

GEF Project ID 5755

UNDP - PIMS ID 4743

 View of the city of Riberalta, site of the Project execution (web photo)

**TERMINAL EVALUATION OF THE GEF AMAZONIA PROJECT:**

**Sustainable management of Amazon forest ecosystems by local communities to generate  
multiple environmental and social benefits.**

**Consultant**

**Eduardo Durand**

**May 2024**

**Acknowledgments**

*The present evaluation work has been possible thanks to the technical and logistical support received from officials of the UNDP Offices in La Paz and Panama, and from government officials and technicians from entities associated with the Project; and especially, from the Coordinator of the Project Implementation Unit and the team of technicians that formed it, who supported this task until after the closure of the Project.*

*The consultant would like to thank all the people who were interviewed, from the state and non-state sector, international and local actors, as well as the representatives and members of the communities, whose list is included in this report - who kindly gave their time and dedication to provide valuable ideas and answers for the purposes of the mission.*

*In particular, it is worth mentioning the valuable support provided by UNDP through its officials, Ms. Ana María Núñez, Ms. Rocío Chai and Ms. Virginia Tapia; and especially by Mr. Nicolayeb Brun, for his willingness to accompany the process and facilitate access to contacts and documentation of the Project, and by Guido Mosquera, ad-hoc consultant, for the exchange of criteria and discussion of evaluation approaches.*

*The consultant expresses his satisfaction for having had the opportunity to participate in the final evaluation of an initiative of such interest and relevance for the Plurinational State of Bolivia, the indigenous nations, and the Amazon in general, for the enrichment of knowledge and the collection of experiences in the conservation of biological diversity and valuable key ecosystems for the sustainable development of the region and the tropical world.*

*We all hope for the best results and achievements of the Project and its sustainability for the benefit of the country and the Region.*

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- Audit Trail

- SESP

- Tracking Tools

1. Acronyms and abbreviations[[1]](#footnote-1)

|  |  |  |
| --- | --- | --- |
| Abbreviation / Acronym | Translation into English | *Original in Spanish* |
| *ABT* | Land and Forestry Authority | *Autoridad de Bosques y Tierras* |
| *ACEBA* | Association of Extractives’ Communities of the Amazon Forest | *Asociación de Comunidades Extractivistas del Bosque Amazónico* |
| *APMT* | Plurinational Authority of Mother Earth | *Autoridad Plurinacional de la Madre Tierra* |
| APR | Annual Project Review | *Revisión Anual del Proyecto* |
| BD | Biodiversity | *Biodiversidad* |
| CC | Climate Change | *Cambio Climático* |
| *CDP /* PSB | Project Steering Committee | *Comité Directivo del Proyecto* |
| *CNP* / NPC | National Project Coordinator | *Coordinador Nacional del Proyecto* |
| CFM | Community Forest Management | *Gestión Comunitaria de Bosques* |
| *CIDOB* | Confederation of Indigenous Peoples of Bolivia | *Confederación de Pueblos Indígenas de Bolivia* |
| *CIRABO* | Indigenous Central of the Amazonian Region of Bolivia | *Central Indígena de la Región Amazónica de Bolivia* |
| *CLA* | Lessons Learned Consultancy (ongoing) | *Consultoría de Lecciones Aprendidas (en curso)* |
| CO | Country Office | *Oficina de País* |
| CPAP | Country Program Action Plan | *Plan de Acción del Programa País* |
| *CPE* | Political Constitution of the State | *Constitución Política del Estado* |
| CPTI | Center for Indigenous Territorial Planning and Management | *Centro de Planificación y Gestión Territorial Indígena* |
| DANIDA | Danish International Development Agency | *Agencia Danesa de Desarrollo Internacional* |
| *DNP* / NPD | National Project Director | *Director Nacional del Proyecto* |
| *EBA* | Bolivian Almond Company | *Empresa Boliviana de Almendras* |
| *FONABOSQUE* | National Forestry Development Fund | *Fondo Nacional de Desarrollo Forestal* |
| *FUNDESNAP* | Foundation for the Development of the National Protected Areas System | *Fundación para el Desarrollo del Sistema Nacional de Áreas Protegidas* |
| *GAD / GAM* | Autonomous Departmental Governments / Autonomous Municipal Governments | *Gobiernos Autónomos Departamentales / Gobiernos Autónomos Municipales* |
| GEB | Global Environmental Benefits | *Beneficios Ambientales Mundiales* |
| GEF | Global Environment Facility - GEF | *Fondo para el Medio Ambiente Mundial - FMAM* |
| GEF TF | GEF Trust Fund | *Fondo Fiduciario del FMAM* |
| *GISB* | Integrated and Sustainable Management of Forests | *Gestión Integral y Sustentable de los Bosques* |
| IDEPRO | Institute for the Development of Small Productive Units | *Instituto para el Desarrollo de la Pequeña Unidad Productiva* |
| *INRA* | National Institute for Agrarian Reform | *Instituto Nacional para la Reforma Agraria* |
| IP | Implementing Partner | *Socio Implementador* |
| *ITSA* | *High Technological Institute of the Amazon* | *Instituto Superior Tecnológico de la Amazonía* |
| *MMAyA* | Ministry of Environment and Water | *Ministerio del Medio Ambiente y Agua* |
| MTR */ RMT* | Mid-Term Review | *Revisión de Medio Término* |
| NIM | National Implementation Modality | *Modalidad de Implementación Nacional* |
| NRM | Natural Resources Management | *Gestión de Recursos Naturales* |
| NTFP | Non Timber Forest Product | *Producto Forestal No Maderable* |
| *OECA* | Peasant Economic Organization | *Organización Económica Campesina* |
| *OT* | Land management | *Ordenamiento territorial* |
| PA / *AP* | Protected Area | *Área Protegida* |
| *PGIBT* | Plan for the Integrated Management of Forests and Lands | *Plan para la Gestión Integral de Bosques y Tierras* |
| *PGIC* | Integrated Community Management Plans | *Planes para la Gestión Integrada de Comunidades* |
| *PGMIB* | General Plans for Integrated Forest Management | *Planes Generales para el Manejo Integrado del Bosque* |
| *PGTC* | Community Territorial Management Plan | *Plan de Gestión Territorial Comunitaria* |
| *PGTI* | Indigenous Territorial Management Plan | *Plan de Gestión Territorial Indígena* |
| *PIB* / GDP | Integrated Forest Plans | *Planes Integrales de Bosques* |
| PIF | Project Identification Form | *Formulario de identificación de proyecto* |
| PIU | Project Implementation Unit | *Unidad de Implementación del Proyecto* |
| *PNUD* / UNDP | United Nations Development Programme | *Programa de las Naciones Unidas para el Desarrollo* |
| PIR | Project Implementation Report | *Reporte de Implementación del Proyecto* |
| *POA* | Annual Operating Plan (of the Project) | *Plan Operativo Anual (del Proyecto)* |
| REDD+ | Mechanism for reduce deforestation and degradation of tropical lands | *Mecanismo para la reducción de la deforestación y la degradación de bosques tropicales* |
| SIG */ GIS* | Geographic Information System | *Sistema de Información Geográfica* |
| ToR /*TdR* | Terms of Reference | *Términos de Referencia* |
| TE / *ET* | Terminal Evaluation | *Evaluación Terminal* |
| *TIOC* | Native Indigenous Peasant Territory | *Territorio Indígena Originario Campesino* |
| *VMA* | Vice-Ministry of Environment | *Viceministerio de Medio Ambiente* |
| UNFCCC /  *CMNUCC* | United Nations Framework Convention on Climate Change | *Convención Marco de las Naciones Unidas para el Cambio Climático* |

1. Executive Summary
   1. Project information table

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Project Name** | **Sustainable management of Amazon forest ecosystems by indigenous and local communities to generate multiple environmental and social benefits  ( GEF Amazon Project )** | | | |
| **Project Details** | | **Project Milestones** | | |
| UNDP Project ID (PIMS#) | 4743 | Date of FIP approval: | | 27/05/2014 |
| GEF ID for the project (PMIS#) | 5755 | Date of CEO approval: | | 12/01/2016 |
| ATLAS Business Unit, File No. - Project ID (Award # Proj. ID) |  | Date of signature of Project Document (ProDoc) (Project start date) | | 08/01/2018 |
| Country | Plurinational State of Bolivia | Project Coordinator Hiring Dates | | n.a |
| Region: | LAC | Date of the initiation workshop | | 02/04/2018 |
| Area of action | Biodiversity | Date of conclusion of the Mid-Term Review | | 15/04/2021 |
| GEF Focal Area Strategic Objective: | BD1, LD3, SFM | Planned completion date | | 08/01/2023 |
| Trust Fund | GEF Trust Fund | In case of revision, new completion date | | 08/01/2024 |
| Implementing Agency | UNDP CO Bolivia | | | |
| Executing Entity | Plurinational Authority of Mother Earth (APMT) - MMAyA  Government of the Plurinational State of Bolivia | | | |
| **Project Financing** | **As of CEO approval date (USD)** | | **As of the date of the ET:**  **(USD) \*** | |
| 1. GEF | 6,208,848 | | 6,202,931 | |
| Government and other entities | 30,008,000 | | 8,038,029 | |
| 3. UNDP | 387,746 | | 387,746 | |
| 4. Total cofinanced (2+3): | 30,395,746 | | 8,425,775 | |
| **TOTAL PROJECT COST (1+4)** | **36,604,594** | | **14,628,706** | |

\* According to ProDoc, PIR 2022-23, and PIU records; reconciliation and own elaboration to be confirmed. The final co-financing figure of the government and other entities is obtained by the total executed amount of the Project plus the total co-financed and minus the UNDP contribution.

* 1. Project Description

The Project "Sustainable management of Amazon forest ecosystems by indigenous and local communities to generate multiple environmental and social benefits" - hereinafter 'GEF Amazon Project' or 'the Project' - aims to generate multiple environmental benefits by optimizing the roles of indigenous communities in safeguarding their forests against current and emerging threats in the legally recognized Native Indigenous Peasant Territories (TIOC) located within the Amazon region in northern Bolivia.

TIOCs have historically been conserved and sustainably managed by indigenous peoples, and therefore constitute a form of "indigenous and community conserved area". They are not formally recognized as a protected area (PA) son they are not included in the respective National System. The Project focuses primarily on maximizing the sustainability of non-timber forest product collection (especially Brazil nut) and subsistence forest use by indigenous stakeholders, given the effectiveness of these forms of use in motivating communities to continue safeguarding their forests.

The sustainability of the TIOCs has been threatened by factors such as loss of tree species on which Brazil nut pollinators depend when the Brazil nut trees are not in flower, and declining populations of mammal species that disperse the seeds, due to unsustainable hunting (in some cases by the harvesting villagers themselves). The approach is complemented by the promotion of sustainable agroforestry and silvo-pastoral systems in the non-forest areas in and around the TIOCs.

The Project is defined in the TE ToR as an initiative aimed at generating *"multiple environmental benefits by optimizing the role of indigenous communities in protecting their forests against current and emerging threats, whose sustainability is threatened by factors including the loss of other tree species on which Brazil nut pollinators depend, and the decline in populations of mammal species that disperse Brazil nut seeds, due to unsustainable hunting, in some cases, by nut collectors themselves."*

To generate these benefits, the Project's focus is on "*maximizing the sustainability of the use and harvesting of non-timber forest products (especially Brazil nuts), broadening and diversifying the benefit base from the forest, given their effectiveness in enabling communities to continue conserving their forests.*

The area selected for the intervention (see **Figure 1**) is the northern Amazon region of the country, specifically four *'Territorios Originario Campesinos Indígenas'* (TIOC): Chácobo-Pacahuara, Cavineño, Tacanas-Cavineño and TIM II (*Territorio Indígena Mixto*). These TIOC cover about 1.6 million hectares and were prioritized because of their legal land tenure status. These TIOC are contiguous and interact collectively from a landscape perspective, as they have similar biophysical and productive conditions; and constitute a homogeneous set in terms of problems to solve and threats to combat.

Project financing, according to the ProDoc, was formulated based on a GEF-5 grant (full-size) of USD 6,208,848 (17%), a forecast of co-financing by various institutions, amounting to USD 30,008,000 (82%), and a contribution from UNDP in the amount of USD 387,746 (1%), for a total of USD 36,604,594.



The ProDoc refers to the national regulatory framework in the following terms:

*"...The ‘Framework Law of Mother Earth and Integral Development for Living Well’ aims at establishing the vision and bases for integral development, in harmony and balance with Mother Earth for Living Well, guaranteeing the continuity of the regenerative capacity of its components and life systems. Within this legal framework, the Plurinational Authority of Mother Earth (APMT) was created, which operates with three mechanisms: Mitigation Mechanism for Living Well (MM), Adaptation Mechanism for Living Well (MA), and Joint Mitigation and Adaptation Mechanism for the integral and sustainable management of forests (MC) that seeks the sustainable use of forests, conservation, protection and restoration of life systems, biodiversity and environmental functions within the framework of the Integrated and Sustainable Management of Forests (GISB) policy, facilitating more optimal land use through the development of sustainable production systems, including agriculture and forestry, to address the causes and reduce deforestation and forest degradation, in a context of mitigation and adaptation to climate change*.

The Project officially started on 08/01/2018, with the signing of the ProDoc, and was to have culminated its five-year operational cycle of implementation on 08/01/2023. Several initial delays, including the sanitary constraints of the Covid-19 pandemic, and the need to revise the original log frame upon recommendation of the RMT held in April 2021, determined the decision to extend by one year, until 08/01/2024, the Project closure. On the other hand, as mentioned in **section 2.1**, an extensive TE process was initiated at the end of 2022 - finally inconclusive and suspended in October 2023 - which led to the completion, with the urgency of the case, of the present substitute and integrative TE within the framework of the GEF-UNDP standards and guidelines.

The Project is executed under the 'national implementation modality' (NIM, assisted by UNDP), by the Government of the Plurinational Republic of Bolivia, through the 'Plurinational Authority of Mother Earth' (APMT), the autonomous entity attached to the Ministry of Environment and Water (MMAyA), with the assistance of UNDP-CO as the GEF implementing agency. Other governmental partners are the Vice-Ministry of Environment, Biodiversity, Climate Change, and Forestry Management and Development (VMA), and its attached institutions *Fondo Nacional de Desarrollo Forestal (FONABOSQUE)*, and the *Autoridad de Fiscalización y Control Social de Bosques y Tierras (ABT).*

The main stakeholders and beneficiaries of the Project are the local indigenous communities of the four prioritized territories (TIOCs), which are officially represented as partners, and are part of the Project's Board of Directors, through the representative of the Indigenous Central of the Amazon Region of Bolivia (CIRABO).

Direct execution of the Project is the responsibility of the Implementation Unit (PIU), headed by a Project Coordinator, based in the city of Riberalta, who reports to the National Project Directorate appointed by the APMT, which chairs the Project Steering Committee, also comprised of CIRABO and UNDP-CO. The Project's organizational structure is presented in **section 3.3** below (**Figure 2)**.

The main objective, as defined in the ProDoc, is described and referred to the following results and indicators (modified according to the 2021 MTR):

***Objective***: *Amazon forest ecosystems are managed by indigenous and local communities (TIOC) to generate multiple environmental and local benefits that contribute to motivate the continued participation of local communities in their protection*.

*Objective Indicators:*

*O1*. *Number of families (women and men per TIOC) that have increased their income levels, due to their participation in sustainable management of forests and livelihoods, without affecting the diversity and sustainability of their livelihoods.*

*O2 Non-forest areas of Indigenous Territories (TIOC) and areas adjacent to these territories (pampas and savannas), subject to sustainable management practices.*

*O3 Areas and rural communities within the jurisdiction of the eight municipal governments that participate in the project's knowledge transfer processes, thereby improving the performance of their sustainable forest management practices.*

*O4 Status of focal species for conservation, regeneration and monitoring of Brazil nut forests.*

***Outcome 1:*** *Enabling conditions improved at the regional [Autonomous Departmental (GAD) and Municipal Autonomous Governments (GAM)] and national (government entities) levels for the sustainable management of forest and Life Systems in Indigenous Original Indigenous Peasant Territories (TIOC).**.*

*Indicators;*

*1.1 New or improved institutional mechanisms (number of regional, indigenous and community instruments) to strengthen the integrated and sustainable management of forest and Livelihood Systems in the four (4) designated TIOCs, which adopt adaptive, rights-based and gender lens management approaches.*

*1.2 Actors (number of women and men, institutions and organizations, by TIOC) that actively participate in decision making in the regional consultative platform, in relation to issues of interest in forest and life systems management.*

*1.3 Number of institutions (governmental, community, academic and private) actively participating in the monitoring of Integrated Sustainable Forest Management (ISFM) indicators promoted by the APMT in the project intervention area.*

*1.4 Actors (number of women and men, by TIOC) participating in training and coaching processes in the design and implementation of Indigenous Territorial Management Plans and management of financing from the central, departmental and municipal levels.*

***Outcome 2****: Integrated management of natural resources in TIOC, with a gender and human rights approach.*

*Indicators:*

*2.1 Forest areas of the Indigenous Territories (TIOC) under sustainable management.*

*2.2 Area in hectares of forests and livelihood systems under governmental Community Collaborative Monitoring and Control.*

*2.3 Area in hectares under Integral Monitoring (environmental, social and productive and interactions) of the health of forest ecosystems and Life Systems in the four (4) designated TIOC.*

*2.4 Degree of implementation of Use and Commercialization Plans for agroforestry products (timber and non-timber) and other products that come from the forests and Life Systems of the designated TIOCs.*

*2.5. Actors (number of families, women and men, per TIOC) with access to sources of financing for the development and implementation of productive agroforestry businesses (timber and non-timber) that come from the forests and Life Systems of the designated TIOCs.*

*2.6 Agroforestry products (timber and non-timber) and others that come from forests and livelihood systems, with added value and better marketing conditions.*

*2.7. Governmental and community actors that participate in the exchange of experiences, knowledge and ancestral knowledge on forest management and associated Life Systems, dialogue and coordinate actions for sustainable forest management.*

* 1. Summary table of project evaluations and achievements

**Table 1** summarizes the ratings and achievements attained by the Project at the time of its Terminal Evaluation (TE), using the standard rating for GEF-UNDP projects. The full description of the scope of each type of rating is detailed in **Annex A**, and in the body of the report in **section 4.**

Table 1. Summary of the Project's assessments and achievements

|  |  |
| --- | --- |
| **1. Monitoring and Evaluation (M&E)** | **Rating** |
| M&E design at entry | **Satisfactory** |
| M&E implementation plan | **Moderately Satisfactory** |
| Overall quality of M&E | **Moderately Satisfactory** |
| **2. Implementing Agency (IA) Implementation and Executing Agency (EA) Execution** | **Rating** |
| Quality of Implementation / UNDP Monitoring | **Satisfactory** |
| Quality of the Implementing Partner's Execution | **Moderately Satisfactory** |
| Overall Quality of Implementation / Execution | **Moderately Satisfactory** |
| **3. Evaluation of Results** | **Rating** |
| Relevance | **Highly Satisfactory** |
| Effectiveness | **Moderately Satisfactory** |
| Efficiency | **Satisfactory** |
| Overall Project Qualification | **Moderately Satisfactory** |
| **4. Sustainability** | **Rating** |
| Financial sustainability | **Moderately Likely** |
| Socio-political sustainability | **Moderately Likely** |
| Institutional framework and government sustainability | **Likely** |
| Environmental sustainability | **Likely** |
| Overall Probability of Sustainability | **Moderately Likely** |
| **Overall weighted evaluation of the TE** | **Moderately Satisfactory** |

1.4 Summary of conclusions

*Project design and formulation*

* The Project has had a long preparation period until the endorsement of the ProDoc and the respective signature. This process has been parallel to the approval of policies and legal provisions related to the Bolivian Amazon and the indigenous populations of the region.
* The Project design is oriented to solve a complex problem in an innovative way. The conceptual framework is pertinent in considering and prioritizing actions compatible with the recovery and improvement of Amazonian ecosystems, within the framework of an appropriate sustainable development, and a change of traditional paradigms in the communities and indigenous organizations.
* The formulated Project has addressed a technical and cultural challenge for a smooth and harmonious management by the innovation in the roles of indigenous organizations and communities, and by the introduction of productive agroforestry systems to improve indigenous subsistence and traditional activities of harvesting, fishing and subsistence crops. The key approaches and objectives and impacts are aligned with the State's socio-environmental and economic policy for the Amazon regions and indigenous peoples.

*Implementation and risk management*

* The time elapsed between the formulation and the agreement to initiate the Project has not been synchronous with the initial assumptions. The implementation faced simultaneous internal and external challenges. In the first case, the lack of knowledge and preparation for the interests and expectations of the territorial organizations (TIOC) and of the communities' own population, which had not participated in the formulation and proposed governance schemes, became evident. The political problems and confrontations in the State and the national government exceeded the risk forecasts, which affected the governance and management of the Project. The health emergency caused by Covid-19 added to the difficulties and delays.
* Both the risks foreseen in the ProDoc and unforeseen events caused delays and difficulties in implementation. Adaptive management was an early need of the Project, which could not be developed in an immediate and sustained manner, for reasons of government policy and the inter-institutional confrontation that was generated. UNDP played an important role in promoting changes and adaptations that pushed the Project forward.
* A limiting condition for the success and impact of the Project is the territorial scale of the intervention with a high spatial friction to attend the universe of communities and territories. This condition implied more time than expected to extend the benefits in a homogeneous manner and under adequate control.
* The urgency to accelerate the execution of the Project and to meet the goals and results in a reduced timeframe justified the need to extend the execution term by one year with the same human and financial resources. There is meritorious compliance and efficiency in the use of resources and achievement of the main outputs, but this concentrated effort had a consequence in the reduction of dedication to systematic monitoring and early elaboration of an exit strategy by the PIU.

*Stakeholder participation and collaboration*

* The 'paradigm shift', in the vision of the new Project coordination, took place from the second semester of 2019 - after a year and a half of scarce progress - by focusing on the productive activities demanded by the indigenous organizations, instead of the initial vision, preponderantly ecological, prioritized in the ProDoc; and by focusing the work in function of the communities and inhabitants of the TIOC that showed a genuine interest and commitment to participate proactively in the Project's proposals.
* In general, stakeholders do not have a clear perception of institutional or inter-institutional participation in the design or implementation of the Project. The sectors linked early on to the Project and the government tend to qualify participation as 'broad', referring mostly to the formulation of the Project or the coverage of beneficiaries. Technical stakeholders, on the other hand emphasize the need for an organic incorporation of other stakeholders (productive sectors, academia, private sector, civil society) for greater interinstitutional and territorial coordination.
* The differences in perception and management capacities of the Project affected the initial governance of the Steering Committee, where different perspectives and interests converged (APMT, CIRABO, UNDP). This situation required a great effort of conciliation to balance positions and support the operation, which was achieved in large part thanks to the articulating role of UNDP in strengthening the PIU, and the empowerment achieved by CIRABO before APMT.
* On the side of the governmental entities, there were political and technical limitations to channel their participation. Therefore, the UNDP-assisted NIM modality was the best form of implementation, since the APMT - an entity of high political relevance - is relatively new at the governmental level, and prioritizes its steering role in national policies. The role of the APMT was more in line with the Project's policy and regulatory enabling activities (Outcome 1), than with the technical and inter-institutional aspects of sustainable resource and forest use (Outcome 2), which require more cross-sectoral guidance and synergy.
* The participation and interest of women in the Project's activities, especially in the Field Schools, is one of the most important achievements. Beyond plans or guiding documents for the gender approach, the direct and intuitive incorporation has been a successful strategic result, which becomes a valuable source of sustainability and validation of the training and 'learning-by-doing' modalities.

*Financing and co-financing*

* Direct GEF funding has been used satisfactorily in terms of meeting targets, transparent management and appropriate adaptive management decisions by UNDP, government and CIRABO stakeholders. The one-year extension in execution, compensating for initial delays and barriers, has been sufficient to meet budget targets, but not enough to provide for a contingency or bridge funds for future financing.
* The co-financing for a total amount of USD 30,008,000 was not reflected in terms of direct contributions to the Project by the entities originally committed, which made it necessary to incorporate other partners. The entities listed in the ProDoc as co-financiers have not intervened in the territory covered by the Project, or have not directly supported the Project's activities. In short, these were counterpart investment amounts that the State presented as contributing to or converging with the Project's objectives and results during its formulation. However, given the time elapsed between project formulation and implementation, there was a time lag in the expected co-financing, and some stakeholders had completed their activities before the start of project implementation..

*Achievement of Results*

* The difficulties and barriers encountered in the implementation of the Project are extremely important lessons for new approaches; and have led to valuable adaptive measures and positive results in several aspects. Favorable and enabling conditions and actions of the Project are: the legalization of indigenous organizations status; the previous and improved local experience in the collection and harvesting of Brazil nuts; the establishment of 'Field Schools' (*Escuelas de Campo*) with high proactive participation and empowerment of women; and the modality of small-grantsfor agroforestry initiatives, an innovation in the cultural and livelihood framework of indigenous families and organizations.
* The Project's execution can be evaluated in terms of its average percentage of physical, programmatic and final financial execution of around 85%, which is relatively satisfactory considering the start-up problems, the changes in government management, the sanitary emergency of the Covid19 pandemic, and the divergence of views between the indigenous organizations and the government regarding the ProDoc mandates and the administration of funds.
* The evaluative approach which should be pursued more closely, is the manner and conditions under which the Project had to be executed in a process of accelerated recovery in time and substance in order to achieve, to that extent, the expected results. The Project has two clearly differentiated stages: the initial one, affected by external factors already mentioned and not sufficiently foreseen; and a second stage of more orderly execution aimed at concrete achievements. It is the second stage that has achieved the positive results of execution; but it is the first stage that provides the most important lessons of foresight, follow-up, strengthening, participation and governance.
* The consultancy recently completed for the systematization of lessons learned is relevant and should result in a road map for monitoring and supporting ongoing actions by the government, in addition to being an input for the formulation of new projects and similar initiatives for international cooperation.

