style-type: none"> • EMBRAPA and partner reports • Project reports 	Public purchase mechanisms favor sustainable BD products Private sector favors purchases of sustainable products Financial and credit Institutions interested in adopting environmental sustainability criteria
	Percentage of public purchases of BD products by key government programmes (PAA, PNAE and PGPMBio ⁶) based on NTFP and AFS best practices	0	At least 20%	<ul style="list-style-type: none"> • CONAB reports • SIAFI reports • Cooperatives' reports • Project reports 	
	Number of associations/cooperatives that maintain contracts for supply of products with the same buyer(s) (public and/or private) over a period of time ⁷	To be determined in PY1	At least 5 associations/cooperatives (1-2 per biome) for at least 3 years	<ul style="list-style-type: none"> • Contracts • Project reports 	
	Increase in percentage of producers that access financing (e.g. credits, grants) for NTFP and AFS production and management subject to environmental criteria	0	20%	<ul style="list-style-type: none"> • MDA reports • Project reports 	

⁶ PAA: Food Acquisition Program. PNAE: National School Lunch Program. PGPMBio: General Policy on Minimum Prices for Socio-biodiversity Products

⁷ This indicator will measure the change in the trend of supply of products before and at the end of the Project. By end of Project suppliers should have greater constancy of supply to a same buyer. Baseline will be estimated in PY1 by analyzing the supply records of selected associations/cooperatives for at least 5 years previous to Project inception.

Intervention Logic	Objectively Verifiable Indicators	Baseline	Targets (End of Project)	Means of Verification	Risks and Assumptions
	Percentage of increase in the share of BD products in family incomes	Existing data in literature are not reliable and/or do not correspond to intervention areas. Baseline to be determined in PY1	15% (average for different CTs and production systems)	<ul style="list-style-type: none"> • Surveys • EMBRAPA and partner reports • Project reports 	
Output 2.1: Improved reliability, quality and diversity of NTFP supply and AFS production increase market value and access in 6 high biodiversity forest landscapes					
Output 2.2: Market access improved for BD products					
Output 2.3: Credit and financing mechanisms increased for AFS and for NTFP management					

5.3 Annex 2: List of interviews

Name	Position / Organization
Luana Lopes	UNDP Brazil Environmentally Sustainable Development Unit Coordinator
Alexandra Fisher	UNDP/GEF Regional Technical Advisor
Eliseu José do Oliveira	Director CAA/NM (Northern Minas Alternative Agriculture Center)
Álvaro Carrara	Executive CAA/NM (Northern Minas Alternative Agriculture Center)
João Chiles	Local technician CAA/NM (Northern Minas Alternative Agriculture Center)
Fábio Soares	Technical Manager Grande Sertão Cooperative
Adilson Freitas	Regional Technician - EMATER-MG
Fernanda Xavier	Chief ICMBio
Suzana Barbosa	Technician ICMBio
Emir Souza	Director Rio Pardo de Minas Rural Workers Union
Adenilson Mayra Asís	Management Committee of Sustainable Development Reserve Nascentes Geraizeiras
Eudinha Lucía	Group of Young Popular Communicators Geraizeiros
Fortunato Josimar	Group of Restorers and Nova Esperança Agricultural Family School
Ruy Galiano Novato Teixeira Enilson Solano	EMBRAPA
Nora Texeira Victor Daniao Marcela Miranda Alexil Burgos Elia Bitencourt	EMATER-PA and Federal University of Pará (PET Forestal)
Cesar Andrade Neilson Silva Odivan Porter Teofilo Lacerda	MANEJAÍ – Reference Center for Management of Marajó Açaizais Natives
João Avila Gustavo Assis, Fragoso Júnior Milton Nascimento	Agroindustries, Enterprises, Marketing, Market and Access to Credit
Ana Cecilia	Semi-Arid EMBRAPA

Aline Viazoto Paola Cortes Tiago Costas Frabisio Danchina Sergio Freitas Clidia	
Frcisco Capelo Paulo Lina Willy Nelson Acorema	Caatinga Reference Center: Family Agricultural School of Sertão, Araripe Foundation and Roça Solar
Fernando Moretti Mariana Sena Renan Matias Cristina Barroso Leana Luz	Exit Strategy, Low Value Subsidy Agreements, Distance Education Platform and Portal/Database
Focal Point	EMBRAPA Amapá
Anderson Sevilha Luana Lopes, André Nahur Fernando Moretti Ione Santos Cristina Barroso Leana Luz Renan Matias Mariana Lara	EMBRAPA: UNDP Meeting about the Impressions of the Interviews, doubts, comments, etc.