*Monitoring & Evaluation*

* By the close of the Project, most of the ProDoc mandates regarding monitoring and evaluation had been fulfilled, with the exception of the preliminary TE, revised and replaced by the present document. The PIU Final Report was produced in the form of the November 2023 presentation to the CDP and stakeholders, as outlined above. The knowledge management aspects will be included in the CLA on systematization of lessons learned.

* The Plurinational State of Bolivia is making a major effort through the APMT to establish its Measurement, Reporting and Verification (MRV) system to be accredited by the UNFCCC. This system will be very useful for monitoring forests at the national level, managing forest conservation projects, promoting land management, and promoting forest-related climate change projects, among other benefits. The APMT monitoring system has received technical assistance from the Project through specialists; however, it still needs to acquire equipment.

*Sustainability of achievements, replicability and scalability.*

* The sustainability of the Project's actions and achievements is crucial at this time, and has not been foreseen or prepared in a timely manner with an appropriate exit strategy. The pressure, urgency and speed to meet a maximum of the planned goals and the extended time frame to catch up with the delays in the Project implementation have however resulted in an incomplete operational and administrative closure from the point of view of sustainability.
* The time that elapses between the closure of the Project and an eventual support from new sources, may give place cause to a drop in the interest and continuity, either due to lack of resources or lack of complementary actions to ensure timely assistance from multiple sources to sustain productive actions and support organizational forms that give continuity to the effort.

1.5 Summary Table of Recommendations

| **Rec #** | **Recommendations** | **Responsible entity** |
| --- | --- | --- |
| **A** | ***For immediate priority action*** |  |
| A.1 | The national actors should agree on a follow-up and coordination space to consolidate the actions and the positive dynamics of execution achieved, until it is possible to promote and consolidate the outcomes and impact with the respective financing. This effort should be led by the State and eventually by the indigenous organizations themselves. UNDP could provide technical guidance, lessons learned (CLA) and support for the political incidence of the achievements. | APMT  UNDP-CLA |
| A.2 | Analyze and disseminate, as appropriate, among all stakeholders, the results of the consultancy on lessons learned (CLA), with events and *ex-post* memory documentation, to generate continuity and awareness of what has been learned by stakeholders and national or international entities involved in similar initiatives in the country and in the LAC Region. | APMT  UNDP-CLA  Other national and international players |
| A.3 | Broaden the participation of actors and institutions based on their experience and lessons learned, in supporting the formulation and execution of the new proposal to the GEF, including women who have been involved in the PIU and the Project's Field Schools. | UNDP  APMT |
| **B** | ***To ensure the effectiveness and impact of actions in the long term*** |  |
| B.1 | Promote technical, academic (university theses) and scientific studies on agroforestry intervention processes and their ecological impact in a context of climate change, restoration of environmental services, impact of exotic species and others, to support the option and continuity of the Project's actions, or provide evidence to guide improvements. Link these activities to the CM and the Measurement, Reporting and Verification (MRV) system for the UNFCCC. | APMT-MC  ABT  Universities |
| B.2 | Continue and expand the relationships and successful actions with ITSA in strengthening the capacities of the communities, promoting and seeking sources of funding for courses, laboratory equipment and equipment, exchange of experiences, and follow-up with the actors of the Field Schools. | APMT  ITSA  International Cooperation committed and NGOs |
| B.3 | Strengthen the capacities of Indigenous organizations in the management of the Brazil nut production and marketing chain, with the participation of the private sector and the support of the State, promoting the concept of fair trade and action for the regeneration of Brazil nut stands, and for other agroforestry initiatives. | APMT  ABT  CIRABO  TIOCs |
| **C** | ***For the sustainability of the results in the areas of intervention*** |  |
| C.1 | Promote, engage and strengthen the linkage of the Project's actions in the TIOCs with the two GADs and the GAMs, in terms of impact on local action policies, budgets, learning and training of regional and municipal officials. | APMT  CIRABO  GAD  GAM |
| C.2 | Establish an efficient and permanent post-project monitoring and control system for the use of technical resources, infrastructure, transportation and maintenance of production and trade services to prevent the decline of income and loss of assets. | APMT  CIRABO  TIOC |
| **D** | ***To optimize progress in the gender and intercultural approach.*** |  |
| D.1 | Promote an integrated, intercultural and intergenerational vision from the State and indigenous organizations, with the participation of specialized entities (seminar or conference), that facilitates dialogue, overcoming prejudices, and allows listening and addressing the concerns of women and families, and proposes a conciliation of interests on the subject. | APMT  IOs,  Specialists |
| D.2 | Promote and influence with the experience of the Project, in public policies that incorporate the vision and approach of gender and intercultural issues according to the patterns of each Amazonian culture. | APMT |
| **E**. | ***For the scaling up and replicability of the Project*** |  |
| E.1 | Consider modular alternatives for the design of new projects, calibrating territorial extensions and population density for efficient management, with minimum spatial friction, transportation costs and alternatives, and optimal distribution of infrastructure and services. The widening of territorial impacts can occur in second instance, based on replicable results. | GEF - UNDP  MMAyA  APMT |
| E.2 | Elaborate for future initiatives Theories of Change that contemplate and define the interaction of all Components or Outcomes, avoiding sets of products and impacts focused solely on isolated Outcomes. | GEF - UNDP  MMAyA  APMT |
| E.3 | Design clear and specific co-financing mechanisms so that commitments have a measurable reference in time and results. | GEF - UNDP  MMAyA  APMT |
| E.4 | For successful project planning to be implemented with the participation of the population, it is necessary to prioritize the aspects of individual willingness to work, family well-being and capitalization of resources in the households that have decided to commit to the actions. The average monetary increase in a community is not a good indicator of success or impact; on the other hand, the demonstrative effect of the values vis-à-vis the rest of the population is a value that can amply compensate the investment and the priority given. | GEF - UNDP  MMAyA  APMT |

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2. Introduction

This document corresponds to the final revised and commented version of the Terminal Evaluation Report (TE), the last deliverable of the respective contract, under the Terms of Reference (ToR) of the assignment received from UNDP (See **Annex B**), under the 'GEF Amazon' Project, PIMS 4716, executed under the NIM modality with assistance of UNDP, by the Plurinational State of Bolivia through the Plurinational Authority of Mother Earth (APMT), an autonomous agency attached to the Ministry of Environment and Water (MMAyA).

* 1. Previous Note: Technical and administrative background of the ET

The commissioning and approach to the development of this Project TE, as indicated in the Inception Report 12/01/2024), derives from a set of circumstances noted below, which need to be considered within the framework of this document:

a. The Project has been the subject of an inconclusive TE process, contracted on September 24, 2022, whose execution was extended for various reasons until the presentation of a draft report on April 17, 2023, and included a stay of analysis and review of field data by the consultant from October 31 until December 6; and subsequently, a leave of absence for health reasons of the consultant and an extensive period of supplementation and revisions, until its official discontinuation by UNDP on October 12, 2023, because the document submitted did not comply with GEF/PNUD Evaluation guidelines.

b. During this complex process, and prior to the original Project closing date specified in the ProDoc (January 5, 2023), the PNUD/GEF Vertical Funds Coordination granted a one-year execution extension, without addition of funds, which set a new Project closing date of January 8, 2024. This decision resulted in an additional year of the implementation period, not foreseen or included in the scope of the ongoing version of the TE. Consequently, at the end of the year, an information and analysis gap was created that needed to be filled with this new, revised and updated TE.

c. The preliminary work and results, findings, conclusions and recommendations contained in the draft report of the previous TE remain relatively valid and, by UNDP's decision, can and should constitute a reference input for the present task of a complementary, integrative and definitive TE, without prejudice to the contributions and coincidence or not with the findings indicated by the previous TE.

d. In parallel and simultaneously, UNDP has considered it convenient to carry out an expanded analysis of lessons learned during the implementation of the Project, which has been commissioned to a specific consultancy (hereinafter CLA) with a view to its application in future similar initiatives of replication or scaling up of interventions in the Bolivian Amazon and other areas that might benefit from this acquired knowledge. Consequently, both processes, the new TE and the lessons learned analysis, will need to be closely coordinated and consistent, which has been understood and discussed by both consultants during the informal field visit, carried out in agreement with APMT and CIRABO, and with the collaboration of UNDP and the Project's PIU, prior to the close of operations on December 31, 2023.

e. These background and circumstances will not affect, beyond the above, the formal preparation of the TE by the consultant, within the provisions of the ToR of the assignment and the GEF and UNDP guidelines on terminal evaluations, and based on his own experience and professional judgment.

* 1. Purpose and objective of the ET

As described in the GEF Evaluation Policy and UNDP procedures, TEs are mandatory for all medium and full-sized projects financed by the Fund upon completion of implementation and are an important tool in the monitoring and evaluation plan.

As indicated in the GEF and UNDP guidelines, this TE has the following complementary purposes: (i) to promote accountability and transparency; (ii) to synthesize lessons that can help improve the selection, design and implementation of future GEF-funded and UNDP-supported initiatives; and enhance sustainability of benefits and aid in the overall improvement of UNDP programming; (iii) to assess and document the results of the Project and the contribution of these results to the achievement of GEF's strategic objectives aimed at global environmental benefits; and (iv) to measure the degree of convergence of the Project with other priorities within UNDP's country program. The above will be consolidated in the TE report.

* 1. Scope

The TE approach focuses on the critical analysis of the planning and formulation strategy of the Project, its territorial coverage, components, expected results, outputs and success indicators formulated based on the implicit theory of change applied in the Project design, and subsequently schematized from the logical framework review recommended by the MTR report.

The evaluation is in turn in line with GEF and UNDP guidelines and directives in terms of the alignment of the approaches adopted with national directives and policies, the rationality of the expected change, the relevance and consistency of the components and results, and the quality of the indicators of success, with reference to the S-M-A-R-T rating standard[[2]](#footnote-2) .

The TE report covers the entire Project implementation period and is based on official information available up to the date of initiation of the appraisal process (December 2023), including relevant inputs and quotations from the preliminary TE. . Its contents are complemented by the Annexes required by the ToR and listed in the table of contents, as well as special annexes that are not part of the body of the report and will be added to the final version of the report.

* 1. Methodology

The methodology for the evaluation mission is described in the ToR of the assignment (See **Annex B**), and in the Work Plan of the consultancy, approved in January 2024. It is based on a guided visit to the Project execution area in December 2023, shortly before the Project ceased operations; the review of the Project documentation; and semi-structured interviews, face-to-face - on the occasion of the visit - and virtual after the visit, during February 2024.

The interviews were conducted based on the Work Plan's questionnaire-guide, and at this stage of the evaluation they constitute an important source of information that has been contrasted and corroborated during the subsequent process with documentary evidence (financial, administrative, governance and others), in order to support and confirm the preliminary findings and formulate final conclusions and recommendations.

Both the field visit and the interview process coincided in time with the parallel and independent lessons learned systematization consultancy (CLA), entrusted to the consultant Guido Mosquera, with whom we shared the opportunity and experiences of the field visit, the questionnaires of his survey and the aforementioned guide questionnaire, as well as the list of people to interview, or to survey, provided by UNDP.

Interviews with field staff were conducted during the guided visits, and later at the Project site in Riberalta. Three intervention communities were visited, including a Field School, and in the opportunity for an assembly of CIRABO communities in the Victoria site.

There were some difficulties in receiving inputs due to limited response to the 30 requests for virtual interviews after the closing of the Project. A total of 21 interviews were arranged and conducted with a total of 22 people, of which 10 (47%) were women, in different functions and positions. Nine people did not respond (See **Annex C**). The interviewees belonged to various institutions involved in the Project, including national government entities, local governments, Project executors, universities, associations or guilds, individuals, and specialists.

For logistical reasons, it was not possible to review all the Project documentation prior to the field visit, so the review was conducted later and in parallel to the virtual interviews. This condition has not limited the identification of the evaluation findings.

The detailed list of documents reached and reviewed was included in the approved Initiation Plan that is provided in **Annex D**. The most important sources of information for the purposes of this complementary TE are: (**i**) the documents and analyses presented in the initial draft TE carried out by the consultant E. Quiroga; (ii) the documents prepared and the references of actions during 2023, during the extension of the project. Quiroga; (**ii**) the documents prepared and the references of actions during 2023, during the Project extension, which were not included in the previous TE; (**iii**) the way in which the recommendations of the RMT of the consultant M. Onestini for the adjustment of the logical framework of the Project, subsequently carried out by the consultant G. Mosquera, were addressed; and, (**iv**) the PIR documents, closing report and presentations of the PIU.

* 1. Ethics

In accordance with the rules and instructions regarding the ethics of the evaluation, the process has been conducted with the corresponding discretion and confidentiality in the treatment of the information provided by UNDP and the Project team, the sources of information from third parties, and the individual or group interviews, during which the confidentiality of the opinions expressed was expressly indicated, which have been considered anonymously.

Likewise, in the process of field visits and interviews with local stakeholders, the guidelines for interacting with indigenous societies, in terms of free, prior and informed consent, have been followed. In this context, the consent already obtained for the previous TE was applied, and the Project Coordination requested in an assembly the extension of this consent to the complementary TE. In the other procedures, the consultant has been subject to the guidelines and orientations for the execution of the assignment, the treatment of information, and the professional relations with the personnel of the institutions involved.

* 1. Scope and limitations of TE

The revised and supplemented TE comprising this document is being carried out under exceptional conditions, in terms of the deadlines to be met and the opportunity for verification and discussion with the personnel involved, since the Project operations and the contracts of the specialists in charge have been concluded.

These conditions have limited the scope of the evaluation, and forced to refer to reports submitted and background evaluation documents, as in the case of the preceding ET report, which although it extends in complex analysis and comments beyond the prescribed practice and methodology, contains important views that coincide to a large extent with the vision of the author of this document.

It should be noted that the interest and willingness to collaborate in these tasks on the part of government entities and contracted specialists tends to wane when the projects are completed and the actors concentrate on other activities. However, the consultant perceives that the preliminary impression obtained from the interviews and the documentation obtained allows the identification of conclusions and recommendations for the sustainability of the processes initiated and for the design of new initiatives and programs, as well as for the impact on public policies for the development of the region and of the indigenous peoples and organizations.

In addition, the TE document follows the technical and formatting guidelines of the GEF and UNDP, maintaining the necessary coordination with the UNDP liaison officers.

1. Project Description

The Project aims to generate multiple environmental benefits by optimizing the roles of indigenous communities in safeguarding their forests against current and emerging threats in the legally recognized Indigenous Peasant Territories (TIOC) located within the Amazon region in northern Bolivia.

TIOCs have historically been conserved and sustainably managed by indigenous peoples, and therefore constitute a form of "indigenous and community conservation area" which are not formally recognized as PA nor are they included in the National PA System. The Project focuses primarily on maximizing the sustainability of non-timber forest product collection (especially Brazil nut) and subsistence forest use by indigenous stakeholders, given the effectiveness of these forms of use in motivating communities to continue safeguarding their forests.

The sustainability of the TIOCs has been threatened by factors such as loss of tree species on which Brazil nut pollinators depend when the Brazil nuts are not in flower, and declining populations of mammal species that disperse Brazil nut seeds, due to unsustainable hunting (in some cases by the harvesting villagers themselves). The approach is complemented by the promotion of sustainable agroforestry and silvopastoral systems in the non-forest areas in and around the TIOCs, in what constitutes an innovation in the development approach of the indigenous populations, which is not without risks and need permanent monitoring and adjustments.

The Project is defined in the ProDoc as an initiative aimed at generating *"...multiple environmental benefits by optimizing the role of indigenous communities in protecting their forests against current and emerging threats, whose sustainability is threatened by factors including the loss of other tree species on which Brazil nut pollinators depend and the decline in populations of mammal species that disperse Brazil nut seeds, due to unsustainable hunting, in some cases, by nut collectors themselves."*

To generate these benefits, the Project's focus is on "...*maximizing the sustainability of the use and harvesting of non-timber forest products (especially Brazil nuts), broadening and diversifying the benefit base from the forest, given its effectiveness in enabling communities to continue conserving their forests.*

The area selected for intervention (see **Figure 1,** p**.** 9 ) is the northern Amazon region of the country, specifically four 'Territorios Originario Campesinos Indígenas' (TIOC): Chácobo-Pacahuara, Cavineño, Tacanas-Cavineño and TIM II (Territorio Indígena Mixto). These TIOC cover about 1.6 million hectares and were prioritized because of their legal land tenure status. These TIOC are contiguous and interact collectively from a landscape perspective, as they have similar biophysical and productive conditions; and constitute a homogeneous set in terms of problems to solve and threats to combat. In the four TIOCs, the target population is composed of 9,584 people and is made up of 3,469 beneficiary families. The number of men (4,971) is higher than that of women (4,577).

Project financing, according to the ProDoc, was formulated based on a GEF-5 grant (full-size) of USD 6,208,848 (17%), a forecast of co-financing by various institutions, amounting to USD 30,008,000 (82%), and a contribution from UNDP in the amount of USD 387,746 (1%), for a total of USD 36,604,594.

The coherence of the Project design with the socioeconomic, political and institutional context of the country is revealed in the national regulatory framework, which ProDoc describes in the following terms:

*"...The Framework Law of Mother Earth and Integral Development for Living Well aims at establishing the vision and bases for integral development, in harmony and balance with Mother Earth for Living Well, guaranteeing the continuity of the regenerative capacity of its components and life systems. Within this legal framework, the Plurinational Authority of Mother Earth (APMT) was created, which operates with three mechanisms: Mitigation Mechanism for Living Well (MM), Adaptation Mechanism for Living Well (MA), and Joint Mitigation and Adaptation Mechanism for the integral and sustainable management of forests (MC) that seeks the sustainable use of forests, conservation, protection and restoration of life systems, biodiversity and environmental functions within the framework of the Integrated and Sustainable Management of Forests (GISB) policy, facilitating more optimal land use through the development of sustainable production systems, including agriculture and forestry, to address the causes and reduce deforestation and forest degradation, in a context of mitigation and adaptation to climate change*.

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* 1. Project start and duration

The Project officially started on 08/01/2018, with the signature of the ProDoc, and was expected to culminate its five-year operational cycle of implementation on 08/01/2023. Several initial delays, caused by political and governance interferences, in addition to the sanitary constraints of the Covid-19 pandemic, and the need to revise the logical framework on the recommendation of the MTR held in April 2021, determined the decision to extend by one year, until 08/01/24, the Project closure. On the other hand, as mentioned in **section 2.1**, an extensive TE process was initiated at the end of 2022 - finally inconclusive and suspended in October 2023 - which led to the realization, with the urgency of the case, of a substitute and integrative TE, this time aligned to the framework of the GEF-UNDP standards and guidelines.

* 1. Development context

In recent decades, the Plurinational State of Bolivia has developed a constitutional, legal, political and institutional framework that is innovative and vigilant of the rights and welfare of the majority, with special attention to the rights of indigenous and peasant populations. At the same time, as a country with a highly diverse geography, biodiversity and resources, especially in the Amazon region, it has been implementing policies and strategies that seek to harmonize human occupation of the land with the tasks of ecosystem conservation, sustainable use of resources, and coordination of production with domestic and export markets.

Currently, the Amazon region is undergoing important processes of change. First, due to the geopolitical process of incorporation into the rest of the country, as a result of new communications and highways; second, due to the growing recognition of the rights of indigenous peoples and their impact on the national level; third, to combat the monopoly on political decisions by regional and national elites that concentrate land, giving rise to greater local participation and articulation between local and indigenous actors; and finally, due to the constitutional recognition of indigenous and aboriginal peasant territorial rights. In addition, the region is a site for hydrocarbon exploration and eventual exploitation, according to government plans.

In this framework, Community Lands of Origin (TCOs) are defined as a form of agrarian property in the National Agrarian Reform Service Law (1996, INRA Law), which emphasizes the concept of indigenous territory applied in Convention 169 of the International Labor Organization, ratified by Bolivia in 1991. TCOs are defined as geographic spaces that constitute the habitat of indigenous and native peoples and communities to which they have traditionally had access, and where they maintain and develop their own forms of economic, social and cultural organization. These lands are inalienable, indivisible, irreversible, collective, made up of communities or groups of communities (*mancomunidades*), unseizable and imprescriptible (Law 1715, Art. 31.I.5).

The Project's areas of intervention are the selected TIOCs, which are areas of production, use and conservation of natural resources, and spaces for social, spiritual and cultural reproduction (Constitution, Article 403). Their inhabitants have the right to land, to the exclusive use and exploitation of renewable natural resources under conditions determined by law; to prior and informed consultation and participation in the benefits derived from the exploitation of non-renewable natural resources found in their territories; with the right to apply their own rules, administer through their representative structures and define their development in accordance with their cultural criteria and principles of life in harmony with the rest of nature. The TCO category may be subject to an administrative procedure for conversion to a TIOC, according to the Transitory Provision of the CPE, which establishes that the TCO category. Supreme Decree 727 establishes that existing TCOs will be converted to TIOCs and TCOs will have the same name.

* 1. Problems that the Project sought to address

The main problems that the Project sought to address are essentially the following:

* Reduce the scope and incidence of the deforestation process in the country's Amazon region, which reaches more than 10% of the forest cover.

* Moderate the expansion of the agricultural frontier, led by agribusiness, which affects the integrity of indigenous lands and sustainable forms of resource use.
* Reduce national carbon emissions as a contribution to climate change mitigation, caused by land use change and displacement of natural forest.
* Mitigate environmental threats to Brazil nut production and regeneration, due to the impact on the natural habitat of the species and its natural pollinators.
* Need to improve the standard of living and well-being of the populations in the TIOC, increasing family income with improved and sustainable extractive and productive activities.
* Create enabling conditions to strengthen indigenous governance, and the recognition of legal rights and titles; and for sustainable agroforestry activities through recuperation and

use of successional forests.

* Enhance the role of indigenous women in the general welfare of the community, in family support tasks, and their empowerment in the governance of indigenous organizations.
  1. Immediate and development objectives

The main objective, defined in the ProDoc, is described and referred to the following results and indicators (modified according to the 2021 MTR):

***Objective***: *Amazon forest ecosystems are managed by indigenous and local communities (TIOC) to generate multiple environmental and local benefits that contribute to motivate the continued participation of local communities in their protection*.

*Objective Indicators:*

*O1*. *Number of families (women and men per TIOC) that have increased their income levels, due to their participation in sustainable management of forests and livelihoods, without affecting the diversity and sustainability of their livelihoods.*

*O2 Non-forest areas of Indigenous Territories (TIOC) and areas adjacent to these territories (pampas and savannas), subject to sustainable management practices.*

*O3 Farming areas and communities within the jurisdiction of the eight municipal governments that participate in the project's knowledge and know-how transfer processes, thereby improving the performance of their sustainable forest management practices.*

*O4 Status of focal species for conservation, regeneration and monitoring of Brazil nut forests.*

* 1. Expected results

The Expected Results of the Project, after adjustment of the Logical Framework recommended by the RMT, are:

***Outcome 1:*** *Enabling conditions improved at the regional [Autonomous Departmental (GAD) and Municipal Autonomous Governments (GAM)] and national (government entities) levels for the sustainable management of forest and Life Systems in the Indigenous Original Indigenous Peasant Territories (TIOC).**.*

*Indicators;*

*1.1 New or improved institutional mechanisms (number of regional, indigenous and community instruments) to strengthen the integrated and sustainable management of forest and Livelihood Systems in the four (4) designated TIOCs, which adopt adaptive, rights-based and gender lens management approaches.*

*1.2 Actors (number of women and men, institutions and organizations, by TIOC) that actively participate in decision making in the regional consultative platform, in relation to issues of interest in forest and life systems management.*

*1.3 Number of institutions (governmental, community, academic and private) actively participating in the monitoring of Integrated Sustainable Forest Management (ISFM) indicators, promoted by the APMT, in the project intervention area.*

*1.4 Actors (number of women and men, by TIOC) participating in training and coaching processes in the design and implementation of Indigenous Territorial Management Plans and management of financing from the central, departmental and municipal levels.*

***Result 2****: Integrated management of natural resources in TIOC, with a gender and human rights approach.*

*Indicators:*

*2.1 Forest areas of Indigenous Territories (TIOC) under sustainable management.*

*2.2 Area in hectares of forests and livelihood systems under governmental Community Collaborative Monitoring and Control.*

*2.3 Area in hectares under Integral Monitoring (environmental, social and productive and interactions) of the health of forest ecosystems and Life Systems in the four (4) designated TIOC.*

*Degree of implementation of Use and Marketing Plans for agroforestry products (timber and non-timber) and other products that come from the forests and Life Systems of the designated TIOCs.*

*2.5. Actors (number of families, women and men, per TIOC) with access to sources of financing for the development and implementation of productive agroforestry businesses (timber and non-timber) that come from the forests and Life Systems of the designated TIOCs.*

*2.6 Agroforestry products (timber and non-timber) and others that come from forests and livelihood systems, with added value and better marketing conditions.*

*2.7. Governmental and community actors that participate in the exchange of experiences, knowledge and ancestral knowledge on forest management and associated life systems, dialogue and coordinate actions for sustainable forest management.*

* 1. Main stakeholders and Project organization

The Project is executed under the 'national implementation modality' (NIM, assisted by UNDP), by the Government of the Plurinational Republic of Bolivia, through the 'Plurinational Authority of Mother Earth' (APMT), the autonomous entity attached to the Ministry of Environment and Water (MMAyA), with the assistance of UNDP-CO as the GEF implementing agency. Other governmental partners are the Vice-Ministry of Environment, Biodiversity, Climate Change, and Forestry Management and Development (VMA), and its attached institutions *Fondo Nacional de Desarrollo Forestal* (FONABOSQUE), and the *Autoridad de Fiscalización y Control Social de Bosques y Tierras* (ABT).The organizational scheme adopted by the Project is shown in **Figure 2**, which shows the expected interaction between the various participating institutions.