5.4 Annex 3: List of Documents

#	Item (electronic versions preferred if available)
1	Project Identification Form (PIF)
2	UNDP Initiation Plan
3	Final UNDP-GEF Project Document with all annexes
4	CEO Endorsement Request
5	UNDP Social and Environmental Screening Procedure (SESP) and associated management plans
6	Inception Workshop Report
7	Mid-Term Review report and management response to MTR recommendations
8	All Project Implementation Reports (PIRs)
9	Progress reports (quarterly, semi-annual or annual, with associated workplans and financial reports)
10	Oversight mission reports
11	Minutes of Project Board Meetings and of other meetings (i.e. Project Appraisal Committee meetings)
12	GEF Tracking Tools (from CEO Endorsement, midterm and terminal stages)
13	GEF/LDCF/SCCF Core Indicators (from PIF, CEO Endorsement, midterm and terminal stages); for GEF-6 and GEF-7 projects only
14	Financial data, including actual expenditures by project outcome, including management costs, and including documentation of any significant budget revisions
15	Co-financing table data with expected and actual contributions broken down by type of co-financing, source, and whether the contribution is considered as investment mobilized or recurring expenditures
16	Audit reports
17	<p>Electronic copies of project outputs (booklets, manuals, technical reports, articles, etc.):</p> <ol style="list-style-type: none"> 1. Mestres do Agroextrativismo no Mearim - 30 volumes 2. Boas práticas de manejo para o extrativismo sustentável do Coquinho Azedo 3. Boas práticas de manejo para o extrativismo sustentável do Pequi 4. Boas práticas de manejo para o extrativismo sustentável do Umbu 5. Manual tecnológico de aproveitamento integral do fruto e da folha do Babaçu 6. Boas práticas de Manejo para o Extrativismo Sustentável do Licuri 7. Cartilha - Projeto Bem Diverso 8. Balão de histórias - Entre as caatingas e as águas: educomunicação no Sertão São Francisco 9. Euterpe precatoria Mart.: Boas Práticas de Produção 10. na Coleta e Pós-Coleta de Açaí-Solteiro 11. Doce de Umbu 12. Procedimentos para avaliar a predação, dormência, germinação e conservação de sementes de Tachigali subvelutina (Benth.) Oliveira-Filho. 13. Experiências de Recaatingamento no Semiárido Brasileiro