**Figure 2. PROJECT ORGANIZATION SCHEME**

COORDINATION OF ACTIONS

**IMPLEMENTING UNIT**

IPLEMENTER

**Project Steering Committee (CDP)**

**APMT**

**Executive Management**

**UNDP**

**Resident Representative**

**CIRABO**

**Chairman**

**APMT - Joint Mitigation Mechanism**

**National Project Directorate (DNP)**

Project Coordinator

**Specialists:**

- Administration

- Governance

- Forests

- Agroforestry Systems

-

**Logistics Technicians TIOC:**

- Chácobo Pacahuara

- Tacana Cavineños

- Cavineños of the Amazon

- Multiethnic TIM II

**External Consultants by Product.**

- Chácobo Pacahuara

- Tacana Cavineños

- Cavineños of the Amazon

- Multiethnic TIM II

The main stakeholders and beneficiaries of the Project and its results are the local indigenous communities of the four prioritized territories (TIOC), which are officially represented as partners, and are part of the Project's Board of Directors, through the representative of the Indigenous Central of the Amazon Region of Bolivia (CIRABO).

Direct execution of the Project is the responsibility of the Implementation Unit (PIU), headed by a Project Coordinator, based in the city of Riberalta, who reports to the National Project Directorate appointed by the APMT, which chairs the Project Steering Committee, also comprised of CIRABO and UNDP-CO.

* 1. Theory of Change (ToC)

The original design of the Project in the ProDoc does not make explicit or outline a 'Theory of Change' in the form currently prescribed by the GEF; but it does propose a set of implicit changes in the proposed objectives, outcomes and outputs, although without establishing a clear relationship of causality and conceptual consequence in space and time between the activities.

The MTR assessed as valid the formulation of the problem and the way it was addressed in the ProDoc, including an alignment with formal standards (objective, baseline, goals, indicators and results), and the identification of barriers and strategies in this regard. However, it also found that the design and logical framework of ProDoc had drawbacks and shortcomings that limited the Project's potential to achieve its results; specifically, it pointed out: *"...that the project design does not incorporate relevant gender mainstreaming issues, the project design and results framework is not entirely explicit on how to move from outputs to expected results, and there is some confusion in the design where there is no clear distinction between outputs and outcomes". [[3]](#footnote-3)*

The MTR's recommendation to revise the logical framework was implemented and approved, taking into account that it was possible to introduce changes without altering the Results, given the limited progress made to date in the execution of the Project. Consequently, the logical framework was reconstructed by merging the initial nine Purpose indicators into four; and in Result 2, seven indicators were established, merging one of the initial eight. With the adjusted logical framework - which is the one applied to the evaluation in this document - the Theory of Change scheme was proposed, which is quite detailed in the conceptual description of each of the elements, and which establishes nominal distinctions between intermediate and final results.

Notwithstanding the effort to rationalize these cause-effect relationships in the adopted Theory of Change, some intrinsic limitations persist in the Project to identify and visualize the instances for the sustainability of the achievements; the articulation between quantitative and qualitative aspects of the goals, and the temporality to which the terms "intermediate result" and final result or impacts refer, especially considering that an exit strategy was not formulated before closure, and therefore the sustainability and follow-up actions sufficient to ensure the continuity of the achievements have not been specified. In any case, the proposed ToC is a conceptual contribution that could be improved for scaling up and replication of the Project's approach in future initiatives.

1. Findings
   1. Project design and formulation

The Project has had a long period of preparation and formulation since the approval of the PIF (27/05/2014), until the endorsement of the ProDoc (12/01/2016) and the respective signature, as the start date of the Project (08/01/2018). This lengthy process has been parallel to the approval of a series of policies and consequent legal provisions related to the Bolivian Amazon and the indigenous populations of that region; as a consequence, in turn, of the complex socio-political evolution of the country aimed at providing governmental attention to the most vulnerable population, as extensively reviewed in the ProDoc (pp. 12-16, Institutional Framework).

The main characteristic of this process is the change from the paradigm of marginalization and assistance to the Amazon region and its inhabitants, to a framework of attention and establishment of rights and access to potential benefits, in a clear and necessary social vindication. During this period, from 1996 to 2010, the constitutional legal framework, its institutions and laws were created; and government policies were adopted that not only recognized the plurinationality of the country, its values and indigenous cultures, but also proposed structural social changes, and its singular insertion in international conventions, especially those on biological diversity and climate change.

In this context, programs and projects have been generated, supported by international cooperation, to benefit the indigenous population and seek the conservation and better use of the ecosystems and services that sustain them, as in the case of the GEF Amazon Project. A first observation in this regard is that the transition from subsistence indigenous life and production systems - traditionally based on gathering, fishing and hunting - is a complex process that requires patient accompaniment, modification of habits and visions of family and social life, and technical strengthening that incorporates and is consistent with ancestral cultures and knowledge. All of this takes time and resources on a scale that is not always compatible with immediate, short-term projects.

In the case of the Project, this process has been even more arduous due to the context of recurrent political instability and the government's priority on immediate solutions rather than on a systemic and gradual transition to new production systems linked to markets and modern forms of management, accountability and microfinance.

An additional factor of complexity is the wide territorial coverage, with low population density, with settlements dispersed among them and within the community itself. This characteristic, added to the relative isolation of the Amazon region in the country, required the provision of means and costs of land mobility, or other modes of transportation (river, if feasible), which was not revealed in the original execution plans, and required adaptive actions and investments not foreseen.

* + 1. Analysis of the results framework

The information on the first two years of management shows that the structure of the Project assumed a viable and smooth execution; however, misalignments arose due to misinformation among the stakeholders on the procedures for managing the funds, which gave rise to erroneous expectations on the use and application of the funds. Once the misunderstanding was corrected, the dynamics of the Project execution improved significantly during the following years.

The Mid-Term Review (MTR) of the Project - in accordance with GEF standards - was carried out in a context of incipient implementation, due to initial socio-political problems, and was concluded in March 2021. The MTR found that the Project design had conceptual and background information shortcomings that limited the feasibility of achieving results consistent with the assumptions and the definition of the problems to be addressed. Among other conclusions, it was noted that the design level did not incorporate gender mainstreaming issues; that the results framework was not explicit on how to move from outputs to expected outcomes; and that a difference between outputs and outcomes was not clear. The main recommendations were: (i) a critical analysis of the logical framework; and (ii) making the theory of change and intervention logic explicit, including the gender approach, respect for human rights, and avoiding the validation of child labor.

With the support of an international consultancy, adjustments were made to the activities of the Project's results framework and intervention logic. The indicators, baseline values, target values and means of verification were calibrated accordingly. To this end, the progress and recommendations of the PIU were considered, based on the social and geographic context of implementation. The proposed modifications were reviewed by UNDP-CO and RTA, and approved by the PDC. The Logical Framework was reconfigured by merging the initial nine (9) purpose indicators established in the ProDoc into four (4); and for Outcome 2, seven (7) indicators were established, merging one of the initial eight.

The difficulties of articulation between the postulates of the Project, especially the *Outcomes* and Components, are perceived in their relative independence, in planes that do not complement each other or do not explicitly converge in the common purpose of impact that a theory of change should have. On the one hand, the urgent need to achieve enabling conditions of a normative, legal and policy nature, related to sustainable forest management; and on the other hand, the technological and cultural aspects of the introduction of new forms of land management for productive and income-generating purposes, which implies a consistent structure and regulation. This articulation requires careful planning and coherence of purposes in a permanent adaptive process.

Despite this, a noticeable boost to the Project was achieved as of the second half of 2019, with the change of paradigm and relative emphasis in its areas of action, moving from the priority related to aspects of conservation and preservation of biological diversity, to the central priority on the needs of the population and actions that, naturally and voluntarily, should positively impact the sustainability of ecosystems.

* + 1. Assumptions and risks

ProDoc poses a set of risks with varying levels of probability and severity. The most important, and the one that required more attention in subsequent mitigation actions, is the risk of *"limited harmonization of approaches among State institutions at different levels; or limited participation by the State". The* difficulties that arose with socio-political instability, changes in government policy and authorities, and the consequent turnover of officials were not quite foreseen at the time. The proposed mitigation strategy, in any case, was *"the creation of mechanisms for information and institutional coordination; and development and implementation of communication strategies focusing on the potential of the project to combine social and environmental benefits; the technical feasibility of the proposed management approaches; the capacities of the local communities and their organizations*". In this regard, the Project made significant progress, albeit reactive, in response to the various situations and crises that have arisen since the beginning of the Project.

Another important aspect mentioned is the risk of '*limited participation by members of local communities*'. In this aspect, the possibility of occurrence and the severity that a lack of participation could reach was already foreseen, and the recommended mitigation actions focused on the activities of "...*extensive and effective consultation and participation during project design, involving existing indigenous organizations at national and regional levels*; *... "communication strategies to maintain stakeholders...*and above all strategies and mechanisms for participation in project governance, communication and transparency in decision making. In this aspect, the insufficient initial consultation and communication at the time of Project design, and the initial problems that hampered the preparation of plans and mechanisms, generated conflicts that were gradually addressed and neutralized, and the paradigm for approaching stakeholders was changed, encouraging the participation of genuinely interested groups.

The ProDoc mentions other risks of lesser incidence during the execution period, such as price variations and market demand for agroforestry products, the risks of climate variability and its impact on harvesting activities of agroforestry management and the seasonality of production cycles, and hydrocarbon exploration. No provision was made for the eventuality of the impact of the global pandemic of Covid-19, which was the greatest external threat to the execution of the Project.

* + 1. Planned stakeholder involvement

Stakeholder participation was broadly provided for in the ProDoc, with the following relationship:

* *Plurinational Authority of Mother Earth* (APMT): Strategic and autarkical entity with administrative, technical and economic management autonomy, attached to the Ministry of Environment and Water, and in charge of formulating and implementing the Plurinational Climate Change Policy and Plan. Through the MC (Joint Mitigation and Adaptation Mechanism for the integral and sustainable management of forests). The objective of the CM is to promote the integrated management and sustainable use of forests, conservation, protection and restoration of life systems, biodiversity and environmental functions, facilitating optimal land use through the development of sustainable production systems, including agriculture and forestry, to address the causes and reduce deforestation and forest degradation, in a context of mitigation and adaptation to climate change.
* *Vice Ministry of Environment, Biodiversity, Climate Change and Forestry Management and Development (VMA)*: Responsible for formulating and implementing policies, plans, standards, programs and projects for the sustainable management of biodiversity and natural resources, protection and conservation of the environment and water resources related to productive processes; promoting the management and protection of wildlife resources of indigenous peoples and communities, in coordination with them; and acting as national authority in relation to the conservation and use of biodiversity and natural resources through their respective directorates.
* *Authority of Social Control and Inspection of Forests and Land (ABT)*: Responsible for protecting, regulating, supervising and controlling human activities; promoting the sustainable development and integrated management of forests and land in the interest of the Bolivian people, respecting the rights and cultural identities of the people and native indigenous peasant peoples and nations that inhabit and use these resources.
* *Departmental and Municipal Autonomous Governments (GAD and GAM)*: Responsible for implementing national policies on biodiversity, forests and climate change at the local government level. municipal level.

The interests of indigenous peoples are represented at the national level through the following entities that have decision-making capacity:

*The Central Indígena del Oriente Boliviano (CIDOB), a* national representative organization and valid interlocutor of the indigenous peoples of the Oriente, Chaco and Amazon of Bolivia, was founded in October 1982, in Santa Cruz de la Sierra, with the participation of representatives of four indigenous peoples of the Bolivian Oriente: Guaraní-izoceños, Chiquitanos, Ayoreos and Guarayos. CIDOB brings together 34 indigenous peoples through its 11 consolidated regional organizations.

At the regional level and within the scope of the Project, the regional organization is the *Central Indígena de la Región Amazónica de Bolivia (CIRABO),* which in turn represents the *Tacana, Cavineño, Ese'Ejja, Araona, Yaminahua, Chácobo, Pacahuara and Machineri* indigenous peoples*.* It has eight sub-central offices and 80 indigenous communities in the northern Amazon region of Bolivia. CIRABO's main objective is to seek recognition of indigenous rights in all public and private entities, which will improve the living conditions of indigenous peoples and families within the communities.

At the level of specific indigenous peoples and communities, the norms, customs and authorities of each indigenous people are respected. The organizations affiliated to CIRABO are:

- Chácobo-Pacahuara Village Captaincy

- *Capitanía del Pueblo Cavineño - OICA* (Indigenous Organization of the Cavineño People of the Amazon)

- Tacana-Cavineño Indigenous Territory (Tacana and Cavineño Peoples)

- Multi-ethnic Indigenous Territory II (Tacana, Ese'Eija and Cavineño Indigenous Peoples)

- Joaquiniano Village Captaincy

- Araona Village Captaincy

* + 1. Lessons and linkages between project design and other interventions

In addition to the direct actors and stakeholders, there is a wealth of experiences in the country, promoted or financed mainly by international cooperation, and whose participation or synergies in exchange were foreseen in the ProDoc. Among the main ones, the following are mentioned:

- The 'Program for the Sustainable Management of Forests and Energy' (2014-2018) and the 'Program for the Support of Sustainable Biodiversity Conservation - PACSBIO (2012-2018), as important overlaps in the baseline of the Project design;

- The GEF-UNDP Project 'Biodiversity Conservation through Sustainable Forest Management by Local Communities', which was carried out in the Vilcabamba-Amboró Corridor area;

- The 'Program for Financial Support and Technical Support for the Conservation and Sustainable Strategic Management of Forest Resources in Pando' (COMSERBO Pando), conducted by the Autonomous Government of the Department of Pando.

- Other projects and initiatives with UNDP participation at the regional level in other Amazonian countries, coinciding in the themes of sustainability and productive innovation, among them the project "Transforming the management of productive forests in biodiversity-rich communities by strengthening national capacities for forest certification" (PIMS 4015) in Mexico; and the GEF Small Grants Programme, administered by UNDP in Bolivia, Ecuador and Peru.

There is not enough evidence of collaboration or relationship with these projects, mainly due to the asynchrony of their respective execution, due to delays in the start-up of the GEF Amazon Project, but these experiences and potential for enriching approaches in future project initiatives should be taken into account.

* 1. Project execution
     1. Adaptive management

Adaptive management was an immediate need of the Project, which in its beginnings could not be applied in a sustained manner, both for reasons of government policy orientation and the institutional and social confrontation with the indigenous organizations that was generated as a consequence. The 'paradigm shift' took place as of the second semester of 2019, with the new coordination - after a year and a half of scarce progress - by focusing on the productive activities demanded by the indigenous organizations, instead of the initial, preponderantly ecological vision prioritized in the Project. This change was put into operation with the approval of the 2019 POA, a decision that in turn marked a change in inter-institutional relations and a political and operational convergence of governmental institutions and indigenous organizations, as well as the decisive support of the UNDP regional and national center offices.

In this context, the opportunity to improve the Project's logical framework on the recommendation of the MTR was a timely and important adaptive measure to boost the Project's spatial coverage and real scope. A key aspect to highlight in the adaptive management was the focus and work with groups genuinely interested in accessing new resource use activities and consequent income. This shift is in line with the need, experienced in other latitudes and similar cases, to move from the abstraction of the generic concept of 'indigenous community', to directly address the specific interests of families or organized groups within the communities, and thus have a demonstrative effect and a more effective impact on the rest of the population.

In general, start-up problems and barriers to innovative and complex projects are recurrent, especially in the LAC Region. An adaptive approach is required from the outset to establish a preparatory phase to: (i) update contexts and introduce operational adjustments in ProDoc; (ii) complete the technical team in time and introduce training of the team itself and of direct beneficiaries in project guidelines and administrative protocols; and (iii) reduce or avoid the need for extensions in the execution period by realistically estimating deadlines from the outset. Assuming deficiencies as eventual or unforeseen problems is not the answer; they continue to occur and continue to be treated as imponderables, which they are not (e.g., the repeated turnover of political actors and technical staff at all levels, and learning curves in administrative and fund management).

In the case of the Project, although a balanced and adaptive approach was achieved, the cost could have been reduced and the initial learning curve accelerated, with prior preparation and training of the beneficiaries on the meaning of a development project, the contribution of international cooperation, the formalities of design and preparation, the execution and responsibilities of beneficiaries and administrators, the cost of administration and the amounts of investment distributed over large territories, etc. If this preparatory stage and the adaptation to the changes in the context had taken place, perhaps the need for a one-year extension in execution would have been avoided.

The lack of an exit strategy and its respective planning and execution was noted, given the intense dynamics that had to be applied starting in the middle of the execution period, in order to complete the activities and meet the deadlines for the closure of the Project. It is understandable the priority of the impulse given to the fulfillment of goals in view of the initial delays in the execution and the difficulties of resources and technical personnel; but the gap that this omission may have caused, may affect the sustainability of the Project's actions, as analyzed below.

* + 1. Effective stakeholder engagement and partnership arrangements

The main stakeholders and central beneficiaries are the inhabitants of the communities of the four TIOC of the intervention area: TIOC Tacana Cavineños, TIOC Cavineños de la Amazonia, TIOC Chácobo Pacahuara, and TIOC TIM II. These four territories are represented by the Central Indígena de la Región Amazónica de Bolivia (CIRABO) - which actively participated in the implementation of the Project, as the main actor for the elaboration of the Annual Operational Plans (POA) and other Project initiatives. The distribution of communities in each TIOC is shown in **Table 2**.

The information analyzed reveals that the project did not formulate a plan for the participation of other stakeholders. However, coordination activities were carried out with the main central government agencies involved in integrated and sustainable forest management, and similar actions with stakeholders at the departmental and municipal levels. As a result, and as foreseen in the ProDoc, letters of agreement and agreements were signed between national entities and the APMT, such as the following:

- Letter of agreement with the Autonomous Municipal Government of San Lorenzo - Pando.

- Letter of Agreement between the GEF Amazonia project and the Agro-environmental Justice Tribunal.

- The Authority of Social Control and Inspection of Forests and Lands (ABT).

- Framework agreement between APMT and FONABOSQUE.

- Inter-institutional cooperation framework agreement between the Plurinational Institute of Language and Culture Studies (IPELC) and the APMT.

- Letter of agreement between the GEF Amazonia project and ITSA.

**Table 2. Distribution of communities by TIOC of the intervention area.**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Autonomous Government**  **Departmental** | **Government Autonomous Municipal** | **Indigenous Territories (Territorios Indígenas Originarios Campesinos - TIOC)** | | | |
| **Tacana Cavineños** | **Cavineños of the Amazon** | **Chácobo Pacahuara** | **Multiethnic TIM II** |
| Beni | Reyes | 7 communities | 20 communities |  |  |
| Riberalta | 6 communities | 6 communities | 18 communities | 3 communities |
| Santa Rosa |  | 2 communities |  |  |
| Exaltatción |  |  | 3 communities |  |
| Guayaramerín |  |  | 1 community |  |
| Pando | Seine |  |  |  | 4 communities |
| Puerto Gonzalo Moreno |  |  |  | 9 communities |
| San Lorenzo |  |  |  | 17 communities |
| San Pedro |  |  |  | 3 communities |
|  |  | **13 communities** | **28 communities** | **22 communities** | **36 communities** |

Source: TE Preliminary Report by E. Quiroga (updated with PIU presentation).

The foregoing preliminary TE did not review the content of the aforementioned agreements, with the exception of a visit to ITSA's facilities. A recent interview during the present TE with this entity revealed its participation as relevant in the training of Project participants on resource management and technology for their transformation. This learning has been key to the success of the ‘Field Schools’ and the role of women in the process.

Given that the stakeholders and direct beneficiaries and their representatives that participated in the design phase were not quite the same at the launching of the Project, it is understandable that the latter socialization process was not clearly understood regarding management procedures, based on pre-established indicators. As a result, several unrealistic expectations were generated; these circumstances, as mentioned above, were subsequently rectified.

The main entity at the national level is represented by the APMT, which is the Project Executing Entity and, through the Joint Mechanism Directorate, directs and supervises the actions of the Project Implementation Unit (PIU), participating directly in the preparation of the POAs and the approval of the management reports executed. It also aligns the Project's interventions with national policies, mainly the Integrated and Sustainable Management of Forests (GISB), and ensures the sustainability of the monitoring system for the components of the territories' life systems, which is currently in the process of adjustment and consolidation. Likewise, the APMT and CIRABO jointly resolve Project management problems and enter into agreements with other institutions to ensure the achievement of Project results.

The Authority for Social Control and Monitoring of Forests and Land (ABT), exercises governance and promotes sustainable integrated development systems in forests and lands, respecting the rights and cultural identities of the peoples and nations that live and work in the forests and the national rural area, in accordance with the objectives of the National Development Plan and the precepts of the Political Constitution of the State, within the framework of inter-institutional cooperation agreements signed with the APMT. Stakeholders in the Project's intervention area are the two Autonomous Departmental Governments (GAD) and nine Autonomous Municipal Governments (GAM), which have had a low participation profile in the actions.

* + 1. Financing and co-financing

The co-financing prescribed in the ProDoc, in the amount of USD 30,008,000, was not executed in terms of direct contribution to the Project. Most of the entities listed as co-financiers have not intervened in the territory covered by the Project, or have not directly supported Project activities. It is assumed, therefore, that these are counterpart amounts that the State presented as contributing to or converging with the Project's objectives and results.

On the other hand - given the time elapsed between the formulation of the Project and its implementation - there would have been a time lag in the expected co-financing, and some of the actors mentioned had already concluded their activities at the time of Project implementation.

**Table 3** contains the data presented in the ProDoc**,** indicating co-financing amounts in percentage terms by Component. **Table 4** shows the results of the preliminary TE as of June 2022, when the one-year extension that would have allowed the execution of up to 99.9%[[4]](#footnote-4) of the GEF grant was not yet available; however, as of the date of this document, there are no precise co-financing valuation figures. It can be deduced from the various documents reviewed that the co-financing at the financial close of the Project, not including the UNDP contribution, would be USD **8,425,775,** i.e. 26% of the figure foreseen in the ProDoc.

The preliminary TE presents the data in **Table 4**, based on the co-financing letters, indicating that as of June 2022 there was no financial execution or investment mobilized by the entities cited in the ProDoc. No other co-financing figures or references recorded or mentioned by the PIR reports or in the PIU submissions have been accessed.

**Table 3: Financing and Cofinancing of the Project by Results**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Project Components** | **GEF Financing** | | **Co-Financing** | | **Total ($)** |
| ($) | % | ($) | % |
| Enabling environment at national and regional levels to support integrated and sustainable management of forests and livelihood systems in TIOCs | 1 211 168 | 20 | 5 929 337 | 20 | 7 140 505 |
| Integrated management of natural resources | 4 702 021 | 75 | 23 018 995 | 75 | 27 721 016 |
| Project Management | 295 659 | 5 | 1 447 414 | 5 | 1 743 073 |
| **Total Project Cost** | **6 208 848** | **100** | **30 395 746** | **100** | **36 604 594** |

**Source**: **ProDoc**, Table 18, p. 62. (Co-financing in this table includes UNDP contribution).

**Table 4: Cofinancing reported as of June 2022**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Entity** | **Type of co-financing** | **Amount of confirmed CEO signature** | **Investment mobilized** | **Reported cofinancing as of June 30, 2022** |
| DANIDA | Grants | 6,000,000 | Not available | 0 |
| GIZ *ProIndígena* Program | Grants | 500,000 | Not available | 0 |
| GIZ | Grants | 2,162,220 | Not available | 0 |
| FONABOSQUE | In kind | 14,000,000 | Not available | 0 |
| UNDP | Grants | 387,746 | Not applicable | 387,746 |
| Vice-Ministry of Hydrological Resources and Irrigation | In kind | 3,343,420 | Not available | 0 |
| **Cofinancing Total** | | **26,393,386** |  | |

**Source** PIU records as of June 2022, cited by E Quiroga in Preliminary TE report updated for this TE

* + 1. Monitoring and Evaluation

The guidelines for monitoring and evaluation activities, according to GEF and UNDP standards are described in the signed ProDoc (p. 80), and are summarized below with the respective commentary by M&E actions, and **Table 5** with the overall ratings.

* *Workshop and Inception Report:*

According to records and the first PIR reviewed, the inception workshop took place in April 2018, three months after the signing of the ProDoc. This TE has accessed a copy of the respective report, but it is reported that the technical team could only be formed in August of that year, so it would not have had the opportunity to participate in the inception workshop.

* *Project progress and implementation reports:*

In general terms, the Project has complied, with some delays, in the delivery of the prescribed periodic quarterly reports through the UNDP's Enhanced Results Based Management Platform. Likewise, the preparation of the annual reports, both for PIR (2018 to 2022) and for the National Project Directorate, has been noted.