	<ol style="list-style-type: none"> 14. Cartilha do Facilitador - Manejaí: Centro de Rederência em Manejo de Açaizais Nativos do Marajó 15. Análise Sensorial e Intenção de Compra de Açaí (<i>Euterpe oleracea</i>) Processado após Choque Térmico dos Frutos 16. Perfil das Agroindústrias Familiares de Frutas do Acre 17. Agroforestry transitions: The good, the bad and the ugly 18. Potencial de genótipos de umbuzeiro para o desenvolvimento de doce em massa 19. Modelagem do nicho ecológico do umbu (<i>Spondias tuberosa</i> Arruda) na região da caatinga 20. Predicting the distribution of <i>Syagrus coronata</i> palm: Challenges for the conservation of an important resource in northeastern Brazil 21. Comercialização e variação do preço do açaí produzido nas ilhas do Pará e Araramã 22. Custo de manutenção do manejo de açaizal nativo praticado pelos extrativistas da comunidade do rio Jupatituba, breves, marajó, estado do Pará 23. Políticas públicas e programas ambientais brasileiros como apoio à promoção de ações sustentáveis no uso de recursos naturais 24. Política de garantia de preços mínimos para produtos da Sociobiodiversidade (pgpmbio): entre a visão oficial e o olhar das quebradeiras de Coco babaçu, nas microrregiões da baixada e Médio Mearim/Maranhão 25. Definição participativa de indicadores para monitoramento da sustentabilidade em sistemas de manejo de castanhais: estudo de caso na Reserva Extrativista Chico Mendes, Acre 26. Iniciativas econômicas solidárias e redes de colaboração na Amazônia Marajoara 27. Modos de lutar, resistir e existir na comunidade de água Boa ii: uma experiência de licenciandos em educação do campo em tempo-comunidade 28. Fatores que influenciam agricultores familiares na alocação de terras para cultivos e pastagens no vale do Mearim, Maranhão. 29. Maturação do coco de licuri versus predação por <i>Pachymerus</i> sp. 30. Cartografia social na gestão territorial da comunidade tradicional fundo de pasto Cachoeirinha, Juazeiro-BA. 31. Mapeamento Participativo das Áreas Fundo de Pasto da Comunidade Ouricuri, Uauá, Bahia. 32. Mapeamento agroecológico do fundo de pasto da Comunidade de Cachoeirinha, Juazeiro, BA 33. Relógio da rotina diária das mulheres em comunidades fundo de pasto do Sertão Baiano: importância do trabalho das mulheres para a renda familiar. 34. Política de garantia de preços mínimos para produtos da Sociobiodiversidade (PGPMBio): entre a visão oficial e o olhar das quebradeiras de Coco babaçu, nas microrregiões da Baixada e Médio Mearim/Maranhão 35. Modelos de distribuição potencial e ecologia populacional de <i>Syagrus coronata</i> (Martius) Beccari - Arecaceae (licuri): recomendações para a conservação e o manejo de um importante PFNM para as regiões semiáridas do Nordeste do Brasil 36. A comunicação popular como ferramenta para trabalhar a sociobiodiversidade com a juventude na Reserva de Desenvolvimento Sustentável Nascentes Geraizeiras 37. protagonismo feminino na exploração de óleo de Pracaxi da Comunidade do Limão do Curuá, Arquipélago do Bailique, Amapá, Amazônia, Brasil
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	<p>38. Descrição do processo de extração do óleo de pracaxi da comunidade do Limão do Curuá,</p> <p>39. Quarta baliza do agroextrativismo no estuário do rio Amazonas: da luta pela terra à consolidação da economia do açaí</p> <p>40. A construção social do mercado de açaí para fortalecer a gestão territorial na ilha do capim, no município de abaetetuba no estado do Pará</p> <p>41. Marias crioulas: emancipação e alianças entre mulheres no enfrentamento à violência doméstica em comunidades tradicionais</p> <p>42. Entomofagia e segurança alimentar com <i>Pachymerus nucleorum</i> (gongo) em áreas de ocorrência de babaçu</p> <p>43. Consumo, comercialização e variação de preço de açaí na região estuarina do Rio Amazonas</p> <p>44. A doença de Chagas e o açaí: considerações</p> <p>45. sobre a situação no Amapá</p> <p>46. Qualidade do óleo de pracaxi da Comunidade do Limão do Curuá, Arquipélago do Bailique, Macapá</p> <p>47. Qualidade de mudas de açaí tratadas com diferentes fontes nitrogenadas e condições de luminosidade</p> <p>48. Gestão em cooperativas rurais e a compatibilidade Entre objetivos sociais e econômicos das Cooperativas associadas à central da caatinga</p> <p>49. Dinâmica da estrutura e diversidade de açazais no estuário amazônico</p> <p>50. Carrapicho: experiências de educação com adolescentes e jovens do vale do salitre</p> <p>51. Inovação territorial em contextos produtivos: a experiência da comunidade de morada velha na formação de um território produtivo.</p> <p>52. Impactos do programa bolsa família na agricultura e Extrativismo do babaçu no Médio Mearim-MA</p> <p>53. Uso de técnicas laboratoriais na avaliação da produção de ruminantes em ambientes semiáridos / produção animal</p> <p>54. Dicomer, diberber ou coisa de velho? agrobiodiversidade e a cultura alimentar Geraizeira na comunidade do Pau D'arco</p> <p>55. Relação da produção média de açazeiro com espécies leguminosas fixadoras de nitrogênio</p> <p>56. Acidez do óleo de pracaxi extraído artesanalmente</p> <p>57. Diagnóstico socioeconômico, ambiental e das políticas públicas do assentamento agroextrativista Ilha do Meio, PA</p> <p>58. Intercâmbio entre extrativistas e cooperativa de produtores de óleo de andiroba em Salvaterra, PA</p> <p>59. Biometria de sementes de <i>Bertholletia excelsa</i> Bonpl. em duas agroindústrias localizadas no Estado do Amazonas</p> <p>60. Análise da influência do El Niño Oscilação-Sul (ENOS) na produção de castanha-da-Amazônia (<i>Bertholletia excelsa</i> Bonpl.) em uma comunidade agroextrativista no município de Tefé - AM</p> <p>61. Uso de insumos químicos e naturais por agricultores familiares no Médio Mearim, Maranhão</p> <p>62. Análise da relação entre precipitação e produção de Castanha-da-amazônia em uma comunidade Agroextrativista no município de Tefé-AM</p> <p>63. Uso de efluente de fossa como biofertilizante nitrogenado em mudas de açaí (<i>Euterpe oleracea</i> Mart.) E pracaxi (<i>Pentaclethra macroloba</i> (Willd.) Kuntze) sob duas condições de luminosidade</p> <p>64. Sistemas produtivos, disponibilidade de biomassa e atributos energéticos de caroço de açaí e resíduos de serrarias familiares, em várzea estuarina do rio Amazonas</p> <p>65. Oficinas de ambiência e de manejo das “chacras” de café sombreado do Alto Rio Pardo – MG</p>
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	<p>66. Potencial produtivo de plantas de importância socioeconômica da Reserva de Desenvolvimento Sustentável Nascentes Geraizeiras, Minas Gerais, Brasil</p> <p>67. Árvores nativas do cerrado na pastagem: por quê? Como? Quais?</p> <p>68. Sustainable harvest of mangaba (<i>Hancornia speciosa</i>) fruits in Northern Minas Gerais, Brazil.</p>
18	<p>Sample of project communications materials:</p> <ol style="list-style-type: none"> 1. Apresentação do Projeto Bem Diverso 2. Conservação, manejo e restauração de agroecossistemas no semiárido 3. Ações do Projeto Bem Diverso no mapeamento agroecológico, conservação e manejo do Umu 4. Comunicação popular: oficina arte&cultura&educação com a EFA (Sobradinho) 5. Apresentação da EFASE e ações de manejo e desenvolvimentos de tecnologias de processamento do Licuri 6. Processamento de produtos da agrobiodiversidade e agroindustrialização 7. Boas práticas de fabricação em agroindústrias familiares 8. Processamento de frutos distribuídos na Caatinga para potencializar a inovação no Território do Sertão do São Francisco 9. Apresentação da COOPERSABOR 10. Apresentação da Central da Caatinga 11. Apresentação da Central do Cerrado 12. Acesso ao mercado internacional 13. Contextualização do Projeto Bem Diverso 14. Política de acesso ao crédito – Banco da Amazônia 15. Ações do Projeto Bem Diverso no Território Alto Acre e Capixaba 16. Centro de Referência em Manejo de Açaizais Nativos no Marajó – MANEJAI 17. PRONAF Bioeconomia 18. Importância do Crédito para povos e comunidades tradicionais 19. Apresentação do Projeto Bem Diverso 20. Acesso a crédito - CONEXSUS 21. Principais ações de pesquisa da Embrapa Semiárido na cadeia da sociobiodiversidade do Umu 22. Manejo Florestal da Caatinga: alternativas de produção sustentável para conservação da biodiversidade e convivência sustentável com a semiaridez 23. Agroecossistemas familiares sustentáveis no semiárido 24. Ações do Projeto Bem Diverso no Território Médio Mearim 25. Atuação do Projeto Bem Diverso no TC Alto Rio Pardo de Minas, Norte de Minas, MG 26. PRONAF Bioeconomia 27. Apresentação do Projeto Bem Diverso 28. PAA - Programa de Aquisição de Alimentos 29. DAP - Declaração de Aptidão ao PRONAF 30. PGPMBio - Programa de Garantia de Preços Mínimos para os Produtos da Sociobiodiversidade
19	<p>Summary list of formal meetings, workshops, etc. held, with date, location, topic, and number of participants</p>
20	<p>Any relevant socio-economic monitoring data, such as average incomes / employment levels of stakeholders in the target area, change in revenue related to project activities</p>