* *Periodic monitoring through field visits:*

Periodic Monitoring visits have been carried out with the participation of UNDP, the APMT and the NPC, in the Project intervention sites, based on the agreed program to evaluate the progress of the Project in person. This monitoring has been translated into a very close and detailed follow-up by UNDP-CO both in the form of assistance to the DNP and the CDP, as well as in reports closely followed by the RO in Panama. This work has been key in the recovery of time lost at the beginning, in the extension granted, and in the fulfillment of final execution deadlines.

* *Mid-Term Evaluation (MTE):*

As mentioned in **section 4.1.1,** the mid-term review (MTR) of the Project was conducted virtually from January to March 2021. The MTR, given the delay in execution to date, was premature to fulfill the purpose of being an adaptive management and course correction tool. The document mentions that "...the *project design has several conceptual and basic information shortcomings. These conceptual and basic shortcomings, therefore, hinder the ability to obtain coherent results for the assumptions and for the definition of the problems to be addressed"*. It also points out that the Project design does not incorporate gender mainstreaming issues, that the design and results framework is not entirely explicit on how to move from outputs to expected results, and that there is a "certain confusion (sic) in the design, where there is no clear distinction between outputs and outcomes."

The central recommendation was to make a critical analysis of the logical framework; to make explicit the theory of change underlying the Project and its intervention logic; and to include issues of gender equality and respect for human rights, so that child labor is not promoted through the Project.

With the support of an international consultancy, the relevant adjustments were made to the results framework and the intervention logic of the initiative; the indicators, base value, target value and means of verification were specified, for which the progress and recommendations of the PIU were considered, contextualizing the social and geographical reality of the Project's implementation. The proposed modifications were reviewed by UNDP-CO and RO, and approved by the PDC according to the minutes of the session of 28/08/2018.

* *Terminal Evaluation (TE):*

As detailed extensively at the beginning of this document (see **section 2.1**), the Project's terminal evaluation had a complex development process and has required two efforts and two consulting contracts for its execution, so that its completion period has exceeded the Project's closing date. The most relevant circumstance has been the discontinuation of the TE process (in this document denoted as 'preliminary', since the report was so qualified at the time of the suspension of its execution. This document refrains from qualifying the previous effort, but considers that the resultant preliminary report contains relevant and useful information, especially from an academic, anthropological and analytical point of view for similar projects.

* *Final Project Report*

This document does not include a final report of the Project that refers to the totality of the actions. The sum of the annual reports and PIRs for each year make up for this shortcoming. The last annual report (2023) reviewed refers to the Operational Plan (POA) of that year, as the previous ones. In addition, the PPT summary of the end-of-Project presentation, done in November 2023, presents extensive information and valuable data, which together can be considered as the Final Report.

* *GEF Focal Area Monitoring Tools*

The documents reviewed and revised by the consultant are the SESP *(Social and Environmental Screening Template version 2021 updated;* the risk analysis format of the Atlas system; and the Tracking Tools formats, corresponding to GEF-5 projects. The SESP is correctly answered and updated as of December 2022, providing an appropriate description of the forecasts and determining the need for more detailed analysis of various aspects classified as Project risks. The updated document for project closure is not available at this stage of the TE.

The Tracking Toolscorresponding to the formats for Biodiversity (BD2), LD and sustainable forest management (SMF/REDD) have been correctly updated for the MTR (August 2021) and for December 2022.

*Monitoring of learning and knowledge sharing*:

The Project has produced a wealth of experiences and lessons learned that it will be extremely important to collect and systematize. This work is already being carried out by the consultancy (CLA), which is being concluded in parallel to this TE.

Table 5. Project Monitoring and Evaluation Scoring

|  |  |
| --- | --- |
| Monitoring and Evaluation | Rating |
| M&E design at entry | **Satisfactory** |
| M&E implementation plan | **Moderately Satisfactory** |
| Overall quality of M&E | **Moderately Satisfactory** |

* + 1. Quality of UNDP implementation and assistance

UNDP, both through the country office and the Regional Center, has been a fundamental factor in the performance of the PIU and the overall implementation of the Project. The Project start-up processes, already delayed in relation to the design and elaboration of the ProDoc, suffered several unforeseeable difficulties due to national governance crises, and then externalities such as the Covid-19 pandemic, which left no more room for maneuver for control and mitigation for UNDP in its assistance and monitoring role.

Despite this, and in view of the delays and problems, UNDP's work intensified with the change in the political and social context, which was more favorable for the execution of the Project's plans and actions. There was a change in orientation and strategy, parallel to the change in coordination, and repeated coordination and relations with the APMT, and a balance was achieved in CIRABO's political empowerment vis-à-vis the national government. Close monitoring and constant support to the PIU resulted in the acceleration of activities, and the provision of financing and procurement services worked efficiently.

The review of the annual PIRs reveals a constant follow-up and evident progress in achievements, especially in the last two years. The approval of the one-year extension of the execution period has been key to the completion of the Project. As aspects that could have been improved, the lack of an exit strategy and parallel knowledge management activities can be mentioned. These activities did not receive the necessary dedication and support due to the priority emphasis placed on the successful execution of field actions.

As a corollary and complement to the Project's actions in the country, mention should be made of the initiative for a new project with the GEF with a similar orientation but broader scope, as an opportunity for a review and analysis of lessons learned (CLA) that will be key for the purposes of scaling up and replication in other territories.

* + 1. Risk management and social and environmental safeguards

The SESP and risk matrix were updated in June 2021 and 2023. It has nine risks with an overall rating of 'substantial' (1 substantial, 6 moderate and 2 low). All of them are registered in the Quantum system. UNDP Bolivia reviews and updates the risks every year, but the latest update is available at Project closing for the TE. For this purpose it would be advisable, as stated in the last PIR (2023), to add the risk suggestions mentioned in the RTA quarterly monitoring report; and those of the report of the risk management discussion held on 10/08/2023 with UNDP-CO, the PIU, the regional PA and the RTA.

* + 1. Quality of NIM and partner execution

APMT's execution of the Project had ups and downs in terms of its level of governmental impact, affected by political crises with a high turnover of authorities and officials. Given that it is a relatively young entity and oriented more to government policies than to the Project's technical issues, the Project and UNDP had to work hard to keep the authorities informed and to obtain official support for the activities.

Despite these drawbacks, institutional recognition of the importance of the Project has been achieved in its alignment and coherence with the national doctrine regarding indigenous peoples and the sustainable development of the country's Amazon region. The prospects for a consolidation of this perspective after the Project, and its potential for future replication are good with a view to next initiatives or new projects.

Table 6. Rating of UNDP implementation and assistance and government execution  
and government execution

|  |  |  |
| --- | --- | --- |
| UNDP execution / supervision and Implementing Partner Execution | | Rating |
| Quality of UNDP Implementation and Assistance | **Satisfactory** | |
| Quality of assisted NIM execution and partners | **Moderately Satisfactory** | |
| Overall Quality of Implementation/Execution | **Moderately Satisfactory** | |

* 1. Project results and impact
     1. Progress towards target and expected results

Progress towards the objective and expected results has been estimated based on the periodic reports of the Project, the RMT, the preliminary report of the TE (2023), the annual PIR reports, and the opinions and personal evaluations of the stakeholders interviewed. A synthesis and ratings are presented below, summarizing the more detailed synthetic information included in **Annex A** (Matrix of progress towards the objective and expected results).

***Objective***: *Amazon* *Forest ecosystems are managed by indigenous and local communities (TIOC)  
to generate multiple environmental and local benefits that contribute to motivate the  
continued participation of local communities in their protection. .*

***Impact indicators:***

*O1 Number of families (women and men per TIOC) that have increased their income levels .***HS.**  *due to their participation in sustainable forest management and livelihood systems,  
 without affecting the diversity and sustainability of their livelihoods.*

*O2 Non-forest areas of the Indigenous Territories of Origin (TIOC) and areas adjacent* **.S *.*** *to these territories (pampas and savannas), subject to sustainable management practices.*

*O3 Areas and rural communities within the jurisdiction of the eight municipal governments,*  **MS** *which participate in the project's knowledge transfer processes, thereby improving the  
 performance of their sustainable forest management practices.*

*O4 Status of focal species for conservation, regeneration and monitoring of Brazil nut forests.*   **MS**

**Comments**:

Official documents and evidence collected reliably point to the following figures confirmed by the PIU and the latest PIR:

- 2,208 families (women and men in the four TIOCs) representing 80% of the total population have increased their income with the improvement of Brazil nut harvesting conditions, exceeding the expected indicator by 10%.

- 223 families (women and men from the four TIOCs) have diversified their income through the exploitation of other non-timber forest products with added value: extraction and processing of rubber; production of yucca flour; sugarcane honey; fishing and harvesting of Paiche, mainly.

Progress towards the objective in impact indicator O1 exceeds the expected goal, and although there are no concrete figures available on the increase in income, there is evidence of an increase in production and total income. On the other hand, the diversification of activities is evident in several aspects, in which the effect of the Field Schools and the outstanding role of women in these efforts supported by the Project stand out. The appraisal assumes the continuity of these actions.

**Indicator O2 shows** the following figures at the end of the Project:

- 354 hectares of agroforestry areas and 425 hectares of savannas with controlled burn management systems.

- 24 field schools established, strengthening the capacities of 324 families in communities in the four TIOCs by producing more than 412 thousand seedlings of non-timber species (native cacao, açaí and citrus) and timber species (mara, cedar and oak), which have been planted in 354 hectares of degraded forests. To complement this progress, 20 water collection, storage and distribution systems have been implemented for 238 of the 354 hectares of successional agroforestry systems planted, as well as technical assistance. Water systems have been implemented so that the plots are equal to or larger than five hectares and are contiguous.

In summary, the goal of **Indicator O2** has been surpassed up to 120%, contributing to the recovery of degraded areas and soils and the generation of economic alternatives for families in the medium term. The initiative is viable if the effort is continued with the population's own initiatives or external cooperation. The relatively modest goal of 500 ha of adequately managed savannas was not fully achieved, demonstrating the difficulties in applying these techniques. The provision of water for drought seasons and technified irrigation is a key contribution to productive activities, but will also require continuity in maintenance and management.

**Indicator O3** reports 1,187,000 hectares of peasant territories under the jurisdiction of the three Autonomous Municipal Governments that are incorporated into processes of knowledge and experience transfer in sustainable forest ecosystem practices. The instruments for joining the APMT joint mechanism have not yet been consolidated, which is gathering inputs at the national level to strengthen and consolidate the technical instruments for joining.

The progress of 75% in area and 38% in number of municipalities over the indicator target is satisfactory, but considering the complexity of the technical processes and the transfer of knowledge to local governments, progress must be monitored and maintained in its dynamics. The PIU's assessment of an overall compliance of 40% for this indicator is sensible.

**Indicator O4** reports future risks to production potential due to (i) loss of forest cover; (ii) climate change with a higher incidence of drought; and (iii) a decrease in pollination agents and conditions. At the close of the Project, a new Brazil nut census was being conducted in three TIOCs (Chácobo Pacahuara, Tacana-Cavineños and Cavineños de la Amazonia) involving 57 communities to establish the current status of the species.

The census and study of the conditions of the Brazil nut tree population is crucial to obtain technical management guidelines and measures to preserve conditions that will optimize productivity. There is a relative additional risk that the lack of follow-up at the end of the field activities may limit the application of the census results and the recommendations derived from it.

***Outcome 1*:** *Enabling conditions improved at the regional, Departmental Autonomous* **MS** *Departmental (GAD) and Municipal (GAM), and national levels for the  
 sustainable management of forest and Life Systems in the TIOC.*

***Performance Indicators:***

***1.1*** *New or improved institutional mechanisms (number of instruments*  **.S .**

*regional, indigenous and community) to strengthen the integrated and  
sustainable management of forest and Livelihoods Systems in the four  
designated TIOCs, which adopt adaptive rights-based and gender lens   
management approaches.*

***1.2*** *Stakeholders (number of women and men, institutions and organizations, by* **MS**  *TIOC that actively participate in decision making in the regional consultative  
platform in relation to issues of interest in forest and livelihoods management****.***

***1.3*** *Number of institutions (governmental, community, academic, and private)* **MS**  *that actively participate in the monitoring of Integrated Sustainable Forest  
Management (ISFM) indicators promoted by the promoted by the APMT, in the   
Project intervention area.*

*.*

***1.4*** *Actors (number of women and men, by TIOC) participating in training and coaching* **MS** *processes in the design and implementation of Indigenous Territorial Management*

*Plans and management of financing from central, departmental and municipal levels.*

**Comments:**

Regarding **Indicator 1.1**: There are four analysis documents for each TIOC with: **(a)** territorial context; **(b)** biophysical factors of the territory at the landscape level; **(c)** human settlements and population dynamics; **(d)** characterization of basic services; (e) productive economic factors; and, **(f)** institutional political factors. At the close of the Project, the prioritization of integrated development programs was being validated with the TIOCs, in order to complement the analyses and negotiate financing with the municipal governments or other sources. Thus, the Project's target for the indicator would have been met. Progress in the design of integrated territorial plans and the legal status certificates are crucial for the development of actions and to facilitate negotiations and dialogue with national and local government agencies.

Regarding **Indicator 1.2**: The strengthening and recognition of the Amazon Regional Territorial Consultative Platform has been supported. This platform will be bi-departmental (Beni and Pando, target regions where the TIOCs are located), composed of at least: GAD and GAM, Indigenous Central of the Amazon Region of Bolivia (CIRABO), Native Indigenous Central of the Pando Amazon (CIPOAP), private sector, APMT, and other entities of the Central Government, NGOs, Universities and colleges or technical schools.

Support was provided for the adaptation of CIRABO's organic statute that formally recognizes the 'Territorial Consultative Platform' as a space for analysis of the situation in the region and the planning and coordination of activities between institutions. The members of the platform are the indigenous organizations of the departments of Pando (TIOC TIM II) and Beni (TIOC Chácobo-Pacahuara, Tacana-Cavineños, Cavineños de la Amazonia and Juaquiniano), as well as public and private institutions at the national and subnational levels that carry out activities in the indigenous territories.

The establishment of the consultative platform is an important positive step; however, it is the functioning and active participation of the constituent entities that will give meaning to its establishment. Closing the Project without having tested this quality and introduced adaptive management mechanisms poses risks for the future.

Regarding **Indicator 1.3**: The Project provided technical assistance for the implementation of the Plurinational Information and Integral Monitoring System for Mother Earth and Climate Change (SMTCC). The design of the SMTCC was presented by the Executive Director of the APMT in December 2021 and technical assistance has continued to: **(i)** update the climate scenario database; **(ii)** systematize the database of components, environmental functions and life systems, with all the institutions of the System; (**iii)** restore and update the climate change scenario system; **(iv**) develop the theoretical framework of the ABT/APMT computer module for the sustainable use of non-timber forest species; (**v)** develop the technical and methodological proposal for the software for the SMTCC subsystems, integrating data on components, environmental functions and life systems of Mother Earth; **(vi)** develop indicators for monitoring life systems and technical instruments, collecting information from ecoregions; and, **(vii)** develop the proposal for environmental monitoring of environmental functions, socio-ecological resilience to climate change, and sustainability of chestnut populations.

The Plurinational State of Bolivia is making a great effort to build a Measurement, Reporting and Verification (MRV) system to be accredited by the UNFCCC. The APMT, through the Joint Mechanism, coordinates the MRV system that integrates the different systems of FONABOSQUE, ABT, the Forestry Directorate and SERNAP. The first forestry reference level has already been sent to the UNFCCC with the support of the Project, to the extent of its capabilities.

In reference to **Indicator 1.4**: The Project has provided technical assistance and accompaniment to the authorities of the Chácobo-Pacahuara, Tacana Cavineños and Cavineños de la Amazonía TIOCs, The GAMs of Riberalta and Reyes in the department of Beni have strengthened their capacities to incorporate their demands in the five-year territorial plans for integral development (PTDI) and in the annual operational plans (POA) of the Autonomous Territorial Entities (ETA), made up of the Autonomous Departmental Governments (GAD) and the Autonomous Municipal Governments (GAM).

The Project's contribution in this aspect is considered moderately satisfactory because the sustainability of the effort in the socio-political environment variable cannot be clearly foreseen. Challenges remain, such as updating the hardware (server) for monitoring and services throughout the country. At the close of the Project, the equipment required for its entry into operation was being acquired; however, no further actions have been foreseen in an exit strategy for this activity.

***Outcome 2:*** *Integrated management of natural resources in TIOC, with a gender and human  
 rights approach. and human rights.*  **.S .**

***Outcome 2 Indicators:***

***2.1*** *Forest areas of the Indigenous Territories of Campesino Origin (TIOC)* **MS**

*under sustainable management.*

***2.2*** *Area in hectares of forest and Life Systems, under community- governmental* **.S .** *Collaborative Monitoring and Control .*

***2.3*** *Area in hectares under Integral Monitoring (environmental, social and productive* **MS**  *and interactions) of the health of forest ecosystems and Life Systems in the four  
designated TIOCs.*

***2.4*** *Degree of implementation of Use and Marketing Plans for agroforestry products* **.S .** *(timber and non-timber) and other products that come from the forests and  
Life Systems of the designated TIOCs.*

***2.5*** *Stakeholders (number of families, women and men, per TIOC) with access to* **AS**  *sources of financing for the development and implementation of productive  
agroforestry businesses (timber and non-timber) that come from the Forests  
and Life Systems of the designated TIOCs.*

***2.6*** *Agroforestry products (timber and non-timber) and others that come from forests* ***.S****.* *and Life Systems with added value and better marketing conditions***.**

***2.7*** *Governmental and community actors that participate in the exchange of experience* ***.S****.* *knowledge and ancestral knowledge on forest management and associated  
life systems, dialogue and coordinate actions for sustainable forest management*

**Comments:**

**Indicator 2.1** reports a total of 673,000 ha of the upland, floodplain and várzea forest area of the four designated TIOCs is managed with integrated and sustainable forest planning and management, which is 96% of the target (61% of 1,626,536 ha).

Non-timber forest products (NTFPs) are managed without applying specific management plans, which is a pending task of the national policy that should regulate this activity, considering cultural and ecological conditioning. There is no instrument for the integrated management of forest resources and biodiversity appropriate to the territorial context to be applied to community management plans in the TIOCs. The Project, together with the ABT, has developed the proposed Guide for the integrated and sustainable management of these resources.

The percentages of compliance with the first two goals (target values) of the indicator are acceptable in the calculation of the PIU at the closing of the Project. This is a relatively satisfactory compliance for this part of the Result, considering the cultural and ecological conditions of the territories. Regarding the results and impact in the medium and long term, the situation is less predictable, due to the necessary complementary regulations, some of which do not exist, and the pending status, at the time of project closure, of the Guidelines prepared and proposed.

Regarding **Indicator 2.2**, it is reported that 100% of the areas of the four TIOC (1,626,536 hectares) have rules and regulations for the control and monitoring of the forests they occupy for enforcement by national authorities and communities. National legislation is generic and does not consider the territorial context, does not require mandatory enforcement, and does not have a presence in the region or resources to enforce control and monitoring norms. The norms for the use and exploitation of natural resources in the TIOC regulate the types and forms of natural resource use in the territories, with control mechanisms and sanctions for violators; however, due to the extension of the territories where outsiders live, the communities promote and carry out illegal activities that are difficult to control and sanction.

The physical target has been reached in this performance indicator in terms of 700,000 ha with shared control and monitoring mechanisms between the community and national authorities. The progress is similar to that of **indicator 2.1**, due to the affinity and coincidence of simultaneous effort and the pending consolidation and follow-up issues.

**Indicator 2.3 shows** that 60% of the designated TIOC floodplain and várzea forest area (673,000 ha) is managed through FMPs. The ABT monitors compliance with the established norms. With the "Interinstitutional Cooperation Framework Agreement between the APMT and the ABT, the Project has strengthened the technical capacities of the Riberalta Forest Operational Unit (UOBT) to carry out this activity. These achievements are significant and are part of the management instruments that will allow for the continuation of actions to improve forest management and monitoring. The PIU considers that, due to the pending work to update the maps, the integrated goal would not have been achieved by the end of the Project.

Regarding **Indicator 2.4** reports the formulation of five use and commercialization plans based on the existence of resources, availability of local markets, and capacities and characteristics of the inhabitants of the TIOC communities, to be implemented in 28 communities: (i) production of laminated rubber, assumed by fourteen communities; (ii) production of cassava flour, by six communities; (iii) production of sugar cane honey, three communities; (iv) production of majo oil, in one community; and, (v) extraction and commercialization of paiche meat, in four communities.

The plans being implemented for the use and commercialization of agroforestry products, the respective infrastructure, and the number of communities that can benefit from them, is relevant and merits a rating of satisfactory progress for this indicator.

The results reported for **Indicator 2.5** indicate achievements in technical assistance and access to economic resources for 498 families in 44 communities located in the four indigenous territories, to implement productive initiatives for the sustainable use of forest resources and generate added value to resources and livelihood systems. The number of families benefiting from the activities described above is largely due to the positive effects of the Field Schools and the wide coverage of women participants, which has exceeded the target value by 66%.

In the case of **Indicator 2.6**, 54 families from eight communities of the Tacana Cavineños TIOC have reported a 17.65% increase in the prices received, due to the incentives they receive for the certification of origin and fair trade (*Fairtrade Labeling Organization-FLO*); and 40 families from five communities of the Chácobo Pacahuara TIOC have achieved a 100% increase in the cost of paiche meat through the implementation of the Project's economic initiative, exceeding the proposed goals. Reports from the PIU at the end of the Project show an estimated average increase of more than 15% in the value obtained for the products, exceeding the target value.

Finally, **Indicator 2.7** reports **on** dialogue and discussion events between government authorities at the central level and the indigenous authorities of the TIOCs on current forest management and biodiversity competencies and regulations. The Vice-Ministry of the Environment, the National Forestry Fund (FONABOSQUE), the Agro-environmental Tribunal, and the national and regional ABTs of Pando and Beni participated**.**

In addition, we have contributed to the signing of important agreements with national sectoral forest management institutions; we have completed the construction and equipping of observatories or community centers for training and the exchange of knowledge and experiences in the four indigenous territories; and we have obtained documentation on the property rights of CIRABO's real estate in the city of Riberalta.

In order to have historical documents related to the process of constitution of CIRABO, and of the indigenous territories Cavineños de la Amazonía, Tacana Cavineños and Multiethnic Indigenous Territory TIM II, oral and graphic testimonies of these processes were collected from the indigenous peoples who participated, which have been compiled in documents of local mass dissemination. Although the goals of the indicator are not quantitative, the interviews conducted and the indirect evidence allow estimating that the goal has been met at the end of the Project. However, the confirmation and consolidation of this achievement will only be possible with systematic follow-up and the political will of the governmental actors involved.

* + 1. Relevance

The Project is aligned with national priorities. The degree of coherence between the Project's objectives and national development priorities is relevant. The Project's design responds adequately to the political, legal, economic, and institutional changes in the country; and it was formulated in accordance with the national and local strategies in place to promote gender equality.

It also aligns in a coherent and convergent manner with UNDP and GEF strategic priorities (UNDP Strategic Plan, CPD and UNDAF 2018-2022, and also to the new CPD and UNSDCF 2023-2027; to the UN Sustainable Development Cooperation Framework, SDGs, and GEF strategic programming).

Both at the level of the central concept of the Project, as well as the reactions of the interviewees, the Project is perceived as highly pertinent and relevant to support the solution of the multiple problems of the Amazon, and the well-being, subsistence and development of the native peoples residing in it. Although it is difficult to measure the expected impact levels at the moment, it is perceived that, given the scale of the investment made and the geographic and social coverage of beneficiaries, the results achieved have, for now, more local impact than national reach to the extent intended.

* + 1. Effectiveness

Due to a set of unfavorable circumstances in the socio-political aspects, the Project had difficulties and delays in its execution from the beginning - already mentioned, and outlined below - in order to strengthen the approaches and bring the core activities of the Project to the field.

The first two years did not show significant progress (**Figure 3**) in execution due to political crises, the impact of Covid-19, and disagreements among stakeholders. On the other hand, the execution of the last two years is higher than programmed. This is due to adaptive management to promote effective coordination with the relevant agencies, and to the crucial support, impetus and accompaniment of UNDP at this stage, which allowed the PIU and its coordinator to promote and execute the planned actions more quickly.

The Project's achievements of greatest effect are in the areas related to improving the livelihoods of indigenous nations; innovations through the Field Schools, the strategy of working on the basis of direct stakeholder interest, the active participation and interest of women, and the legalization of ancestral ownership of almost two million hectares in the four TIOCs. Simple techniques have also been introduced to improve livelihoods, characterized by being environmentally sound, socially acceptable and economically viable and with potential for success.

Minor achievements, in the process of crystallizing, are related to theoretical studies and institutional procedures; for example, the monitoring of forest resources [GISB] based on digital information. For the moment, the APMT does not have a monitoring plan in accordance with its objectives nor a digital system with the desirable characteristics. Experience suggests that the installation of digital systems for natural resource management is complex and costly, in particular, a digital/legal/administrative infrastructure is required, in addition to a state budget that contributes to the sustainability of the system.