21	List of contracts and procurement items over ~US\$5,000 (i.e. organizations or companies contracted for project outputs, etc., except in cases of confidential information)
22	List of related projects/initiatives contributing to project objectives approved/started after GEF project approval (i.e. any leveraged or “catalytic” results)
23	Data on relevant project website activity – e.g. number of unique visitors per month, number of page views, etc. over relevant time period, if available
24	UNDP Country Programme Document (CPD)
25	List/map of project sites, highlighting suggested visits
26	List and contact details for project staff, key project stakeholders, including Project Board members, RTA, Project Team members, and other partners to be consulted
27	Project deliverables that provide documentary evidence of achievement towards project outcomes
28	M&E Plan and System

5.5 Annex 4: Evaluation Design Matrix - Questions, Data Sources and Collection

<p>What are the decision-making processes -project governance oversight and accountabilities?</p>	<ul style="list-style-type: none"> - Roles and Responsibilities of stakeholders in project implementation. - Partnership arrangements. 	<ul style="list-style-type: none"> - Project documents - National policies or strategies, websites, project staff, project partners - Data collected throughout the mission 	<ul style="list-style-type: none"> - Desk study - Interview with project staff - Observation - Focus groups
<p>What extent does the project contribute towards the progress and achievement of the Sustainable Development Goals (SDG)?</p>	<p>Project alignment with the SDGs</p>	<ul style="list-style-type: none"> - Project documents 	<ul style="list-style-type: none"> - Desk study
<p>What extent does the Government support (or not support) the Project, understand its responsibility and fulfill its obligations?</p>	<p>Meetings of the Project Board, Technical Team, Consultation Groups</p>	<ul style="list-style-type: none"> - Minutes - Project documents 	<ul style="list-style-type: none"> - Desk study - Interviews with project staff - Interviews with national and local stakeholders
<p>Effectiveness</p>			
<p>Are the project objectives likely to be met? To what extent are they likely to be met?</p>	<p>Level of progress toward project indicator targets relative to expected level at current point of implementation</p>	<ul style="list-style-type: none"> - Project documents - Project staff - Project stakeholders 	<ul style="list-style-type: none"> - Desk review - Interviews with project staff - Interviews with national and local stakeholders
<p>What are the key factors contributing to project success or underachievement?</p>	<p>Level of documentation of and preparation for project risks, assumptions and impact drivers</p>	<ul style="list-style-type: none"> - Project documents - Project staff - Project stakeholders 	<ul style="list-style-type: none"> - Desk review - Interviews with project staff
<p>What are the key risks and barriers that remain to achieve the project objective and generate Global Environmental Benefits?</p>	<p>Presence, assessment of, and preparation for expected risks, assumptions and impact drivers</p>	<ul style="list-style-type: none"> - Project documents - Project staff - Project stakeholders 	<ul style="list-style-type: none"> - Desk review - Interviews with project staff - Interviews with national and local stakeholders
<p>Are the key assumptions and impact drivers relevant to the achievement of Global Environmental Benefits likely to be met?</p>	<p>Actions undertaken to address key assumptions and target impact drivers</p>	<ul style="list-style-type: none"> - Project documents - Project staff - Project stakeholders 	<ul style="list-style-type: none"> - Desk review - Interviews with project staff

<p>What has been (to date) this projects progress towards the expected results and log frame indicators? How do the key stakeholders feel this project has progressed towards the outcome level results (as stated in the original documents- inception report)?</p>	<ul style="list-style-type: none"> - Progress toward impact achievements - Results of Outputs 	<ul style="list-style-type: none"> - Project documents - Project staff - Project stakeholders 	<ul style="list-style-type: none"> - Desk review - Interviews with project staff - Interviews with national and local stakeholders
<p>What has been the progress to date and how has it led to, or could in the future catalyze beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved governance etc...). How cross cutting areas been included in the project are results framework and monitored on an annual basis?</p>	<ul style="list-style-type: none"> - Stakeholder involvement effectiveness - Gender gap - Plans and policies incorporating initiatives - Record of comments and response of stakeholders - Positive or negative effects of the project on local populations. 	<ul style="list-style-type: none"> - Project documents - Project staff - Project stakeholders 	<ul style="list-style-type: none"> - Desk review - Consultation with Project Board Members - PMU - Discussion with beneficiaries
<p>What does the GEF Tracking Tool at the Baseline indicate when compared with the one completed right before the Terminal Review.</p>	<ul style="list-style-type: none"> - GEF Tracking Tools status at the closure of the project. 	<ul style="list-style-type: none"> - Project documents - Project staff - Project stakeholders 	<ul style="list-style-type: none"> - Desk review
<p>What are the remaining barriers to achieving the expected results as told by stakeholders interviewed?</p>	<ul style="list-style-type: none"> - Number of barriers in the project 	<ul style="list-style-type: none"> - Project documents - Project staff - Project stakeholders 	<ul style="list-style-type: none"> - Desk review - Interviews with project staff - Interviews with national and local stakeholders
<p>What aspects of this project s implementation approach (pilots) (enabling activities) has been particularly successful or negative (as told by consults) and how might the project</p>	<ul style="list-style-type: none"> - Number of project achievements - Progress toward impact achievements. 	<ul style="list-style-type: none"> - Project documents - Project staff - Project stakeholders 	<ul style="list-style-type: none"> - Desk review - Interviews with project staff - Interviews with national and local stakeholders