**Figure 3. Sequence of challenges and effective Project execution periods.**



**Source: Taken and translated from PIU end-of-Project presentation to PDC - Note: This Table does not include final 12 months to November 2023, which would total 3.5 years of execution over the 6 years of extended duration (60%).**

* + 1. Efficiency

The evaluation of the Project's efficiency can be assessed from two different moments: the long start-up process, which was affected by the barriers and difficulties already mentioned, during which it was not possible to achieve an efficient execution of the planned expenditure and activities. On the other hand, the notorious efficiency of the Project's performance from the second semester of 2020 and mainly in the following three years, including the granted one-year extension. During this second period, Project implementation accelerated, the strategy and approach to field action was changed, the methodology for working with the communities was innovated, barriers were overcome and the initial negative context was reversed with better collaboration with the government, and better and more balanced relations with the indigenous organizations and their leaders.

UNDP's role in the execution crisis of the first phase of implementation was fundamental in promoting actions and optimizing the use of funds, consolidating the new strategy, and guiding the work of the PIU Coordination. The flow of funds to the indigenous organizations was successful, with no major evidence of obstacles or delays, thanks to the regularization of legal status, obtaining recognition for the opening of bank accounts and regulation of procedures.

The execution drive and the necessary and justified extension of the Project's execution period - based on the limitations imposed by the Covid-19 pandemic - have allowed an almost total execution of the GEF *grant* funds, as can be seen in the information shown in **Table 8.** In said Table and graphs, the change in execution capacity is notorious, to the point of having concluded, as of November 2023, with 99.9% of executed expenditure versus the extended programmed budget, with a clear change in the slope of progress as of the year 2021.

**Table 7**



* + 1. Overall results

The acceleration and positive reorientation of the Project have resulted in the most important achievements and effects mentioned above in terms of relevance, effectiveness and efficiency. However, the weighted rating cannot fail to include the inefficiency and difficulties faced in the first phase of implementation, so the results (**Table 7**) must be weighted and consistent.

**Table 8: Relevance, effectiveness and efficiency evaluation results**

|  |  |
| --- | --- |
| Evaluation of Results | Rating |
| Relevance | **Highly Satisfactory** |
| Effectiveness | **Moderately Satisfactory** |
| Efficiency | **Satisfactory** |
| Overall Project Qualification | **Moderately Satisfactory** |

* + 1. Sustainability

The sustainability of the Project's actions and achievements is crucial at this time, and has not been prepared in a timely manner with an appropriate exit strategy. The pressure, urgency and speed to meet a maximum of the planned targets and the extended time frame to catch up with the delays in the Project implementation have resulted in an incomplete operational and administrative closure from the point of view of immediate sustainability. Nevertheless, the experience of the executed project is evaluated as a contribution for the future sustainability of new GEF projects.

The time that elapses between the closure of the Project and an eventual support from new sources, or from a new national program, may cause a drop in interest and continuity, either due to lack of resources, or of complementary actions to ensure timely assistance from multiple sources to sustain productive actions and support organizational forms that give continuity to the effort.

In terms of institutional sustainability, family, community and grassroots organizations should be strengthened and guided concomitantly. The creation of governance nuclei in support of specialized activities, cooperative forms of production and commercialization in alliance with the private sector and local governments, among other forms, can consolidate what has already been achieved and preserve its continuity.

*Financial sustainability*

The likelihood of available financial resources in the future is based primarily on the development of new initiatives to enhance and consolidate the benefits of the Project. On the other hand, if the dynamics initiated continue, the potential to generate income for self-financing is important, although with complex challenges. The analysis carried out in the preliminary TE indicates that the Brazil nut line has potential but requires a joint agreement with all partners, rehabilitation of the trees, and work with respect to the end consumer. Coordination is needed with all members of the chain to ensure equal results and equitable participation in costs and profits.

Opportunities to generate income from agroforestry, sale of paiche, rubber and other products depend on transportation to markets, an activity that has been coordinated and financed by the Project and should continue under the responsibility of the organized actors. This is a critical point for financial sustainability that requires efficiency, sustained demand, and cooperative agreements with companies and associations in the case of exports or remote markets.

*Socio-political, institutional, and governance sustainability*

Priority should be given to the most promising achievements underway: field schools, promotion of local leadership based on the legal status achieved, good use of the infrastructure and equipment installed; continuity of technical assistance by ITSA with specific funding. The transfer of assets has been rushed, in order to comply with the general policy of UNDP and GEF, and the responsibility for the maintenance, care and custody of the assets has been given to CIRABO, which will assume this commitment.

*Environmental sustainability*

In terms of the socio-environmental sustainability of the Project's actions, an early analysis should be made of the current and projected future ecological impact of agroforestry, harvesting and fishing activities, in relation to the state of the intervened ecosystems and their resilience (as in the case of pest control, water management, processing and waste management activities, paiche fishing, and other activities).

The only environmental factors that could affect the flow of environmental benefits from the Project would be extreme climatic variations in temperature and precipitation such that programmed agroforestry and livelihoods would face difficulties that may affect livelihoods and require major adaptations in the programming of production schemes.

The preliminary TE mentions as a risk to socioeconomic sustainability the cost of transportation and access to purchase and sale of goods and services, which leads to 'enclaved' projects, that is, projects with excessive costs for their execution. On the other hand, this condition reduces the risks of invasions, deforestation by third parties and illegal activities for hunting and fishing.

The economic development of the Amazon regions of the country gives priority to the construction of roads and other means of movement, and although the four TIOCs have already acquired legal recognition, invasions by third parties are still threats to be anticipated and avoided.

*Overall sustainability rating*

The overall evaluation of sustainability, weighing the situation and evaluations of the four aspects, is presented in **Table 9.**

Table 9. Assessment of the sustainability of the Project

|  |  |
| --- | --- |
| Sustainability | Rating |
| Financial sustainability | **Moderately Likely** |
| Socio-political, institutional, and governance sustainability | **Moderately Likely** |
| Environmental sustainability | **Likely** |
| Overall sustainability rating | **Moderately Likely** |

* + 1. National involvement

The core concept of the Project is embedded in the national development plans of the Plurinational Republic of Bolivia. During the preparation of the Project, government officials were involved in the identification, planning and/or implementation of the Project. The participation of the indigenous nations was called for and they provided background information; but although they were involved in the substantive procedures of the Project management, subsequent changes in their institutional directive weakened the full perception of these issues.

The implementation of the Project has involved government representatives, civil society, and CIRABO as the representative of the indigenous nations and member of the Project's governing board (PDC). The national government has maintained its financial commitment to the Project and has approved policies and modified regulatory frameworks in line with Project objectives. However, successive governance crises and the turnover of authorities and officials have affected this commitment and reduced the Project's potential impact on public policy.

The TE is not informed whether the potential results of the project have been incorporated, or are in the process of being incorporated, into national plans. However, in the face of new initiatives with similar objectives and concept, and with greater breadth and scope, there is an opportunity to have a positive impact and to apply the valuable lessons learned that will be synthesized with the relevant consultancy (CLA) prepared.

* + 1. Gender equality and women's empowerment

It should be noted at the outset that gender analysis with action plans is only required for projects approved since July 2018. However, by including gender-related processes and activities, the Project had to ensure the inclusion of gender equity promotion tools in the comprehensive intervention.

The ProDoc did not formally incorporate the integral gender dimension, in part because it was designed before July 2018. There are declarative references in the ProDoc to promote gender equity, but also contradictory references in the diagnosis that reduce women to traditional domestic roles without mentioning their direct and synergistic role in production and economic livelihood. This is a recurrent conceptual error in the perception of the rural world, both in the literature and in the vision of the actors involved in the Project; however, it is reported that during implementation, those responsible and the main actors (members of CIRABO, TIOC directors, both men and women) report that women are involved and committed to the productive roles promoted by the Project. [[5]](#footnote-5)

In this regard, the Project has been conducted in a pragmatic and positive manner. Thus, the PIU commissioned the preparation of a Gender Visibility and Inclusion Strategy, initiated actions aimed at promoting equity and empowerment of women in decision-making, and has naturally channeled the participation of women, with particular success in productive activities, and in the Field Schools promoted by the Project, with clear leadership and enthusiasm of the 85% of women who participate in this initiative. In addition, the Organization of Indigenous Women of the Northern Bolivian Amazon (OMINAB) was granted legal status; the Gender Secretariat was established as part of CIRABO's board of directors (2021); and an exchange of experiences in agroforestry systems in the Alto Beni region was organized, with 63% of the women participating.

A controversial topic, as stated, is the reiterated request of the women in the community meetings regarding the involvement of their children in family, domestic and productive tasks. It is obvious that they are not referring to child labor for third parties or companies, susceptible to abuse, mistreatment and exploitation, nor to the sacrifice of their formal education, but to the need to cement the interest of young people in taking on traditional rural activities, and to reduce the rate of migration to the city at the end of their adolescence. Undoubtedly, the veto on so-called child labor is now universal, and should not be promoted as such; the question is to what extent a positive involvement is admissible, as has been the traditional cultural pattern in the rural family, and - above all - how this expression of the mothers should be addressed from an intercultural and generational perspective.

* + 1. Cross-cutting issues

*Communications and publications*

There is a communication strategy for the Project developed in 2022; there is also a presence in the main social networks, and the inclusion of references and news on the APMT website is being managed. The Project has promoted and produced several publications, both on technical issues of forest management and agroforestry, environmental and socioeconomic topics, as well as proposals for training in diagnostics and management plans.[[6]](#footnote-6) Of special value for the communities and the historical heritage of the region are the publications on the diagnoses and statutes of the TIOC and the histories published on the origin and evolution of the nations that make up CIRABO.

*Research, training and relationship with academia*

CIRABO, with the support of the Project, signed an agreement with ITSA under which research and publications were produced on various productive topics, with a view to training agroforestry producers, with a high participation of women. This relationship has been relevant and essential in the productive area, and should be further promoted in order to establish which of the Project's actions are replicable and can contribute to the scalability of analogous initiatives.

*Climate Change Mitigation and Biodiversity Preservation*

The Project has the condition of contributing to the mitigation of climate change and the preservation of biodiversity, as it is aligned with the country's official policies with respect to the respective global conventions, in a unique position within the postulates on the concept of Mother Earth, including the abstention from mechanisms that imply mercantilism on ecosystem resources, such as REDD+.

In terms of climate change mitigation, as is common in the territories that make up the Amazon, the greatest GHG emissions originate from deforestation and land use change, which influences the alteration of global and local precipitation and temperature regimes, and the consequent impact on ecosystems. The Project has a positive influence on these factors by avoiding deforestation and promoting the sustainable use and recovery of already deforested areas in the process of succession. However, there is no monitoring data available to quantify or predict the carbon reduction due to the impact of the Project.

The reduction of emissions, however, and even more so in territories such as the Amazon, should not be an objective in itself, nor should it be estimated that avoided deforestation has a low cost. These statements and their calculation methodology in UNFCC do not usually consider the opportunity costs for vulnerable populations in the UNFCCC agreements. It is more sensible to promote comprehensive and sustainable adaptation actions - such as those promoted by the Project - and to assume that emission reductions will be a consequence - that is, a measurable result - and not an a priori objective.

In terms of biodiversity, a positive impact is also expected when regenerating and enriching the vegetation cover with agroforestry management; in any case, special monitoring systems and further studies are required to detect with greater specificity the positive impacts and possible changes in the natural environment due to the introduction of dominant or exotic species, fertilizers or biocides.

* + 1. Additionality of GEF

In this aspect, it is evaluated that the results of the Project respond, at different levels, to the additionality of the GEF.

* Although sufficient verifiable data is lacking at Project closure to demonstrate incremental environmental benefits, the self-assessments and PIRs, as well as the outcome of ongoing analyses at this time, suggest a potential for impact in this regard.
* The results of the project in terms of ecosystems and legal and regulatory enabling conditions demonstrate a potential for sustainability based on rights and incentives in the process of consolidation to optimize an environment of security and benefits. This condition still requires further promotion and follow-up.
* The Project has completed and in-process products (which should be completed with haste) that can have a catalytic effect for replicability and extension of the scope and positive impacts in other projects and locations. In particular, the experience of successional agroforestry, the field schools, the participation of women, and the new approach to engage communities and families, should be considered as a set of lessons learned that merits systematization, as has already been foreseen with the CLA.
  + 1. Progress towards impact

The areas of greatest relevance for assessing the Project's progress towards impact have been mentioned in various sections of the TE, and have been conveniently defined in the final presentation of the Project by the PIU. They are briefly outlined below, with some comments, with the caveat that in most of these cases, and because no formal exit strategy was put in place, further monitoring and systematization and consolidation processes are required.

*Strengthening of territorial governance:* Undoubtedly, this is an important progress whose consolidation depends mainly on the awareness and diligence of the organized indigenous population itself, which is now better prepared and empowered, with legal recognition, infrastructure and dynamics of action.

*Generation of conditions to increase family income:* The experience and technical advances in agroforestry, such as innovation in subsistence activities and production potential for the market, the participation of women, and the accompaniment of the field schools, are clear advances towards a sustainable impact, but will still require the maintenance of the dynamics of action.

*Development of sustainable management practices for non-forest areas in indigenous territories:* The specific experience of utilization of intervened areas and avoided deforestation with sustainable agroforestry management has a high impact value due to its replicability, and in addition to its systematization, it requires greater technological support and scientific analysis for its consolidation.

*Ecological assessment and monitoring of the population status and regeneration of chestnut stands:* Being the traditional activity and closely linked to the communities, the activities carried out and the diagnoses and studies underway by the Project contribute to greater sustainability and livelihood base.

*Design and implementation of an integrated monitoring system for forests and forest resource management and livelihood systems:* Project results should be systematized to contribute to national policies and subnational actions, for an extended impact on the country's forest heritage.

*Inter-institutional relations:* The Project has gained the capacity and potential to influence public policies and the interest of other educational and private institutions, as well as the international cooperation community. This impact potential needs to be nurtured and maintained, encouraging the actors to remain in contact and to actively exchange experiences.

1. Main conclusions, recommendations and lessons learned
   1. Conclusions

*Project design and formulation*

* The Project has had a long period of preparation and formulation since the approval of the FIP (May 27, 2014), until the endorsement of the ProDoc (January 12, 2016) and the respective signature, as the start date of the Project (January 8, 2018). This lengthy process has been parallel to the approval of a series of policies and consequent legal provisions related to the Bolivian Amazon and the indigenous populations of that region; as a consequence, in turn, of a complex socio-political evolution of the country aimed at providing governmental attention to the most vulnerable population, as extensively described in the ProDoc (pp. 12-16, Institutional Framework).
* The Project design is oriented to solve a complex problem in an innovative way, by promoting the incorporation of an important sector of the country's population in a strategic region to better living standards and political and economic participation. The conceptual framework is pertinent in considering and prioritizing actions compatible with the recovery and improvement of Amazonian ecosystems, within the framework of an appropriate sustainable development and a change of traditional paradigms in the indigenous communities and organizations.
* The Project formulation encompasses the key approaches in objectives and expected impacts, developed in alignment with the State's socio-environmental and economic policy guidelines for the Amazonian regions and indigenous peoples. Given the level of innovation in the roles of indigenous organizations and communities, and in the introduction of modern agroforestry production systems, while maintaining and improving traditional indigenous activities of gathering, fishing and subsistence crops, the Project has faced, since its inception, a technical and cultural challenge for a smooth and harmonious management.

*Implementation and risk management*

* The time elapsed between the formulation and the agreement to initiate the Project resulted in an asynchrony in the initial assumptions. The implementation had to address two almost simultaneous situations, internally and externally. In the first case, the need for better knowledge and preparation for the interests and expectations of the territorial organizations (TIOC) and of the communities' own population, which had not participated in the Project's original formulation and governance schemes, became evident. In the second case, the incidence of political problems and confrontations in the State and the national government exceeded the risk forecasts and negatively affected the governance and management of the Project. The health emergency caused by Covid-19 added to the difficulties and delays.
* Both the risks foreseen in the ProDoc and unforeseen events caused delays and difficulties in implementation. Adaptive management was an early need of the Project, which could not be developed in a sustained manner at the beginning, both for governmental policy reasons and because of the inter-institutional confrontation that was generated as a result. UNDP played an important role in promoting changes and adaptations that boosted the Project. The PIU was reorganized with a new Coordination and worked closely with the new APMT authorities, smoothing out the disagreements between the Project's governing bodies, stakeholders and beneficiaries.
* A limiting condition for the success and impact of the Project, not weighted in its planning, is the territorial scale of the intervention, with a high spatial friction to attend the universe of communities and territories. This condition implies more time and resources than expected to extend the benefits homogeneously and under adequate control.
* The urgency to accelerate the execution of the Project and to meet the goals and results in less time than expected justified the need to extend the project by one year with the same human and financial resources. There is meritorious compliance and efficiency in the use of resources and achievement of the main products, but this effort has had a consequence in the reduction of dedication to systematic monitoring and the early elaboration of an exit strategy. The financial and operational closure of the Project has occurred without completing detailed transfer and quality assurance processes in the continuation of pending actions and regular maintenance.

*Stakeholder participation and collaboration*

* The 'paradigm shift', in the vision of the new Project coordination, took place from the second half of 2019 - after a year and a half of little progress - by focusing on the productive activities demanded by the indigenous organizations, instead of the initial, predominantly ecological vision prioritized in the Project; and by focusing the work on the communities and inhabitants of the TIOC who showed a genuine interest and commitment to participate proactively in the Project's proposals.
* In general, there is no clear perception among stakeholders on the issue of institutional or inter-institutional participation in the design or implementation of the Project. The sectors linked early on to the Project and the government tend to qualify participation as 'broad', referring mostly to the formulation of the Project or the coverage of beneficiaries. Technical stakeholders emphasize the need for an organic incorporation of other stakeholders (productive sectors, academia, private sector, civil society), and greater interinstitutional and territorial coordination.
* The differences in perception and management capacities of the Project affected the initial governance of the Steering Committee (CDP), where different perspectives and interests (APMT, CIRABO, UNDP) initially converged. This situation has required a great effort of conciliation to balance positions and support the operation, achieved in large part thanks to the articulating role of UNDP in strengthening the PIU, and the empowerment achieved by CIRABO before APMT.
* On the side of the governmental entities, there were political and technical limitations to channel their participation. Therefore, the UNDP-assisted NIM modality was the best form of implementation, since the APMT - an entity of high political relevance - is relatively new at the governmental level, and prioritizes its steering role in national policies. The role of the APMT was more in line with the Project´s policy and regulatory enabling activities (Outcome 1), than to the technical and inter-institutional aspects of sustainable use of resources and forests (Outcome2), which require more cross-sectoral guidance and synergy. In any case, the creation of a special program or project, attached to the APMT, with multi-sectoral governance and coordination attributions, and autonomous in its execution, could have been more effective.
* The participation and interest of women in the Project's activities, mainly in the Field Schools, is one of the Project's most important achievements. Beyond plans or guiding documents for the gender approach, the induced incorporation has been a strategic and successful result, and is a valuable source of sustainability and validation of the training and 'learning-by-doing' modalities.

*Financing and co-financing*

* Direct GEF funding has been used satisfactorily in terms of meeting targets, transparent management and appropriate adaptive management decisions by UNDP, the government and CIRABO stakeholders. The one-year extension in execution, compensating for initial delays and barriers, has been sufficient to meet budget targets, but not enough to provide for contingency or bridge funds for future financing.
  + - * The expected co-financing for a total amount of USD 30,008,000 was not reflected in terms of direct contributions to the Project. The entities listed as co-financiers have not intervened in the territory covered by the Project, or have not directly supported Project activities. It is assumed that these are counterpart investment amounts that the State presents as contributing to or converging with the Project's objectives and results.
* On the other hand - given the time elapsed between the formulation of the Project and its implementation - there would have been a time lag in the expected co-financing, and some of the actors mentioned had already concluded their activities at the time of Project implementation.

*Achievement of Results*

* The difficulties and barriers encountered in the implementation of the Project are extremely important lessons for new approaches; and have led to valuable adaptive measures and positive results in several aspects. The preconditions and actions of the Project that have been favorable are: the legalization and obtaining of legal status for the indigenous organizations; the previous and improved local experience in the harvesting of Brazil nut, an exceptional and long-standing export product; the selection of stakeholders in each community; the establishment of the 'Field Schools' with high proactive participation and empowerment of women; and the modality of small grantsfor agroforestry enterprises, an innovation in the cultural and subsistence framework of indigenous families and organizations.
* The Project's execution can be directly evaluated in terms of its average percentage of physical, programmatic and final financial execution of about 85%, which is relatively satisfactory considering the start-up problems, the political and governmental management changes, the health emergency of the Covid19 pandemic, and the divergence of views between the indigenous organizations and the government regarding the ProDoc mandates and the administration of the funds that the UNDP, as implementing agency, was supposed to oversee.
* The evaluative approach which should be pursued more closely, is the manner and conditions under which the Project had to be executed in a process of accelerated salvage in form and substance in order to achieve, to that extent, the expected results. It is clear that the Project has two clearly differentiated stages: an initial one, affected by external factors already mentioned and not sufficiently foreseen, without a preparation plan for the execution; and a second stage of more orderly execution and directed to concrete achievements. It is the second stage that provides the positive results of execution; but it is the first stage that should provide the most important lessons of foresight, follow-up, strengthening, participation and governance.
* The ongoing consultancy for the systematization of lessons learned is relevant and should result in a roadmap for monitoring and supporting ongoing actions, in addition to being an input for the formulation of new projects and similar initiatives.

*Monitoring and Evaluation*

* By the close of the Project, most of the ProDoc mandates regarding monitoring and evaluation, described in section **4.2.4,** had been met, with theexception of the preliminary TE, revised and replaced by the present document; and the review of environmental social safeguards and its recommendations. The PIU Final Report was produced in the form of the November 2023 presentation to the PDC and stakeholders, as outlined above. The knowledge management aspects will be covered in the CLA on systematization of lessons learned.
* The Plurinational State of Bolivia is making a major effort through the APMT to establish its Measurement, Reporting and Verification (MRV) system to be accredited by the UNFCCC. This system will be very useful for monitoring forests at the national level, managing forest conservation projects, promoting land management, and promoting forest-related climate change projects, among other benefits. The APMT monitoring system has received technical assistance from the Project through specialists; however, it still needs to acquire equipment.

*Sustainability of achievements, replicability and scalability.*

* The sustainability of the Project's actions and achievements is crucial at this time, and has not been sufficiently foreseen or timely prepared with an exit strategy. The pressure, urgency and speed to meet a maximum of the planned goals and the extension period to overcome delays in the execution of the Project, have resulted in an efficient operational and administrative closure, but incomplete from the point of view of sustainability.
* The time that elapses between the closure of the Project and an eventual support from new sources of financing, may lead to a drop in interest and continuity, either for lack of resources or of complementary actions to ensure timely assistance to sustain productive actions and support organizational forms that give continuity to the effort.
  1. Recommendations

This section presents the recommendations for action resulting from the TE, based on the analysis and conclusions of the assessment carried out.

**A. For immediate priority action**

A.1 National stakeholders should agree on a space for follow-up and coordination to consolidate the actions and the positive dynamics of execution achieved, until it is possible to promote and consolidate the results and impact with the respective financing. This effort should be led by the State and eventually by the indigenous organizations themselves. UNDP could provide technical guidance, lessons learned (CLA) and support for the political incidence of the achievements (Responsible: APMT; UNDP-CLA).

A.2 Analyze and disseminate as appropriate, among all stakeholders, the results of the consultancy on lessons learned (CLA), with events and ex-post memory documentation, to generate continuity and awareness of what has been learned by stakeholders and national or international entities involved in similar initiatives in the country and in the LAC Region. (Responsibility: APMT, UNDP-CLA, other national and international actors).

A.3 Broaden the participation of actors and institutions based on their experience and lessons learned, in supporting the formulation and execution of the new proposal to the GEF, including women who have participated in the PIU and in the Project's Field Schools (Responsibility: UNDP, APMT)

**B. To ensure the effectiveness and impact of actions in the long-term.**

B.1 Promote technical, academic (university theses) and scientific studies on agroforestry intervention processes and their ecological impact in a context of climate change, restoration of environmental services, impact of exotic species and others, to support the option and continuity of the Project's successful actions, or provide evidence to guide improvements. Link these activities to the CM and the Measurement, Reporting and Verification (MRV) system for the UNFCCC (Responsible: APMT-MC, ABT, Universities).

B.2 Continue and expand relationships and successful actions with ITSA in strengthening the capacities of interested communities, promoting and seeking sources of funding for courses, laboratory and equipment, exchange of experiences, and follow-up to the Field School actors (Responsibility: APMT, ITSA, international cooperation entities and NGOs).

B.3 Strengthen the capacities of TIOC in the management of the Brazil nut production and marketing chain, with the participation of the private sector and the support of the State, promoting the concept of fair trade, to promote actions for the regeneration of Brazil nut trees, and for other agroforestry initiatives (Responsibility: APMT, ABT, CIRABO, TIOCs).

**C. For sustainability of results in the areas of intervention.**

C.1 Promote, engage and strengthen the linkage of the Project's actions in the TIOC with the two GADs and the GAMs, in terms of impact on local action policies, budgets, learning and training of regional and municipal officials (Responsibility: APMT, CIRABO, GAD, GAM).

C.2 Establish an efficient and permanent system of post-project monitoring and supervision of the use of technical resources, infrastructure, transportation and maintenance of services for production and trade, to avoid the decline of income and loss of assets (Responsibility: APMT, CIRABO, TIOC).

**D. To optimize progress in the gender and intercultural approach.**

D.1 Promote an integrated, intercultural and intergenerational vision from the State and indigenous organizations, with the participation of specialized entities (seminars or conference), which facilitates dialogue, overcoming prejudices, and allows listening and attending to the concerns of women and families, and proposes a conciliation of interests on the subject. (Responsible: APMT, IOs, specialists and academics).