stakeholders further expand or correct these benefits.			
Do the results framework indicators have a SMART focus?	Results framework indicators	M&E reports	- Desk review - Interviews with project staff
Are the mid-term and end-of-project goals achievable?	% of results and results achieved: Progress towards the results framework	- M&E reports - ProDoc	- Desk review
Efficiency			
Is the project cost-effective?	- Quality and adequacy of financial management procedures (in line with UNDP, UNOPS, and national policies, legislation, and procedures) - Financial delivery rate vs. expected rate - Management costs as a percentage of total costs	- Project documents - Project staff	- Desk review
Are expenditures in line with international standards and norms?	Cost of project inputs and outputs relative to norms and standards for donor projects in the country or region	- Project documents - Project staff	- Desk review - Interviews with project staff
Is the project implementation approach efficient for delivering the planned project results?	- Adequacy of implementation structure and mechanisms for coordination and communication - Planned and actual level of human resources available - Extent and quality of engagement with relevant partners / partnerships - Quality and adequacy of project monitoring mechanisms (oversight bodies' input, quality and timeliness of reporting, etc.)	- Project documents - National and local stakeholders - Project staff	- Desk review - Interviews with project staff - Interviews with national and local stakeholders
Is the project implementation delayed? If so, has that affected cost-effectiveness?	- Project milestones in time - Planned results affected by delays	- Project documents - Project staff	- Desk review - Interviews with project staff

	- Required project adaptive management measures related to delays		
What is the contribution of cash and in-kind co-financing to project implementation?	Level of cash and in-kind co-financing relative to expected level	- Project documents - Project staff	- Desk review - Interviews with project staff
To what extent is the project leveraging additional resources?	Amount of resources leveraged relative to project budget	- Project documents - Project staff	- Desk review - Interviews with project staff
What is project related progress in the following 'implementation' categories?	- Number of project achievements	- Project documents - Project staff	- Desk review - Interviews with project staff
Management Arrangements and Implementation Approach (including any evidence of Adaptive management and project coordination and km with pilots)	- Project management and coordination effectiveness - Number of project achievements in pilots	- Project documents - Project staff	- Desk review - Interviews with project staff
How has the finances been managed, delivered and spent per outputs per year. What percentage is delivered to date? Is it low?	- Percentage of expenditures in proportion with the results - Financial Systems and effectiveness transparency	- Project documents - Project staff	- Desk review
Results			
Have the planned outputs been produced? Have they contributed to the project outcomes and objectives?	- Level of project implementation progress relative to expected level at current stage of implementation - Existence of logical linkages between project outputs and outcomes/impacts	- Project documents - Project staff - Project stakeholders	- Desk review - Interviews with project staff
Are the anticipated outcomes likely to be achieved? Are the outcomes likely to contribute to the achievement of the project objective?	Existence of logical linkages between project outcomes and impacts	- Project documents - Project staff - Project stakeholders	- Desk review - Interviews with project staff
Are impact level results likely to be achieved? Are the likely to be	- Environmental indicators	- Project documents - Project staff	- Desk review - Interviews with project staff

at the scale sufficient to be considered Global Environmental Benefits?	- Level of progress through the project's Theory of Change	- Project stakeholders	- Interviews with national and local stakeholders
Sustainability			
To what extent are project results likely to be dependent on continued financial support? What is the likelihood that any required financial resources will be available to sustain the project results once the GEF assistance ends?	- Financial requirements for maintenance of project benefits - Level of expected financial resources available to support maintenance of project benefits - Potential for additional financial resources to support maintenance of project benefits	- Project documents - Project staff - Project stakeholders	- Desk review - Interviews with project staff - Interviews with national and local stakeholders
Do relevant stakeholders have or are likely to achieve an adequate level of "ownership" of results, to have the interest in ensuring that project benefits are maintained?	Level of initiative and engagement of relevant stakeholders in project activities and results	- Project documents - Project staff - Project stakeholders	- Desk review - Interviews with project staff - Interviews with national and local stakeholders
Do relevant stakeholders have the necessary technical capacity to ensure that project benefits are maintained?	Level of technical capacity of relevant stakeholders relative to level required to sustain project benefits	- Project documents - Project staff - Project stakeholders	- Desk review - Interviews with project staff - Interviews with national and local stakeholders
To what extent are the project results dependent on socio-political factors?	Existence of socio-political risks to project benefits	- Project documents - Project staff - Project stakeholders	- Desk review
To what extent are the project results dependent on issues relating to institutional frameworks and governance?	Existence of institutional and governance risks to project benefits	- Project documents - Project staff - Project stakeholders	- Desk review - Interviews with project staff - Interviews with national and local stakeholders
Are there any environmental risks that can undermine the future flow of project impacts and Global Environmental Benefits?	Existence of environmental risks to project benefits	- Project documents	- Desk review
What are the financial risks to sustainability?	Financial risks;	- Project documents	- Desk review - Interviews with project staff - Interviews with national and local stakeholders

What are the Socio-economic risks to sustainability?	Socio-economic risks and environmental threats.	- Project documents	- Desk review - Interviews with project staff - Interviews with national and local stakeholders
Institutional framework and governance risks to sustainability?	- Institutional and individual capacities	- Project documents	- Desk review - Interviews with project staff - Interviews with national and local stakeholders
Gender equality and women's empowerment			
How did the project contribute to gender equality and women's empowerment?	Level of progress of gender action plan and gender indicators in results framework	- Project documents - Project staff - Project stakeholders	- Desk review
In what ways did the project's gender results advance or contribute to the project's biodiversity outcomes?	Existence of logical linkages between gender results and project outcomes and impacts	- Project documents - Project staff - Project stakeholders	- Desk review
Were women's groups, NGOs, civil society orgs and women's ministries adequately consulted and involved in project design? If not, should they have been?	Existence of logical linkages between gender results and project outcomes and impacts	- Project documents - Project staff - Project stakeholders	- Desk review - Interviews with project staff - Interviews with national and local stakeholders
Were stakeholder engagement exercises gender responsive?	Existence of logical linkages between gender results and project outcomes and impacts	- Project documents - Project staff - Project stakeholders	- Desk review
For any stakeholder workshops, were women-only sessions held, if appropriate, and/or were other considerations made to ensure women's meaningful participation?	Existence of logical linkages between gender results and project outcomes and impacts	- Project documents - Project staff - Project stakeholders	- Desk review
Cross-cutting and UNDP Mainstreaming Issues			
How were effects on local populations considered in project design and implementation?	Positive or negative effects of the project on local populations.	- Project documents - Project staff - Project stakeholders	- Desk review - Interviews with project staff - Interviews with national and local stakeholders

Extent to which the allocation of resources to targeted groups takes into account the need to prioritize those most marginalized.	Positive or negative effects of the project on local populations.	- Project documents - Project staff - Project stakeholders	- Desk review
Positive or negative effects of the project on local populations (e.g. income generation/job creation, improved natural resource management arrangements with local groups, improvement in policy frameworks for resource allocation and distribution, regeneration of natural resources for long term sustainability).	Positive or negative effects of the project on local populations.	- Project documents - Project staff - Project stakeholders	- Desk review - Interviews with project staff - Interviews with national and local stakeholders
Extent to which the project objectives conform to agreed priorities in the UNDP Country Programme Document (CPD) and other country programme documents.	Links between the project and the priorities of the UNDP Country Program.	- Project documents - Project staff - Project stakeholders	- Desk review
Whether project outcomes have contributed to better preparations to cope with disasters or mitigate risk	Risk mitigation	- Project documents - Project staff - Project stakeholders	- Desk review
Extent to which poor, indigenous, persons with disabilities, women and other disadvantaged or marginalized groups benefited from the project	Positive or negative effects of the project on local populations.	- Project documents - Project staff - Project stakeholders	- Desk review
The poverty-environment nexus: how the environmental conservation activities of the project contributed to poverty reduction	Positive or negative effects of the project on local populations.	- Project documents - Project staff - Project stakeholders	- Desk review