D.2 Promote and influence, with the experience of the Project, public policies that incorporate the vision and approach of gender and interculturality, according to the patterns of each regional culture (Responsibility: APMT).

**E. For scaling up and replicability of the Project**

E.1 Consider modular alternatives for the design of new projects, calibrating territorial extensions and population density for efficient management, with minimum spatial friction, transportation costs and alternatives, and optimal distribution of infrastructure and services. The extension of territorial impacts can be done in second instance, based on replicable results (Responsible: GEF - UNDP, MMAyA, APMT, Consultancies).

E.2 Elaborate for future initiatives Theories of Change that contemplate and define the interaction of all Components or Results, avoiding sets of products and impacts focused solely on isolated Outcomes (Responsible Parties: GEF - UNDP, MMAyA, APMT, Consultancies).

E.3 Design clear and specific co-financing mechanisms so that the commitments have a measurable reference in time and results (Responsible: GEF - UNDP, MMAyA, APMT, Consultancies).

E.4 For successful projects to be implemented with the participation of the population, it is necessary to prioritize the aspects of individual willingness to work, family well-being and capitalization of resources in the households that have decided to commit to the actions. The average monetary increase in a community is not a good indicator of success or impact; on the other hand, the demonstrative effect of the values in front of the rest of the population is a value that can amply compensate the investment and the priority given (Responsible parties: GEF - UNDP, MMAyA, APMT).

* 1. Lessons learned

The following list of lessons learned has been compiled from field observations, suggestions and expressions of interviewees, conversations with the CLA, and contrast with the consultant's personal experience on the subject. It is presented for discussion and analysis to determine its value as a recommendation, and its consistency or coincidence with the ongoing parallel systematization entrusted to the CLA.

* The transition from indigenous subsistence production systems, based on ecosystem resources, to commercial production systems with links to markets, need for efficient and timely transportation, and capitalization, is not usually achieved in the typical cycle of a conventional development project (4 to 6 years), and has important cultural implications to be taken into account.
* The transitional approach to the development of indigenous communities in tropical areas, based on the evolution of their primary subsistence activities, should be based on the priority achievement of well-being (parallel improvements in nutrition, health, education, sanitation and family assets) as a parameter of socioeconomic progress, beyond its measurement by a percentual increase in monetary income.
* Innovative and complex projects in terms of combination of impacts and results, especially those aimed at vulnerable populations and dissimilar cultures, require a process of early involvement and preparation prior to implementation in aspects of international cooperation project management, responsibilities in the use of resources, accountability protocols, etc.
* Development based on the vocation and aspirations of working groups, with families interested in the management of resources and ecosystem services, and with access to mixed technologies (modern and traditional), should be the foundation of family unity and community cooperation, with a notion of future and sustained progress.
* The convenience of concentrating actions and results in a territory of manageable scale, which allows for more complete, replicable and scalable achievements, should be analyzed, as opposed to the tendency to cover larger territories and, therefore, heterogeneous and dispersed, with greater spatial friction and barriers to adopt and consolidate development pathways.
* It is essential to have a solid baseline in order to make accurate decisions and good planning, based on the real and particular needs of the territories.
* When there is a significant lapse of time (more than two years) between the formulation of a project and its implementation, it is advisable to open a space for review and adjustments, even prior to the inception workshop, or as an initial part of it.
* In financial execution, attention should be paid to the mechanisms that will monitor and oversee the execution of the actual co-financing funds, especially if they are government funds that come from annual budgets. Co-financing should not be a simple formality of a declaration or letter of intent; it should be provided with a plan for follow-up, accounting, implementation and accountability. State agency management and grassroots organizations should be involved in negotiations and understand how to account for and report on funds expended in the form of 'in-kind contribution', supporting documentation, etc.
* The application and implementation of organic and proven financing systems at the local and family level (microcredits, small grants), accompanied by training in administration and business management, is an attractive solution that is producing good results in the rural areas of the LAC region, especially with women's groups.
* The management of a project and the distribution of resources must have a permanent presence and anchorage in the intervention areas. Participatory, interdisciplinary, interinstitutional and integrated work is necessary to change recurrent paradigms and achieve sustainability.
* It is crucial to establish links between academia, producers, researchers, and government officials, as well as with the private sector that is part of the project environment.
* The design of innovative projects must be flexible in the sense of foreseeing, allowing, and facilitating changes in activities and adaptive measures to emerging situations, without prejudice to the conception and statement of results and main components.
* Monitoring and sustainability forecasts must be designed, funded, and established sufficiently in advance of project closure, giving rise to a transition stage to self-management, and establishing mechanisms for control and assumption of institutional responsibilities.
* The impact of innovative achievements, validated by experience, should be planned to feed directly into government policies, strategies and decisions at all territorial levels.

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1. ANNEXES
2. **Matrix of progress towards objective and expected results**
3. **ToR of the final evaluation (Spa)**
4. **Mission Itinerary and List of Interviewed Persons**
5. **List of documents reviewed**
6. **Matrix of evaluation questions**
7. **Interview Questionnaire**
8. **Co-financing table**
9. **Terminal evaluation rating scales**
10. **Signed UNEG Code of Conduct Form (Spa)**

**ANNEX A. Matrix of progress towards the objective and expected results**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **OBJECTIVE****: Amazon forest ecosystems are managed by indigenous and local communities (TIOC) to generate multiple environmental  and local benefits that contribute to motivate the continued participation of local communities in their protection.** | | | | | |
| **Indicators** | **Base Value** | **Target Value** | **Achievements at the end of the Project according to TE** | **TE Comments** | **Rating** |
| **Impact Indicator 1:**  **Number of families (women and men per TIOC) that have increased their income levels, due to their participation in sustainable forest and livelihoods management, without affecting the diversity and sustainability of their livelihoods.**  **There are an estimated four (4) members per indigenous household (Source: INE Census, 2012).** | There are an estimated total of 2,400 families in the four TIOCs. The average annual income per family is US$ 1,900 from Brazil nut harvesting as the main source of income, plus other non-timber forest products (e.g., rubber, palm fruits and agricultural products from agroforestry systems) (Source, Socioeconomic Study of the GEF Amazon - APMT Project, under development). | - 2,000 families (women and men in the four TIOCs) improve their income from Brazil nut harvesting by 10% as a result of adding value.  - 200 families (women and men in the four TIOCs) have diversified their income by harvesting other non-timber forest products with added value. | The official documents and evidence collected reliably indicate:    - 2,208 families (women and men in the four TIOCs) representing 80% of the total population have increased their income with the improvement of Brazil nut harvesting conditions, exceeding the expected indicator by 10%.  - 223 families (women and men from the four TIOCs) have diversified their income through the exploitation of other non-timber forest products with added value: extraction and processing of rubber; production of yucca flour; sugarcane honey; fishing and harvesting of Paiche, mainly. | Progress towards the objective in this impact indicator exceeds the planned target, and although there are no concrete figures available on the increase in income, there is evidence of an increase in production and total income.  On the other hand, the diversification of activities is evident in several aspects, in which the effect of the Field Schools and the outstanding role of women in these efforts supported by the Project stand out.  The qualification assumes the continuity of these actions. | **AS** |
| **Impact Indicator 2:**  **Non-forest areas of Indigenous Territories (TIOC) and areas adjacent to these territories (pampas and savannas), subject to sustainable management practices.** | The designated TIOCs contain 4,619 hectares of tropical land for rain-fed agriculture and 420,932 hectares of pasture, without fire management and controlled burns, which puts the surrounding forests at risk and threatens them. | 160 hectares of agroforestry areas and 500 hectares of savannahs have controlled burn management, seedling production and agroforestry systems, thanks to the establishment of 10 rural schools in the territory, strengthening the capacities of at least 100 families in 10 communities in the four TIOCs. | - At the end of the project, there are 354 hectares of agroforestry areas and 425 hectares of savannahs with controlled burn management systems.  - 24 field schools have been established, strengthening the capacities of 324 families in communities of the four TIOCs, by producing more than 412 thousand seedlings of non-timber species (native cacao, ç and citrus) and timber species (mara, cedar and oak), which have been planted in 354 hectares of degraded forests, formalized in agroforestry succession systems.  To complement this progress, 20 water collection, storage and distribution systems have been implemented for 238 of the 354 hectares of planted successional agroforestry systems, and technical assistance has been provided in crop management. Water systems have been implemented so that the agroforestry systems are equal to or larger than five hectares and are contiguous family plots. These water systems guarantee the water required for irrigation in times of drought, helping to ensure that the soils have minimum moisture levels for the growth and development of the species planted. | The goal of the indicator has exceeded the proposed goal of agroforestry areas by more than 120%, which contributes to the recovery of degraded areas and soils and the generation of economic alternatives for families in the medium term is feasible, if the effort continues with the population's own initiatives or external cooperation. The relatively modest goal of 500 ha of adequately managed savannas was not fully achieved, demonstrating the difficulties in applying these techniques.  The provision of water for drought seasons and technified irrigation is a key contribution to productive activities, but will also require continuity in maintenance and management. | **S** |
| **Impact Indicator 3:**  **Areas and rural communities within the jurisdiction of the eight municipal governments that participate in the project's knowledge transfer processes, thereby improving the performance of their sustainable forest management practices.** | The Project's intervention area includes eight Autonomous Municipal Governments, in whose jurisdiction the four TIOCs are located, and other areas made up of peasant communities and private properties. | 1'600,000 hectares of peasant territories under the jurisdiction of the eight Autonomous Municipal Governments are integrated into the processes of knowledge and experience transfer in sustainable practices generated by the Project and are trained in the sustainable management of forest ecosystems. | As of the date of the report, 1,187,000 hectares of peasant territories under the jurisdiction of the three Autonomous Municipal Governments are integrated into processes of knowledge and experience transfer in sustainable forest ecosystem practices. The instruments for affiliation to the joint APMT mechanism have not yet been consolidated, which is gathering inputs at the national level to strengthen and consolidate the technical instruments for affiliation . | The progress of 75% in area and 38% in number of municipalities over the indicator target is satisfactory, but considering the complexity of the technical processes and the transfer of knowledge to local governments, progress must be monitored and maintained in its dynamics. The PIU's assessment of an overall compliance of 40% in this indicator is sensible. | **MS** |
| **Impact Indicator 4:**  **Status of focal species for conservation, regeneration and monitoring of Brazil nut forests.** | The ecological assessment studies of the status of the focal species of the Brazil nut forest is the baseline for the year 2021. | Ecological assessment studies of the status of focal species (baseline year 2021) and comparative studies at the end of the project (year 2023), in the pilot areas selected in the four TIOCs.  Studies of the population status and regeneration of chestnut trees, in the following aspects:  - Chestnut dispersion by Jochi.  - The impacts of hunting on Jochi populations;  - The relationship between the status of pollinator populations and the sustainability of forest production, with emphasis on Brazil nut. | The Brazil nut resource is present in an average of 72% of the 98 TIOC communities, and in some cases (Tacana Cavineños and TIM II) in up to 100% of the communities. However, there are future risks to the productive potential: (1) loss of forest cover; (2) climate change with a tendency to drought; and, (3) decrease in pollination agents and conditions, mainly.  At the end of the Project, a new chestnut census was being conducted in three TIOC (Chácobo Pacahuara, Tacana Cavineños and Cavineños de la Amazonia) involving 57 communities, to establish the current status of the species and to better understand the environmental and anthropogenic factors related to the pollinating and dispersing species that provide sustainability to the chestnut tree. This study was not yet available at the close of the Project. | The census and study of the conditions of the Brazil nut tree population is crucial to obtain technical management guidelines and measures to preserve conditions that will optimize productivity.  There is a relative risk that the lack of follow-up at the end of field activities may limit the application of census results and recommendations. | **MS** |
| **OUTCOME 1: Enabling conditions improved at the regional [Departmental Autonomous Governments (GAD) and Municipalities (GAM)] and national (government entities) levels for the sustainable management of forests and living systems in Indigenous Territories (TIOC).** | | | | | |
| **Indicators** | **Base Value** | **Target Value** | **Achievements at the end of the Project according to TE** | **TE Comments** | **Rating** |
| **1.1**  **New or improved institutional mechanisms (number of regional, indigenous and community instruments) to strengthen the integrated and sustainable management of forest and Livelihood Systems in the four designated TIOCs, which adopt adaptive, rights-based and gender lens management approaches.** | The plans incorporate the concept of 'Life Systems' in general terms, but do not specifically incorporate harmonized principles and procedures for the application of the concept. | Design of the four territorial development plans of the indigenous peoples for each TIOC and dissemination of the technical guidelines of the central level in the territories.  The development of these technical tools should be applicable to the context of TIOCs and their communities. | Four documents have been completed with a comprehensive analysis of each TIOC, including: (a) the territorial context; (b) biophysical factors of the territory at the landscape level; (c) human settlements and population dynamics; (d) characterization of basic services; (e) economic and productive factors; and (f) political and institutional factors. At the closing date of the Project, the prioritization of the integral development programs with the TIOCs was being validated in order to complement the analysis and manage financing with the municipal governments or other sources. This would have achieved 100% of the Project's target for the indicator.  These analysis documents, together with the  The legal status managed by the Project for the four TIOC and their communities, legitimize the territorial rights of the population at the municipal level and recognize the legal identity of the community, which is an indispensable requirement (according to the Law of Popular Participation No. 155) to access the co-tributary participation resources allocated by the central government to the autonomous municipal governments based on the population settled in their territorial jurisdiction. Therefore, today all TIOC communities in the Project's intervention area are subject to rights and obligations defined by the national legal system in terms of human, political, economic and social development. | Progress in the design of comprehensive territorial plans - as well as the attainment of legal status - is crucial for the development of actions in the TIOCs, and to facilitate empowerment efforts and dialogue with national and local government agencies. | **S** |
| **1.2**  **Actors (number of women and men, institutions and organizations, by TIOC) that actively participate in decision-making in the regional consultative platform, in relation to issues of interest in forest and livelihoods management.** | There is no formal consultative mechanism that meets on a regular basis, with a landscape/interdepartmental view. | Strengthening and formal recognition of the Amazon Regional Territorial Consultative Platform. This platform will be bi-departmental (Beni and Pando, target departments where the designated TIOCs are located), integrated by at least:  - GAD and GAM.  - Indigenous Central of the Amazon Region of Bolivia (CIRABO).  - Central Indígena de Pueblos Originarios de la Amazonía de Pando (CIPOAP).  - Private productive sector.  - APMT and other relevant Central Government entities.  - NGO.  - Universities and colleges/technical schools. | The Project has supported the strengthening and formal recognition of the Amazon Regional Territorial Consultative Platform. This platform will be bi-departmental (Beni and Pando, target regions where the TIOCs are located), composed of at least: - GAD and GAM, - *Central Indígena de la Región Amazónica de Bolivia* (CIRABO), - *Central Indígena Nativa de la Amazonía Pando* (CIPOAP), - Private productive sector, APMT and other relevant entities of the Central Government, NGOs, Universities and technical colleges/schools.  The Project supported the adaptation of CIRABO's organic statute that formally recognizes the "Territorial Consultative Platform" as the space for analysis of the indigenous situation in the region and the planning and coordination of activities between public and private institutions. The members of the platform are the indigenous organizations of the departments of Pando (TIOC TIM II) and Beni (TIOC Chácobo Pacahuara, Tacana Cavineños, Cavineños de la Amazonía and Juaquiniano), as well as public and private institutions of national, departmental, municipal and regional character that develop activities in the indigenous territories of the northern Amazon. | The establishment of the consultative platform is an important positive step; however, it is the functioning and active participation of the constituent entities that will give meaning to its establishment. In this sense, closing the Project without having tested this quality and introduced adaptive management mechanisms poses risks for the future . | **MS** |
| **Indicators** | **Base Value** | **Target Value** | **Achievements at the end of the Project according to TE** | **TE Comments** | **Rating** |
| **1.3**  **Number of institutions (governmental, community, academic and private) actively participating in the monitoring of Integrated Sustainable Forest Management (ISFM) indicators, promoted by the APMT, in the Project's intervention area** | There is no systematic and harmonized monitoring of relevant parameters on the overall health of the ecosystem and its sustainability. | Design and implementation of an integrated monitoring system for forests and livelihood systems, with the active participation of local communities, national government entities (APMT, ABT), GAD, GAM, universities and research institutes, private enterprise, NGOs and international cooperation. | The Project provided technical assistance for the implementation of the Plurinational System of Information and Integral Monitoring of Mother Earth and Climate Change (SMTCC). The design of the SMTCC was presented by the Executive Director of the APMT in December 2021and technical assistance has continued to: (i) update the climate scenario database, (ii) systematize and standardize the database of components, environmental functions and life systems, with all institutions involved in the System; (iii) Restore and update the climate change scenario system; (iv) develop the theoretical framework of the ABT/APMT computer module for the sustainable use of non-timber forest species; (vi) develop the technical and methodological proposal for the software for the SMTCC subsystems, integrating data on components, environmental functions and life systems of Mother Earth; (vii) develop indicators for monitoring life systems and technical instruments, gathering information from ecoregions; and, (viii) develop the proposal for environmental monitoring of the balance of environmental functions, socio-ecological resilience to climate change and sustainability of chestnut populations. | The Plurinational State of Bolivia is making a great effort in building its Measurement, Reporting and Verification (MRV) system to be accredited by the UNFCCC. The APMT, through the Joint Mechanism, which is the unit in charge of the DNP, coordinates the MRV system, which integrates different systems of FONABOSQUE, ABT, the Forestry Directorate and SERNAP. To date, the country has already sent its first forest reference level (NREF) to the UNFCCC. The project has been supporting to the extent of its capabilities, but the impact is not foreseeable to the same extent. | **MS** |
| **1.4**  **Actors (number of women and men, by TIOC) participating in training and coaching processes in the design and implementation of Indigenous Territorial Management Plans and management of financing from the central, departmental and municipal levels.** | The Five-Year Plan allocates budget that will help producers sustainably manage forests, but does not provide resources to strengthen research, capacity building, planning and implementation, specifically in the context of SFM in TIOC. | Best practices in the preparation and implementation of Indigenous Territorial Management Plans and in the processes for managing the financing of these planning instruments, reflected in the corresponding budget allocation. | The Project has provided technical assistance and support to the authorities of the Chácobo-Pacahuara, Tacana Cavineños and Cavineños de la Amazonía TIOCs, The GAMs of Riberalta and Reyes in the department of Beni have strengthened their capacities to incorporate their demands in the five-year territorial plans for integral development (PTDI) and in the annual operational plans (POA) of the Autonomous Territorial Entities (ETA), made up of the Autonomous Departmental Governments (GAD) and the Autonomous Municipal Governments (GAM).  In compliance with Law 1407 (09/11/2021) that approves the State's Economic and Social Development Plan 2021-2025 (PDES), which instructs the Autonomous Territorial Entities (ETAs) to prepare their five-year plans, the Project has generated an enabling scenario for indigenous peoples considering the territorial jurisdictions and competencies of the ETAs, to coordinate budgets for their human, political, economic and social development and incorporate in their territorial planning 2021-2025 actions and resources aimed at the development of indigenous territories.  The population of the TIOC in the Project intervention area is distributed in 98 communities and is spread over seven Autonomous Municipal Governments. Sixty-six percent of this population is located in the municipalities of Riberalta, Reyes and San Lorenzo, with which the territorial planning was coordinated. It has not been possible to coordinate actions with the remaining four Autonomous Municipal Governments due to the high turnover of municipal authorities and technicians.  The Project supported the exchange of experiences with successful producers in the Alto Beni region related to fireless logging activities and management of agroforestry systems, promoting learning and knowledge for the sustainable use of natural resources, and visiting and learning about their experiences in implementing and managing agroforestry succession systems. Nineteen producers (12 women, 7 men) from the Field Schools of the four TIOCs and Project staff participated and replicated the learning, guidance and training to other producers on the practices acquired.  Capacities in forest resource management have been strengthened: best practices for the use of laminated rubber latex, field data collection for better management of forest resources (timber and non-timber), cassava flour production, honey, jelly and sugar cane tablets production, palm fruit harvesting (majo and Açaí), extraction and marketing of paiche meat, seedling production, establishment and management of agroforestry systems and horticultural production. | The Project's contribution could be satisfactory, but the sustainability of the effort cannot be clearly foreseen, given the relative volatility of the socio-political environment. Important challenges remain, such as upgrading to a hardware (server) more appropriate to the monitoring requirements of the whole country, capable of providing services to the whole society. At the close of the Project, the equipment required for its entry into operation was being acquired; however, no further actions have been foreseen in a Project exit strategy for this activity. | **MS** |
| **OUTCOME 2: Integrated management of natural resources in TIOC, with a gender and human rights approach.** | | | | | |
| **Indicators** | **Base Value** | **Target Value** | **Achievements at the end of the Project according to TE** | **TE Comments** | **Rating** |
| **2.1**  **Forest areas of the Indigenous Territories (*Territorios Indígenas Originarios* *Campesinos* - TIOC) under sustainable management** | - The four target TIOCs have a total area of 1'626,536 hectares.  - The total area of upland, floodplain and várzea forest in the designated TIOCs: 1'147,643 hectares.  - The forest is subject to different levels and types of extraction (mainly chestnut in the 933,463 ha of high forest).  - There are 20 general forest management plans approved by the ABT, covering 402,178 hectares, which represents 35% of the total forest area. | - The four target TIOCs are covered in their entirety by integrated natural resource management plans across the landscape (forest, agricultural and grazing lands, i.e. 1'626,536 hectares).  - 61% of the area of upland, floodplain and várzea forest in the designated TIOCs, i.e. 700,000 hectares, is managed through integrated and sustainable forest planning and management models suitable for TIOCs.  As a result, we will have:  - The extraction of products within ecologically sustainable limits.  - The wood is sustainably harvested.  - Non-timber forest products (NTFPs) are actively managed (e.g., through thinning and assisted regeneration).  - Measures are taken to protect plant species of importance as alternative food sources for pollinators; and,  - Conservation zones are established to protect ecologically sensitive areas or those in recovery processes.  This will create conditions that will avoid the deforestation of 6,948 ha of forest and, consequently, the emission of 2,560,894 t/C in the 10 years following the Project. | A total of 673,000 ha of the upland, floodplain and várzea forest area of the four designated TIOCs is reported to be managed with integrated and sustainable forest planning and management, which constitutes 96% of the target (61% of 1,626,536 ha).  Non-timber forest products (NTFPs) are managed without applying specific management plans, which is a pending task of the national policy that should regulate this activity, considering cultural and ecological conditioning.  The project's actions have made it possible to maintain the TIOC forest area established as a baseline with the current FMP, meeting 96% of the established goal. The General Forest Management Plans (PGMF) are the main technical forestry planning instrument for planning the harvesting cycle of forest resources in areas larger than 200 hectares. The baseline developed by the Project in conjunction with the ABT establishes that in the four indigenous territories of the intervention area, 70.56% of the total area, equivalent to 1,138,575.26 hectares, corresponds to *Terra Firme*, floodable and várzea forests; of which 52% (592,994.60 hectares) are covered by 43 FMPs approved by the ABT that are valid for 20 years from the date of their approval and must be updated after 10 years of validity. The FMPs have been prepared by various private and non-governmental institutions since 2008, so some instruments have already expired 10 years ago and require updating or adjustments. To date, forest management instruments authorizing forest harvesting in areas of less than 200 hectares (POAFs and PDMs) have been applied to 80,000 hectares of forest in the TIOC.  The Project has developed the General Non-Timber Forest Management Plan (PGMFnM) for 500 hectares of palm forest (açaí and majo) for the Carmen Alto Community in the Cavineños TIOC of the Amazon, which was approved by the ABT (RU-ABT-RIB-PGMFNM-0281-2022). The ten-year update of the PGMF (RU-ABT-RIB-PGMF-433-2011) has also been completed for 60,740.99 hectares for six indigenous communities. At the close of the Project, the ten-year update of three General Forest Management Plans for 76,914 hectares for eight communities was in process.  There is no instrument for the integrated management of forest resources and biodiversity appropriate to the territorial context to be applied to the management plans of the communities in the TIOCs. The Project,  together with the ABT, has developed the proposed Guide for the integrated and sustainable management of these resources. | The percentages of compliance with the first two goals (target values) of the indicator are acceptable in the calculation of the PIU at the close of the Project. This is a satisfactory compliance for this part of the Result, considering the cultural and ecological conditions of the territories.  As for the results and impact in the medium and long term, the situation is less predictable, due to the necessary complementary regulations, some of which do not exist, and the pending status, at the time of closing of the Project, of the Guidelines prepared and proposed.  On balance, the TE agrees in rating the weighted progress in this performance indicator at 96%. | **MS** |
| **Indicators** | **Base Value** | **Target Value** | **Achievements at the end of the Project according to TE** | **TE Comments** | **Rating** |
| **2.2**  **Area in hectares of forests and Life Systems, under community - governmental Collaborative Monitoring and Control.** | At present, traditional controls are mostly effective, but lack an integrated vision, are not adequately based on information about the resource and state of the threat, and do not provide for adaptation to changing threats in the future.  Total area of upland, floodplain and várzea forest in the designated TIOCs: 1'147,643 hectares. | 61% of the total forest area in the designated TIOCs (1'147,643 ha.), i.e. 700,000 hectares have control and monitoring mechanisms shared between the community and the national authorities. | It is reported that 100% of the areas of the four TIOCs (1,626,536 hectares) have rules and regulations for forest control and monitoring on which they rely for enforcement by national authorities and communities. The national legislation is very general and does not consider the territorial context, and does not require mandatory application, in addition to not having a presence in the region or not having sufficient technical and logistical human resources to enforce control and monitoring standards. The norms for the use and exploitation of natural resources of the TIOC regulate the types and forms of natural resource use in the territories, providing the basis for control mechanisms and sanctions for violators; however, due to the extension of the territories where outsiders live, communities promote and carry out illegal activities that are difficult to control and enforce community regulations.  The Project has contributed to generate technical inputs for decision making by the competent national entities, and has adjusted the national regulations to the territorial context, as in the analysis, together with the ABT, of the "Management instruments for agricultural and livestock production", which has led to the adjustment of the requirements demanded of the inhabitants of the TIOCs according to their territorial and social context.  The Project has achieved recognition and full legal status for: the Indigenous Central of the Amazon Region of Bolivia (CIRABO), the Organization of Indigenous Women of the Amazon North of Bolivia (OMINAB), the Association of Indigenous Naturopathic Doctors of CIRABO, three Indigenous Economic Organizations, five Territorial Captains (Chácobo Pacahuara, Tacana Cavineños, Cavineños de la Amazonía TIM II and Juaquinianos), and seventy-eight communities in the four territories. | The physical target has been reached in this performance indicator in terms of 700,000 ha with shared control and monitoring mechanisms between the community and national authorities. The progress is similar to that of indicator 2.1, due to the affinity and coincidence of simultaneous effort in the progress and in the pending consolidation and follow-up issues; but in this topic the progress is considered satisfactory. | **S** |
| **Indicators** | **Base Value** | **Target Value** | **Achievements at the end of the Project according to TE** | **TE Comments** | **Rating** |
| **2.3**  **Area in hectares under Integral Monitoring (environmental, social and productive and interactions) of the health of forest ecosystems and Life Systems in the four (4) designated TIOCs.** | Information on the state of resources is currently based on single studies, but no permanent structure or institutionalized monitoring system exists capable of guiding future management in response to changing conditions. | 61% of the total forest area in the designated TIOCs (1'147,643 ha.), i.e. 700,000 hectares (with varying intensities and monitoring approaches according to land use and vegetation type), are monitored comprehensively. | Sixty percent of the designated TIOC floodplain and várzea forest area (673,000 ha) is managed through the PGMF. The ABT permanently monitors compliance with the regulations established for their use. With the "Framework Agreement for Interinstitutional Cooperation between the APMT and the ABT, the Project has strengthened the technical capacities of the Riberalta Forest Operational Unit (UOBT) to carry out this activity. At the same time, the Capitaines of the indigenous organizations monitor and control the use and exploitation of the resources in the territories.  The Project has produced three maps of the indigenous territories: Chácobo-Pacahuara, Tacana Cavineños and Cavineños de la Amazonía, showing, with Forest Management Plans (PGMF) approved by the ABT, the Annual Forest Harvesting Operational Plans (POAF) used. At the end of the project, the TIM II map was being finalized. | These achievements are significant and are part of the management instruments that would allow the continuation of actions to improve forest management and the respective monitoring, together with the progress in the other two preceding indicators.  The PIU considers that, given the pending work to complete and update the maps, the integrated goal has not yet been reached at the close of the Project. | **MS** |
| **Indicators** | **Base Value** | **Target Value** | **Achievements at the end of the Project according to TE** | **TE Comments** | **Rating** |
| **2.4**  **Degree of implementation of Use and Marketing Plans for agroforestry products (timber and non-timber) and other products that come from the forests and Life Systems of the designated TIOCs.** | No commercial development plan currently in operation. | Design of use and marketing plan models by type of product, to be adapted to the context of 50 beneficiary communities (50% of the total in the four designated TIOCs). | Five use and marketing plans have been formulated based on the existence of resources, availability of local markets, and the capacities and characteristics of the inhabitants of the TIOC communities, to be implemented in 28 communities: (i) production of laminated rubber, assumed by fourteen communities; (ii) production of cassava flour, by six communities; (iii) production of sugarcane honey, three communities; (iv) production of majo oil, in one community; and, (v) extraction and marketing of paiche meat, in four communities.  A model project for an almond collection center has been designed and taken on by 19 communities; a PGMFMM has been developed for the use of açaí, benefiting one community; and general forest management plans have been updated, benefiting nine communities.  In addition, a communal infrastructure standard for almond harvesting has been designed to improve storage and marketing conditions in 19 communities; the General Açaí Fruit Management Plan has been developed, benefiting one community, and the ten-year update of the General Forest Management Plans has benefited nine communities. In total, 56 communities have benefited directly from the use and marketing plans developed by the project (112% of the target).  Five financing studies have been completed for a pilot plant for processing Amazonian palm products; the design of a community artisanal center for chestnut oil extraction; three projects on sustainable climate change, under the joint mechanism approach of the APMT; and a socioeconomic study of the benefits obtained through timber harvesting in two communities. | In . | **S** |
| **Indicators** | **Base Value** | **Target Value** | **Achievements at the end of the Project according to TE** | **TE Comments** | **Rating** |
| **2.5**  **Actors (number of families, women and men, per TIOC) with access to sources of financing for the development and implementation of productive agroforestry businesses (timber and non-timber) that come from the forests and Life Systems of the designated TIOCs.** | To date, 19 projects have been supported by the Fondo Indígena. | 300 families [25% of the families in the 50 communities with Plans for Use and Commercialization (see Indicator 2.4). | Through technical assistance and access to economic resources, the project has enabled 498 families from 44 communities located in the four indigenous territories to implement and start up productive initiatives in different areas to take advantage of sustainable forest resources and generate added value to forest resources and livelihood systems, surpassing the project's proposed goal by 66%. | The number of families benefiting from the activities described above, thanks in large part to the effects of the Field Schools, and with ample coverage of women participants, exceeds the proposed target value by 66% . | **AS** |
| **2.6**  **Agroforestry products (timber and non-timber) and others that come from forests and life systems, with added value and better marketing conditions.** | Current prices (June 2021):  - Chestnut: US $ 0.6/kg  - Paiche: US $ 0.7/kg in local communities, US $ 1/kg in Riberalta | - Brazil nut: 15% increase in prices received by the control communities in 50 TIOC families, through incentives by means of Fairtrade *Labeling Organization* (FLO) certifications of origin and fair trade.]  - Paiche: 15% increase in prices received by the control communities¸ in 25 TIOC families through subsidies provided by the Project. | It is reported that 54 families from eight communities of the Tacana Cavineños TIOC have increased the prices received by 17.65% due to the incentives they receive for the certification of origin and fair trade (*Fairtrade Labeling Organization-FLO*); and 40 families from 5 communities of the Chácobo Pacahuara TIOC have achieved a 100% increase in the cost of paiche meat through the implementation of the economic initiative carried out by the Project, surpassing the goals proposed for this indicator.  Through the strengthening of technical capacities in the development and implementation of traceability documents and records of organic Brazil nut production, and the administrative and accounting assistance developed by the Project for the Indigenous Association of Brazil nut collectors (AIR MUIJE), 54 families from 8 communities of the Tacana Cavineños TIOC, who market organic almonds, have increased their income by 17.65%. This increase is due to an additional payment granted by the international market.  The increase in income from the sale of paiche meat is the result of the commercial agreement and the activities carried out in four communities of the Chácobo Pacahuara TIOC. | The PIU's reports at the close of the Project show an estimated average increase of more than 15% in the value obtained for its products, compared to the baseline, exceeding the goal and benefiting 54 families in eight communities. | **S** |
| **Indicators** | **Base Value** | **Target Value** | **Achievements at the end of the Project according to TE** | **TE Comments** | **Rating** |
| **2.7**  **Governmental and community actors that participate in the exchange of experiences, knowledge and ancestral knowledge on forest management and associated life systems, dialogue and coordinate actions for sustainable forest management.** | Structured processes for the exchange of experiences, knowledge and ancestral knowledge have not been implemented in the project intervention areas; therefore, it is essential for the project to promote them in order to achieve better results in the coordination of actions and dialogue among stakeholders and, consequently, strengthen sustainable forest management. | The Ministries of Environment and Rural Development and Lands, the APMT and ABT, at the national level; the GADs and GAMs at the local level, improve their capacities to manage the forest and the life systems associated with these ecosystems, establish policies, management plans and prioritize management investments in a coordinated manner. | Dialogue and discussion events were held for government authorities at the central level to socialize with the indigenous authorities of the territories on their competencies and the current regulations on forest management and biodiversity. Participants included the Vice-Ministry of the Environment, the National Forestry Fund (FONABOSQUE), the Agro-environmental Tribunal, and the national and regional ABTs of Pando and Beni.  Contributed to the signing of three important agreements with national sectoral forest management institutions: (i) Letter of inter-institutional cooperation agreement between APMT and ABT dated February 22, 2022; (ii) framework inter-institutional cooperation agreement between APMT and ABT dated February 22, 2022; (iii) framework agreement between APMT and FONABOSQUE; and signing of agreements with national institutions in the indigenous social research sector and academia.  The Project has completed the construction and equipping of two observatories or community centers for training and exchange of knowledge and experiences in the four indigenous territories; and documentation has been obtained on the property rights of the urban real estate located in the City of Riberalta of CIRABO, the Tacana Cavineños Indigenous Territorial Organization, and the "*Capitanía Indígena Chácobo Pacahuara" (Chácobo Pacahuara* Indigenous Captaincy). Likewise, the infrastructure of the CIRABO building in the city of Riberalta was expanded and refurbished.  In order to have historical documents concerning the process of constitution of CIRABO, and of the indigenous territories of the Cavineños of the Amazon, Tacana Cavineños and Multiethnic Indigenous Territory TIM II, oral and graphic testimonies of these processes were collected from the indigenous peoples who participated, which have been compiled in documents for mass dissemination. | Although the indicator targets are not quantitative, interviews and indirect evidence suggest that the target has been met by the end of the project.  However, the confirmation of this achievement will only be possible with a systematic follow-up and the political will of the governmental actors involved, in an exit strategy that the Project has not been able to institute . | **S** |

|  |  |  |
| --- | --- | --- |
| **Green**  Outcome achieved | **Yellow**  Outcome in progress | **Red**  Outcome not achieved |

**Rating Key:**

*The Progress Rating Table for Achievement of Results, Project Implementation and Adaptive Management has the following scale:* ***HS*** *= Highly Satisfactory;* ***S*** *= Satisfactory;* ***MS*** *= Moderately Satisfactory; M****U*** *= Moderately Unsatisfactory****; U*** *= Unsatisfactory; and* ***AU*** *= Highly Unsatisfactory****; U****E= Unable to* evaluate**.**

(See **Annex J** for a detailed description of the valuation ratings**).**

**ANNEX B.**  **ToR for the Terminal Evaluation (Spa)**

**TERMINOS DE REFERENCIA (TdR)**

**Evaluación Terminal del Proyecto Gestión sustentable de ecosistemas del bosque amazónico por las comunidades indígenas y locales para generar múltiples beneficios ambientales y sociales**

**Información General**

|  |  |
| --- | --- |
| **Nombre y número del proyecto** | Proyecto Gestión sustentable de ecosistemas del bosque amazónico por las comunidades indígenas y locales para generar múltiples beneficios ambientales y sociales (ID **Award 95725, PIMS+ 4743)** |
| **Lugar de destino:** | La Paz con viajes a Riberalta, Territorios Indígenas Originario-  Campesinos y comunidades involucradas en el proyecto |
| **Plazo:** | 60 días calendario |
| **Supervisión** | Representante Residente Adjunto, Especialista de M&E y Oficial Programas Medio Ambiente |

1. **Introducción**

De acuerdo con las Políticas y los Procedimientos de Monitoreo y Evaluación del PNUD y el Fondo Mundial para Medio Ambiente (FMAM), todos los proyectos de tamaño regular y mediano financiados por el FMAM y apoyados por el PNUD deben someterse a una Evaluación Terminal (ET) al final del proyecto. Estos Términos de referencia (TDR) establecen los requerimientos de la ET del proyecto “Gestión sustentable de ecosistemas del bosque amazónico por las comunidades indígenas y locales para generar múltiples beneficios ambientales y sociales” - PIMS ID 4743 - GEF Agency Project ID 5755 ejecutado bajo la Modalidad de Implementación Nacional (NIM, por sus siglas en inglés), bajo los estándares y regulaciones del PNUD, a través de la Autoridad Plurinacional de la Madre Tierra (APMT) de Bolivia, siendo el PNUD la agencia implementadora del GEF. Además, la Central Indígena de la Región Amazónica (CIRABO) participa directamente en la ejecución de componentes del proyecto.

El proyecto inició en Bolivia el 8 de enero de 2018, fecha de firma del Documento de Proyecto, y se encuentra en su quinto año de implementación**.** El proceso de la ET debe seguir las orientaciones descritas en el documento "Guía para realizar evaluaciones finales de proyectos financiados por el FMAM y respaldados por el PNUD" (<http://web.undp.org/evaluation/guideline/documents/GEF/TE_GuidanceforUNDP-supportedGEF-> financedProjects.pdf).

1. **Antecedentes y contexto del Proyecto**

El proyecto “Gestión sustentable de ecosistemas del bosque amazónico por las comunidades indígenas y locales para generar múltiples beneficios ambientales y sociales” genera múltiples beneficios ambientales al optimizar el rol de las comunidades indígenas en la protección de sus bosques contra las amenazas actuales y emergentes, cuya sostenibilidad se encuentra amenazada por factores que incluyen la pérdida de otras especies de árboles de las que dependen los polinizadores de la castaña y la disminución de las poblaciones de especies de mamíferos que dispersan las semillas de la castaña, debido a la caza insostenible, en algunos casos, por parte de los propios recolectores de nueces. Los cuatro Territorios Originario Campesinos Indígenas (TIOC) Chácobo- Pacahuara, Cavineño, Tacanas-Cavineño y TIM II ubicados dentro de la región amazónica del norte de Bolivia cubren alrededor de 1,6 millones de hectáreas y fueron priorizados porque tienen el estatus legal de la tenencia de sus tierras. Estas TIOCs son contiguas e interactúan colectivamente desde una perspectiva de paisaje, ya que tienen condiciones biofísicas y productivas similares y enfrentan problemas similares (incluidos los impulsores de la deforestación y degradación), y se espera que respondan a ellos de manera similar. El enfoque principal del proyecto es maximizar la sostenibilidad de la recolección de productos forestales no maderables, (especialmente castaña) y el uso del bosque de subsistencia por parte de actores indígenas, dada la efectividad de estas formas de uso, para motivar a las comunidades a continuar salvaguardando sus bosques. Esto se complementa con la promoción de prácticas de producción sostenible en áreas no forestales dentro y alrededor de los TIOC. Por lo tanto, el enfoque del proyecto requiere de acciones a nivel regional y nacional para desarrollar un marco habilitante de beneficios concretos a través del desarrollo de capacidades entre los actores locales y la generación de experiencias replicables, en los cuatro TIOC objetivo. Este enfoque de dos niveles (regional y nacional) es necesario dada la separación de roles y responsabilidades entre el gobierno central, los gobiernos regionales y municipales, y las comunidades locales.

En dicho marco, el proyecto busca que los ecosistemas forestales de la Amazonía sean manejados por las comunidades indígenas y locales (TIOC) para generar múltiples beneficios ambientales y locales que contribuyen a motivar la participación continuada de comunidades locales en su protección. Los resultados que busca lograr el proyecto están descritos en el Anexo A.

Este proyecto fue aprobado para una duración de 60 meses por el GEF, con fecha de inicio el 8 de enero de 2018, la misma que se refleja en el PRODOC. En marzo de 2021 se realizó la MTR que recomendó ajustar el marco de resultados y la teoría de cambio, la misma que fue realizada mediante una consultoría que concluyó en agosto de 2021.

como producto de esta recomendación al marco de resultados, el mismo que se adjunta. Este ajuste fue aprobado por el Comité Directivo en junio de 2021 y por la RTA en agosto de 2021. El monto de inversión aportado por Fondo Medio Ambiente Mundial (FMAM) es de US$ 6,208,848; financiado con recursos de la quinta reposición (GEF-5). Mientras que, la cofinanciación al momento de la aprobación del proyecto fue de US$ 30,008,000.

En cuanto a los arreglos institucionales, el proyecto se implementa en la modalidad de Ejecución Nacional (NIM, por sus siglas en inglés), siendo el socio ejecutor del PRODOC la Autoridad Plurinacional de la Madre Tierra, en la que reside la Dirección Nacional del proyecto. El socio implementador es la CIRABO. El proyecto cuenta con la cooperación técnica del Programa de las Naciones Unidas para el Desarrollo (PNUD). La agencia implementadora para el Medio Ambiente Mundial (GEF por sus siglas en inglés) es PNUD Bolivia. La ejecución del proyecto se realiza bajo la supervisión y garantía del PNUD, incluyendo los mecanismos de seguimiento y evaluación establecidos por el GEF y el PNUD, tales como los reportes periódicos, auditorías, la evaluación de medio término (MTR) y esta evaluación terminal (ET).

La implementación del proyecto está a cargo de la Unidad Implementadora del Proyecto (UIP), liderada por el Coordinador del proyecto.

El proyecto contribuye al efecto directo 1 del Marco de Cooperación de las Naciones Unidas para el Desarrollo en el Bolivia - UNDAF) 2013-2017 “Promover y apoyar la conservación y uso sostenible del medio ambiente”. Con este propósito, las prioridades serán el apoyo a las acciones gubernamentales y comunitarias destinadas a ampliar y mejorar el manejo de los bosques, de las zonas de conservación y de las áreas protegidas, el apoyo a las acciones destinadas a reducir la degradación ambiental, la desertificación y el fortalecimiento de la gestión sustentable de los recursos hídricos”, y el resultado 4.2 del Programa País Bolivia PNUD “Sistemas de manejo integral sustentable de la Madre Tierra desarrollados en áreas priorizadas de intervención”. Asimismo, el proyecto contribuye al Efecto 2.1 “Fortalecidos los sistemas productivos sostenibles, resilientes, inclusivos e igualitarios, que garantizan la seguridad y soberanía alimentaria y nutricional, basados en trabajo decente, desarrollo tecnológico y fortalecimiento de la economía plural, conservando y mejorando las funciones de la madre tierra: agua, suelos, bosques y biodiversidad, en el marco de los sistemas de vida”, del Marco de Complementariedad de Naciones Unidas para el Vivir Bien en Bolivia 2018-2022. Asimismo, contribuye al Resultado 2 de “Desarrollo Integral y Economía Plural” (alineado a los pilares 9 y 11 de la Agenda Patriótica) del Documento de Programa País 2018-2022 de la Oficina País.

El proyecto se enmarca en las Área Focales de BD, SFM del GEF.

**Cuadro sinóptico del proyecto**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Título del  proyecto: | Gestión sustentable de ecosistemas del bosque amazónico por las comunidades indígenas  y locales para generar múltiples beneficios ambientales y sociales | | | |
| ID del proyecto del FMAM (GEF ID): | 5755 |  | *Al momento de aprobación (Millones US$)* | *Al momento de finalización (Millones US$)* |
| ID del proyecto del PNUD  (PIMS): | 4743 | Financiamiento GEF: | 6,208,848 | 6,208,848 |
| País: | Bolivia | PNUD | 387,746 | Por confirmar durante la evaluación final |
|  |  |  |  |
| Región: | LAC | Gobierno Bolivia: | 30,008,000 |
| Área Focal: | Multifocal, BD, LD, SFM |  |  |
| Objetivos Estratégico del Área Focal del  GEF 5 |  | Cofinanciamiento Total: | 30,395,746 |
| Agencia GEF: | Programa de las Naciones Unidas  para el Desarrollo (PNUD) - | Costo Total  Proyecto | 36,604,594 |
| Otros socios involucrados: | Autoridad Plurinacional de la Madre Tierra  Central Indígena de la Región Amazónica de Bolivia (CIRABO) Dirección Forestal VMA  Autoridad de Fiscalización y Control Social de Bosques y Tierras (ABT)  FONABOSQUE | Fecha Firma de ProDoc (fecha de inicio proyecto): | | 08/01/2018 |
| Fecha de MTR: | | 15/04/2021 |
| Fecha Cierre Operativo: | Propuesto: 08/01/2023 | Fecha Revisada: 08/01/2023 |

El Documento de Proyecto y otros relevantes se encuentra en los siguientes links:

* Documento de proyecto: https://intra.pnud.bo/GEFAmazoniaPRODOC.zip
* Evaluación de medio término: https://intra.pnud.bo/AW95725GEFAmazoniaMTR.zip
* Documento de proyecto ajustado: https://intra.pnud.bo/PropM&EGEFAmazonia.zip

1. **Propósito de la ET** 
   1. **Objetivos de la ET**

El informe de ET evaluará el logro de los resultados del proyecto frente a lo que se esperaba lograr,

y extraer lecciones que pueden mejorar la sostenibilidad de los beneficios de este proyecto y ayudar en la mejora general de la programación del PNUD. El informe ET promueve la rendición de cuentas y la transparencia, y evalúa el alcance de los logros del proyecto.

Los usuarios finales de la evaluación serán las contrapartes gubernamentales, el punto focal operativo del FMAM en Bolivia, los socios en la ejecución, la oficina de país del PNUD y las demás partes interesadas del proyecto y tomadores de decisiones en futuras formulaciones y ejecución de proyectos de desarrollo.

* 1. **Enfoque y metodología de la ET**

El informe ET debe proporcionar información basada en evidencia que sea creíble, confiable y útil.

Se espera que el/la consultor/a siga un enfoque participativo y consultivo que garantice una estrecha colaboración con el equipo del proyecto, la contraparte gubernamental (el punto focal operativo del FMAM), los socios en la ejecución, la oficina de país del PNUD, el asesor técnico regional del PNUD, los beneficiarios directos y otras partes interesadas.

Además, el /la consultor/a de la ET deberá considerar los enfoques transversales, explicando su uso en la metodología (Gender marker, financiamiento de género, etc.) y sus herramientas (entrevistas, encuestas, entre otros). Asimismo, deberá considerar otras cuestiones tales como la contribución del proyecto al CPD 2018-2022, UNDAF 2018-2022 y los ODS incorporándolos en el informe de ET.

El/la consultor/a de la ET deberá revisar todas las fuentes de información relevantes, incluidos los documentos preparados durante la fase de formulación (es decir, PIF, plan de iniciación del PNUD, procedimiento de evaluación social y ambiental del PNUD -SESP, por sus siglas en inglés), el documento del proyecto, los informes del proyecto, incluidos los PIR (Project Implementation Report) anuales, las revisiones del presupuesto del proyecto, la evaluación de medio término del proyecto con estado de los avances de la respuesta del proyecto, los reportes de lecciones aprendidas, documentos estratégicos y legales nacionales, y cualquier otro material que el/la consultor/a de la ET considere útil para la evaluación basada en evidencia. El evaluador de la ET revisará los indicadores básicos / herramientas de seguimiento del área focal del FMAM (Core Indicators) de línea de base y de mitad de período presentados al FMAM en las etapas de la revisión de medio término (MTR) y de aprobación de la Carta de Endoso (CEO Endorsment Letter) así como las herramientas de seguimiento (tracking tools) terminales que deben completarse antes de que comience la misión de campo de ET. La lista completa de documentos a revisar se encuentra en el **Anexo B** de los TDR**.**

Respecto a los otros métodos de recolección de información, estos podrán ser cuantitativos y/o cualitativos. Se espera que se hagan visitas a las oficinas del proyecto y a las intervenciones en el territorio y se realicen entrevistas a actores directos del proyecto (aquellos que tienen responsabilidades en el proyecto, incluidas, entre otras, aprobación de productos), así como también a agencias ejecutoras, altos funcionarios y líderes de equipos/componentes de tareas, expertos y consultores clave en el área temática, socios implementadores, Comité Directivo del Proyecto, beneficiarios, aliados estratégicos, academia, gobierno local y organizaciones de la sociedad civil, entre otros, de modo que aporten en la evaluación final del progreso del proyecto y brinden insumos sobre el logro o no de las metas propuestas, así como su sostenibilidad. Asimismo, el/la evaluador/a podrá aplicar encuestas y cuestionarios o discusiones grupales a las partes interesadas del proyecto, según crea necesario para el mejor desarrollo de la evaluación.

En cuanto al análisis de la información, éste se debe realizar haciendo uso de la triangulación entre la información recogida mediante las entrevistas y otras herramientas, y la documentación revisada. De esta manera, los hallazgos, conclusiones, lecciones aprendidas y recomendaciones que se obtengan del análisis de esta información deberán tener una sólida base en evidencias y mantener una misma lógica entre sí.

El enfoque metodológico final, incluido el cronograma de entrevistas y los datos que se utilizarán en la evaluación debe describirse claramente en el informe inicial de la ET y debe discutirse y acordarse en su totalidad entre el PNUD, las partes interesadas y el evaluador de la ET. Asimismo, el informe inicial debe presentar la Matriz de Criterios de Evaluación, la misma que deberá ser revisada, ajustada y completada por el evaluador de la ET (ver **Anexo D** de los TDR).

El informe final debe describir el enfoque completo adoptado para la ET y la justificación del mismo, haciendo explícitos los supuestos, desafíos, fortalezas y debilidades subyacentes sobre los métodos utilizados en la evaluación, así como sus limitaciones.

* 1. **Alcance de la ET**

La ET evaluará el desempeño del proyecto frente a las expectativas establecidas en el Marco Lógico / Marco de Resultados del proyecto (**ver Anexo A de los TdR**). La ET evaluará los resultados del proyecto de acuerdo con los criterios descritos en la Guía para los ET de proyectos financiados por el FMAM apoyados por el PNUD (relevancia, efectividad, eficiencia, sostenibilidad e impacto).