5.6 Annex 5: Questions to PMU and project board members and other stakeholders

Relevance

1. Does the project's objective align with the priorities of the local government and local communities?
2. Does the project's objective fit within the national environment and development priorities?
3. Did the project concept originate from local or national stakeholders, and/or were relevant stakeholders sufficiently involved in project development?
4. How relevant and effective has this project's strategy and architecture been? Is it relevant? Has it been effective? Does it need to change?
5. What are the decision-making processes -project governance oversight and accountabilities?

Effectiveness

6. Are the project objectives likely to be met? To what extent are they likely to be met?
7. What are the key factors contributing to project success or underachievement?
8. What are the key risks and barriers that remain to achieve the project objective and generate Global Environmental Benefits?
9. Are the key assumptions and impact drivers relevant to the achievement of Global Environmental Benefits likely to be met?
10. How do the key stakeholders feel this project has progressed towards the outcome level results (as stated in the original documents- inception report)?
11. How cross cutting areas been included in the project are results framework and monitored on an annual basis?
12. What are the remaining barriers to achieving the expected results as told by stakeholders interviewed?

Efficiency

13. Are expenditures in line with international standards and norms?
14. Is the project implementation approach efficient for delivering the planned project results?
15. Is the project implementation delayed? If so, has that affected cost-effectiveness?

16. What is the contribution of cash and in-kind co-financing to project implementation?
17. To what extent is the project leveraging additional resources?
18. What is project related progress in the following 'implementation' categories?

Results

19. Have the planned outputs been produced? Have they contributed to the project outcomes and objectives?
20. Are the anticipated outcomes likely to be achieved? Are the outcomes likely to contribute to the achievement of the project objective?
21. Are impact level results likely to be achieved? Are they likely to be at the scale sufficient to be considered Global Environmental Benefits?

Sustainability

22. To what extent are project results likely to be dependent on continued financial support? What is the likelihood that any required financial resources will be available to sustain the project results once the GEF assistance ends?
23. Do relevant stakeholders have or are likely to achieve an adequate level of "ownership" of results, to have the interest in ensuring that project benefits are maintained?
24. Do relevant stakeholders have the necessary technical capacity to ensure that project benefits are maintained?
25. To what extent are the project results dependent on socio-political factors or on issues relating to institutional frameworks and governance or environmental?

Gender equality and women's empowerment

26. How did the project contribute to gender equality and women's empowerment?
27. In what ways did the project's gender results advance or contribute to the project's biodiversity outcomes?

Cross-cutting and UNDP Mainstreaming Issues

28. How were effects on local populations considered in project design and implementation?

5.7 Annex 6: Rating Scales

Rating scale used:

Ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E Execution	Sustainability ratings	Relevance ratings	Impact Ratings
<p>6: Highly Satisfactory (HS): no shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency</p> <p>5: Satisfactory (S): minor shortcomings</p> <p>4: Moderately Satisfactory (MS): there were moderate shortcomings</p> <p>3. Moderately Unsatisfactory (MU): the project had significant shortcomings</p> <p>2. Unsatisfactory (U): there were major shortcomings in the achievement of project objectives in terms of relevance, effectiveness, or efficiency</p> <p>1. Highly Unsatisfactory (HU): The project had severe shortcomings</p>	<p>4: Likely (L): negligible risks to sustainability</p> <p>3: Moderately Likely (ML): moderate risks</p> <p>2: Moderately Unlikely (MU): significant risks</p> <p>1: Unlikely (U): severe risks</p>	<p>2: Relevant (R)</p> <p>1: Not relevant (NR)</p>	<p>3: Significant (S)</p> <p>2: Minimal (M)</p> <p>1: Negligible (N)</p>
<p>Additional ratings where relevant:</p> <p>Not Applicable (N/A)</p> <p>Unable to Assess (U/A)</p>			

5.8 Annex 7: Evaluation consultant code of conduct agreement form

Evaluators:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Evaluation Consultant Agreement Form

Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: José Fernando Galindo Zapata

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

Signed at Quito Ecuador on 23/09/2021