La sección de Hallazgos del informe ET cubrirá los temas que se enumeran a continuación1:

**3.4 Hallazgos**

1. Diseño/Formulación del Proyecto
   * Marco de Análisis del problema abordado, relevancia y alineación a las prioridades del país
   * Teoría del cambio
   * Análisis resultados: lógica y estrategia del proyecto, indicadores
   * Supuestos y Riesgos
   * Lecciones de otros proyectos relevantes (por ejemplo, la misma área focal) incorporadas en el diseño del proyecto
   * Participación planificada de las partes interesadas
   * Vínculos entre el proyecto y otras intervenciones dentro del sector
   * Salvaguardas Sociales y Ambientales
   * Incorporación del enfoque de género
   * Arreglos de implementación
2. Implementación del proyecto
   * Gestión adaptativa (cambios en el diseño del proyecto y los resultados del proyecto durante la implementación)
   * Participación actual de las partes interesadas y acuerdos de implementación
   * Financiamiento y cofinanciamiento del proyecto (se debe incluir la tabla de cofinanciamiento según Anexo H)
   * Monitoreo y evaluación: diseño inicial (\*), implementación (\*) y evaluación general del MyE (\*)
   * Agencia implementadora (PNUD) (\*) y Agencia ejecutora (\*), supervisión, implementación y ejecución general del proyecto (\*)
   * Gestión de riesgos, incluidos los estándares sociales y ambientales
   * Incorporación del enfoque de género en las actividades
3. Resultados del Proyecto

* Evaluar el logro de los resultados en comparación con los indicadores informando sobre el nivel de progreso de cada objetivo e indicador del marco de resultado en el momento de la ET y anotando los logros finales mediante el formato de la Matriz de progreso en el logro de resultados (ver Anexo E).
* Relevancia (\*), Eficacia (\*), Eficiencia (\*) y el resultado general del proyecto (\*)
* Sostenibilidad: financiera (\*), socio-política (\*), Marco institucional y gobernanza (\*), ambiental (\*), probabilidad general de sostenibilidad (\*)
* Apropiación nacional
* Igualdad de género y empoderamiento de la mujer
* Temas transversales (reducción de la pobreza, mejora de la gobernanza, mitigación y adaptación al cambio climático, prevención y recuperación de desastres, derechos humanos, desarrollo de capacidades, cooperación Sur-Sur, gestión del conocimiento, voluntariado, etc.)
* Adicionalidad del FMAM
* Papel catalítico / efecto de replicabilidad
* Progreso hacia el impacto

1 El asterisco “(\*)” indica los criterios para los que se requiere una calificación. En el anexo C de los términos de referencia se proporciona un esquema completo del contenido del informe de TE.

1. principales hallazgos, conclusiones, recomendaciones y lecciones aprendidas

* El/la consultor/a de ET incluirá un resumen de los principales hallazgos del informe de ET. Los hallazgos deben presentarse como declaraciones de hechos que se basan en el análisis de los datos.
* La sección de conclusiones se redactará a la luz de los hallazgos. Las conclusiones deben ser declaraciones integrales y equilibradas que estén bien fundamentadas con evidencia y conectadas lógicamente con los hallazgos de ET. Tanto las conclusiones como los hallazgos deben resaltar las fortalezas, debilidades y resultados del proyecto, responder a las preguntas claves de evaluación (ver la sección 4. Guía para la Conducción de Evaluaciones Terminales de Proyectos PNUD-FMAM) y brindar información sobre la identificación y / o soluciones a problemas importantes o cuestiones pertinentes para los beneficiarios del proyecto, el PNUD y el FMAM.
* Las recomendaciones dirigidas a los usuarios previstos de la evaluación deben ser concretas, prácticas, factibles y específicas. Estas se deben centrar en qué decisiones y acciones se pueden realizar con miras a asegurar la sostenibilidad de los resultados alcanzados por el proyecto y para proyectos a futuro. Las recomendaciones deben estar respaldadas específicamente por evidencias y estar vinculadas a los hallazgos y conclusiones en torno a las preguntas clave abordadas por la evaluación.
* El informe de ET también debe incluir las lecciones que se puedan extraer de la evaluación, incluidas las mejores y peores prácticas para abordar cuestiones relacionadas con la relevancia, el desempeño y el éxito, para que puedan proporcionar conocimiento obtenido de la circunstancia en particular (métodos programáticos y de evaluación utilizados, alianzas, apalancamiento financiero, etc.) que sean aplicables a otras intervenciones del FMAM y del PNUD. Cuando sea posible, el/la consultor/a de la ET debe incluir ejemplos de buenas prácticas en el diseño e implementación de proyectos.
* Es importante que las conclusiones, recomendaciones y lecciones aprendidas del informe de ET incluyan resultados relacionados con la igualdad de género y el empoderamiento de las mujeres.

El informe de ET incluirá una tabla de calificaciones de evaluación, tal como se muestra a continuación:

**Tabla 2: Tabla de calificaciones de la ET**

|  |  |
| --- | --- |
| Monitoreo & Evaluación (M&E) | Calificación |
| Diseño de Plan de M&E | (Puntaje del 1 al 6) |
| Implementación del Plan de M&E |  |
| Calidad General de M&E |  |
| Implementación & Ejecución | Calificación |
| Calidad de la ejecución / supervisión del PNUD | (Puntaje del 1 al 6) |
| Calidad de la ejecución del socio implementador |  |
| Calidad general de implementación / ejecución |  |

|  |  |
| --- | --- |
| Evaluación de resultados | Calificación |
| Relevancia | (Puntaje del 1 al 6) |
| Eficacia |  |
| Eficiencia |  |
| Calificación general del resultado del proyecto |  |
| Sostenibilidad | Calificación |
| Financiera | (Puntaje del 1 al 4) |
| Socio-política/económica |  |
| Marco institucional y gobernanza |  |
| Ambiental |  |
| Probabilidad general de sostenibilidad |  |

La escala de calificación es como sigue:

Las categorías de Resultados, Efectividad, Eficiencia, Monitoreo & Evaluación, Implementación & Ejecución y Relevancia se califican en una escala de calificación de 6 puntos, donde: 6 = Muy satisfactorio (MS), 5 = Satisfactorio (S), 4 = Moderadamente satisfactorio (MS), 3 = Moderadamente insatisfactorio (MI), 2 = Insatisfactorio (I), 1 = Muy insatisfactorio (MI). La sostenibilidad se califica en una escala de 4 puntos, donde: 4 = Probable (P), 3 = Moderadamente probable (MP), 2 = Moderadamente improbable (MI), 1 = Improbable (I).

1. **Plazo del servicio**

La duración total del ET será de 60 **días calendario**, contados a partir del día siguiente a la firma del contrato. El cronograma tentativo de la ET es el siguiente:

**Tabla 3. Cronograma provisional de ejecución del ET**

|  |  |
| --- | --- |
| **PERIODO DE EJECUCIÓN** | **ACTIVIDAD** |
| *A 1 día de la firma de contrato* | Entrega de documentación del proyecto al/la evaluador/a |
| *A los 7 días de firma del contrato* | Presentación del Informe de Iniciación de la ET |
| *A los 10 días de la firma de contrato* | Finalización y validación del Informe de Iniciación de la ET |
| *A los 16 días de la firma del contrato* | Inicio Misión de la ET: entrevistas con las partes interesadas del proyecto, en base a un cronograma de 15 días de duración como máximo, elaborado en coordinación con el equipo del proyecto y del PNUD |
| *A los 30 días de la firma del contrato* | Reunión de recapitulación de la misión y presentación de los hallazgos iniciales, con PNUD, Bolivia y Regional, la Unidad de Gestión del Proyecto, las Direcciones Nacionales de Bolivia y actores clave |
| *A los 40 días de la firma del contrato* | Presentación del borrador del informe de la ET incluidos Anexos *(de acuerdo con la plantilla de contenidos en el* ***Anexo C*** *de los TDR)* vía electrónica |
| *A los 45 días de la firma del contrato* | Circulación del borrador del informe de la ET para comentarios de los interesados |
| *A los 50 días de la firma del contrato* | Preparación y emisión de la respuesta por parte de la Dirección Nacional  del proyecto |

|  |  |
| --- | --- |
| *A los 60 días de la firma del contrato* | Incorporación de comentarios sobre el borrador del informe de la ET en el  rastro de auditoría y finalización del informe de la ET (en inglés y español) |
| *A los 60 días de la firma del contrato* | Fecha prevista de finalización de la ET completa |
| *En función a la fecha que se coordine con el Consejo Directivo del Proyecto y PNUD.* | Reunión de presentación de Informe Final de la ET |

1. **Productos**

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

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **No.** | **Producto** | **Descripción** | **Plazo** | **Responsabilidades** |
| 1 | Informe de Iniciación | El/la consultor/a de la ET detalla los objetivos, la metodología y el calendario de la ET | A los **7 días** calendarios de iniciado el servicio de consultoría y una vez realizada la revisión de la documentación | El/la consultor/a lo presenta al PNUD Bolivia, a la Dirección Nacional del Proyecto, a la Unidad de Implementación y demás partes interesadas del proyecto. |
| 2 | Presentación de Resultados Iniciales | El/la consultor/a presenta los Hallazgos y conclusiones Iniciales de la ET | **A los 30 días** calendarios de iniciado el servicio de consultoría y una vez finalizada la misión de la ET | El/la consultor/a lo presenta al PNUD Bolivia y Regional), la Dirección Nacional del Proyecto, la Unidad de Implementación y demás partes interesadas del proyecto. |
| 3 | Borrador Informe Final | Borrador Informe Final completo con anexos *(de acuerdo con la*  *plantilla de contenidos en el Anexo C de los TDR) de la ET* | A los **40 días** calendario de iniciado el servicio de consultoría | El/la consultor/a lo presenta al PNUD Bolivia, la Dirección Nacional, el/la Asesor/a Técnico/a Regional PNUD-GEF, equipo del proyecto, Punto Focal Operativo GEF y las demás partes interesadas del proyecto. |
| 4 | Informe Final\* + Rastro de Auditoría | Informe final completo con anexos revisado incluyendo el Rastro de Auditoría donde se detalla cómo la evaluación ha abordado (o no) en el informe todos los comentarios recibidos por parte de los socios y/o actores claves del proyecto (incluida versión en inglés y español) *(Ver plantilla en el Anexo C de*  *los TDRS)* | A los **60 días** calendario de iniciado el servicio de consultoría y una vez recibidos los comentarios sobre el borrador de la ET | El/la consultor/a lo presenta al PNUD Bolivia; la Dirección Nacional, el/la Asesor/a Técnico/a Regional PNUD-GEF, equipo del proyecto, Punto Focal Operativo GEF y las demás partes interesadas del proyecto. |

\*La calidad de todos los informes finales de la ET será evaluada por la Oficina de Evaluación Independiente del PNUD (OEI). Los detalles de la evaluación de la calidad de las evaluaciones descentralizadas de la OEI se pueden encontrar en la Sección 6 de las Directrices de evaluación del PNUD.2

1. **Forma de Pago**

Los pagos se realizarán vía transferencia bancaria, a la cuenta del titular del contrato, dentro de los 10 días calendarios siguientes a la recepción de la conformidad por parte de la Unidad Adjudicadora (Oficina PNUD Bolivia) previa entrega del recibo por honorario, factura o documento que haga su vez en su país de origen, Certificado de Pago, de acuerdo con el siguiente cronograma:

|  |  |  |
| --- | --- | --- |
| **Producto** | **Pago** | **Condición de Pago** |
| Primer Producto | 20% | A la conformidad del Informe inicial de la ET |
| Segundo Producto | No afecto a pago | Presentación de primeros hallazgos |
| Tercer Producto | 40% | A la aprobación del borrador de informe de la ET |
| Cuarto Producto | 40% | A la aprobación del informe final de la ET en versión inglés y español |

En caso de existir observaciones a los informes presentados, el plazo se contabilizará a partir del levantamiento de estas. El/la consultor/a deberá levantar las observaciones en un plazo no mayor de 5 días calendarios.

Criterios para emitir el pago final del 40%:

* El informe final de la ET incluye todos los requisitos descritos en los TDR y está de acuerdo con la guía de la ET.
* El informe final de la ET está claramente escrito, organizado de forma lógica y es específico para este proyecto (es decir, no se ha cortado ni pegado el texto de otros informes de ET).
* Aprobación del informe final por parte de la Unidad Adjudicadora y el Asesor Técnico Regional PNUD -GEF
* Presentación de los hallazgos y conclusiones a la Unidad Adjudicadora y otras partes interesadas.
* El Rastro de Auditoría incluye respuestas y justificación para cada comentario enumerado.

1. **Arreglos para la ET**

La responsabilidad principal en la gestión de la presente Evaluación Terminal (ET) corresponde a la Unidad Adjudicadora de este proyecto que es la Oficina PNUD Bolivia, la misma que está conformada por el Representante Residente Adjunto, la Unidad de Programas, Operaciones y M&E. La Unidad Adjudicadora contratará al/la consultor/a, asegurará el suministro oportuno del paquete de información del proyecto y garantizará el pago oportuno de los productos entregados, previa conformidad. La Unidad Adjudicadora verificará los productos entregados por el/la consultor/a de manera que se garantice la calidad requerida y el cumplimiento de la ***Guía para la Conducción de las Evaluaciones Terminales de Proyectos Apoyados por el PNUD y financiados por el GEF***”.

La Unidad Adjudicadora, con el apoyo del equipo del proyecto, deberá preparar y proporcionar al/la evaluador/a una lista actualizada de las partes interesadas del proyecto con los datos de contacto (teléfono y correo electrónico). Asimismo, la Unidad Adjudicadora, con el apoyo del proyecto, será responsable de mantenerse en contacto con el/la evaluador/a para organizar entrevistas con las partes interesadas, elaborando un cronograma, para lo cual se deberá considerar medidas ante el COVID-19, como el uso de herramientas tecnológicas y entrevistas virtuales.

Frente al contexto COVID, el/la consultor/a deberá presentar una propuesta de adaptación de la metodología según corresponda, considerando restricciones de viajes, orientación de seguridad, reuniones virtuales, entre otros, en caso sea requerido sea requerido. Dicha propuesta, además de cualquier limitación que se enfrente durante el proceso de la ET, deberá detallarse en el informe inicial de la ET, así como en el informe final.

Detrás de la “Guía para realizar evaluaciones finales de proyectos financiados por el FMAM y respaldados por el PNUD” hay un principio de “no hacer daño” y una consideración de que la seguridad del personal, consultores, partes interesadas y comunidades es primordial y la principal preocupación de todos al planificar e implementar evaluaciones durante la crisis de COVID-19.

Cabe precisar, que en caso aplique, la organización, difusión de invitaciones y materiales (logística y costos de materiales), los costos relacionados a coffee break, salas para las reuniones, los costos de traslados locales; los costos de traslados de la ciudad de Riberalta hacia las comunidades consideradas en la misión serán asumidos por el proyecto en coordinación con el/la Evaluador/a.

1. **Perfil característico de la(s) persona(s) Naturales a contratar**

El/la evaluador/a será responsable del diseño general y redacción del informe de la ET, evaluará las tendencias emergentes con respecto a los marcos regulatorios, las asignaciones presupuestarias, el desarrollo de capacidades, y asimismo trabajará con el Equipo del Proyecto en el desarrollo del itinerario de la ET.

El/la evaluador/a no puede haber participado en la preparación, formulación y / o implementación del proyecto (incluida la redacción del documento del proyecto), ni haber llevado a cabo la evaluación de medio término (MTR) de este proyecto; tampoco debe tener conflicto de intereses con los actores relacionados con el proyecto.

El/la Evaluador/a estará sujeto a los más altos estándares éticos y debe firmar un código de conducta al aceptar la asignación (ver Anexo I). Esta evaluación se llevará a cabo de acuerdo con los principios descritos en las "Directrices éticas para la evaluación" del UNEG. El/la evaluador/a debe salvaguardar los derechos y la confidencialidad de los proveedores de información, los entrevistados y las partes interesadas a través de medidas para garantizar el cumplimiento de los códigos legales y otros códigos relevantes que rigen la recopilación de datos y la presentación de informes sobre datos. El/la evaluador/a también debe garantizar la seguridad de la información recopilada antes y después de la evaluación y los protocolos para garantizar el anonimato y la confidencialidad de las fuentes de información cuando se espere. El conocimiento de la información y los datos recopilados en el proceso de evaluación también deben utilizarse únicamente para la evaluación y no para otros usos sin la autorización expresa del PNUD y sus socios.

En ese sentido, el/la Evaluador(a) firmará el Formulario del Acuerdo del Código de Conducta del Consultor de Evaluación3 **(Anexo I).**

**Formación Académica**

* Tener estudios de 4to nivel (Maestría o Doctorado) en manejo de recursos naturales, desarrollo sostenible, medio ambiente, ciencias, ingenierías, economía u otro campo afín.
* Deseable especialización, curso, seminario relacionado a: gestión y/o gobernanza de recursos del bosque, enfoque de paisaje sostenible, gestión integral de los bosques por pueblos indígenas, sistemas de vida, género, manejo de ecosistemas amazónicos, entre otros.

Fluidez del español e inglés escrito y hablado. **Experiencia Profesional**

* Al menos 7 años de experiencia en la formulación, monitoreo, asesoría, asistencia técnica y/o implementación de proyectos o programas relacionados a biodiversidad, gestión de la calidad ambiental, conservación de ecosistemas amazónicos. Se valorará experiencia con poblaciones indígenas amazónicas.
* Experiencia liderando al menos tres evaluaciones realizadas en proyectos o programas vinculados a cualquiera de los siguientes temas, conservación de la biodiversidad y/o resiliencia, gestión sustentable de ecosistemas de bosque, gestión de bosques por pueblos indígenas, gestión de bosques amazónicos.
* Experiencia de al menos dos evaluaciones de proyectos financiados por el GEF. Se valorará si alguno de los proyectos fue implementado por el PNUD.
* Deseable experiencia en la aplicación de indicadores SMART, ya sea en el marco del diseño, implementación y/o monitoreo de proyectos, así como en la reconstrucción o validación de escenarios iniciales (baseline scenarios).
* Deseable experiencia en evaluaciones y análisis sensibles a la interculturalidad y género.

Se requiere que el/la candidato/a seleccionado/a tenga disponibilidad inmediata para realizar la consultoría.

**Anexos**

Se adjunta los siguientes anexos:

* TDR Anexo A: Marco de resultados del proyecto
* TDR Anexo B: Documentación a ser revisada por el/la consultor/a
* TDR Anexo C: Contenido del informe de la ET
* TDR Anexo D: Formato de Matriz de Criterios de Evaluación
* TDR Anexo E: Formato de Matriz de Progreso en el Logro de Resultados
* TDR Anexo F: Escala de Calificaciones de la ET
* TDR Anexo G: TE Rastro de Auditoría
* TDR Anexo H: Tabla de Cofinanciamiento
* TDR Anexo I: Código de Conducta UNEG
* TDR Anexo J: Formulario de Aprobación del Informe de la ET

2 Access at: <http://web.undp.org/evaluation/guideline/section-6.shtml>

1. Código de Conducta de la UNEG para Evaluación en el sistema de las Naciones Unidas: [www.unevaluation.org/unegcodeofconduct](http://www.unevaluation.org/unegcodeofconduct)

ANNEX C. Itinerary of field mission and list of interviewees

Only interviews and visits done for the reviewed complementary TE.

**Face-to-face interview:**  V**irtual interview**:  **Not done / no answer:**

**Kick-off meeting:** 05/01/2024

**Field trip visit:** 12-16 /12/2024

**Virtual interviews:**  05-29 /02/2024

**Preliminary Findings submission**: 08/mar/2024

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Nr.. | Name | Position | Email | Phone Nr. |
|  | Angélica Ponce | Directora Ejecutiva de la APMT | [angelica.ponce@madretierra.gob.bo](mailto:angelica.ponce@madretierra.gob.bo) | 591-687-51146 |
| 1  2 | Lizeth Samo Calle y  Frederick Choque (Profesional II en Forestería – Manejo Sustentable de Bosques) | Directora del Mecanismo Conjunto de Mitigación y Adaptación | [lizeth.samo@madretierra.gob.bo](mailto:lizeth.samo@madretierra.gob.bo) | 591-777-42469 |
| 3 | Osvaldo Limachi | Director del Mecanismo Conjunto de Mitación | [osvaldo.limachi@madretierra.gob.bo](mailto:osvaldo.limachi@madretierra.gob.bo)  [osvaldolimachi@gmail.com](mailto:osvaldolimachi@gmail.com) | 591-712-14122 |
| 4 | Juan Carlos Torrico | Ex Director del Mecanismo Conjunto de Mitigación y Adaptación | [torrico@web.de](mailto:torrico@web.de) | 591-719-76066 |
| 5 | Eva Rivero | Independiente | [evamariarivero@gmail.com](mailto:evamariarivero@gmail.com) | 591-770-71959 |
|  | Edson Apaza | DG de Seguimiento y Coordinación del VM de Planificación y Coordinación. PFO ante el GEF | [edson.apaza@planificación.gob.bo](mailto:edson.apaza@planificación.gob.bo) | 591-671-17055 |
| 6 | Gabriela Monje Bernal | Responsable de la DG de Seguimiento y Coordinación del VM de Planificación y Coordinación | [julia.monje@planificación.gob.bo](mailto:julia.monje@planificación.gob.bo) | 591-765-61319 |
| 7 | Nicolayeb Brun | Coordinador del Proyecto | [nicobrunster@gmail.com](mailto:nicobrunster@gmail.com) | 591-786-50773 |
| 8 | Roxana Salas | Técnico especialista gobernanza y derechos de pueblos indígenas | [roxanasalasp@gmail.com](mailto:roxanasalasp@gmail.com) | 591-711-27909 |
| 9 | Moisés Velásquez | Asistente técnico para el establecimiento de plantaciones SAF y manejo de bosques | [amazoniav510@gmail.com](mailto:amazoniav510@gmail.com) | 591-739-69909 |
| 10 | Anderson Parada | Técnico Logística Tacana Cavineños | [andersonparadapereira@gmail.com](mailto:andersonparadapereira@gmail.com) | 591-739-62408 |
|  | Willy Chávez | Técnico Logística TIM II | [willychavezruelas@gmail.com](mailto:willychavezruelas@gmail.com) | 591-728-15310 |
|  | Alberto Ortiz Aviana | Asistente técnico TIOC Chácobo Pacahuara | [albertoortiztabi@gmail.com](mailto:albertoortiztabi@gmail.com) | 591-739-16601 |
| 11 | Kelly Rodríguez | Seguimiento Técnico a la Gestión de Recursos del Proyecto | [kelicytara14582@hotmail.com](mailto:kelicytara14582@hotmail.com) | 591-758-96971 |
|  | Alan Vaca | Técnico 1 en asistencia técnica manejo de los SAF Sucesionales y manejo de fuentes de agua | [alvac\_roc@hotmail.com](mailto:alvac_roc@hotmail.com) | 591-762-15377 |
|  | Marco Antonio Suárez Ruiz | Comunicación y sistematización de información del Proyecto | [suarez.140275@gmail.com](mailto:suarez.140275@gmail.com) | 591-711-38751 |
| 12 | Eloy Cartagena | Presidente de la CIRABO | [eloycartagena19@gmail.com](mailto:eloycartagena19@gmail.com) | 591-730-29267 |
|  | Sandro Vaca Cartagena | Capitán de la TIOC Cavineños de la Amazonia | [sandrovacacartagena24@gmail.com](mailto:sandrovacacartagena24@gmail.com) | 591-672-87198 |
| 13 | Marco Ortiz Álvarez | Capitán de la TIOC Chácobo Pacahuara | [maroortizalvarez6@gmail.com](mailto:maroortizalvarez6@gmail.com) | 591-747-54375 |
| 14 | Lorenzo Ortiz Chao | Capitán de la TIOC Tacana Cavineños | [lorenzoortizchao30@gmail.com](mailto:lorenzoortizchao30@gmail.com) | 591-739-66819 |
| 15 | Lucio Ayala Siripi | Presidente del TIM II |  | 591-678-48117 |
| 16 | Jasivia Gonzáles | Jefa Nacional de Conservación de Bosques y Tierras - ABT | [Jasivia.gonzales.bio@gmail.com](mailto:Jasivia.gonzales.bio@gmail.com)  [jgonzales@abt.gob.bo](mailto:jgonzales@abt.gob.bo) | 591-715-91580 |
| 17 | Eva Rivero | Independiente | [evamariarivero@gmail.com](mailto:evamariarivero@gmail.com) | 591-770-71959 |
| 18 | Juan Carlos Tadeo Camacho | Experto formador en transformación de alimentos  ITSA | [jccgamarra@gmail.com](mailto:jccgamarra@gmail.com) | 591-778-09060 |
|  | Juan Carlos Ribera | Rector del ITSA | [jcriberac@gmail.com](mailto:jcriberac@gmail.com) | 591-726-49743 |
|  | Ciriaco Rodríguez Vásquez | Alcalde de Riberalta | [ciriacorodriguez414@gmail.com](mailto:ciriacorodriguez414@gmail.com) | 591-774-60637 |
| 19 | Ana María Núñez | Regional Technical Advisor | [anamaria.nunez@undp.org](mailto:anamaria.nunez@undp.org) | 593-995-006730 |
| 20 | Dennis Funes | Rep. Res Adjunto  PNUD - Bolivia |  |  |
| 21 | Virginia Tapia | Asociada Programas PNUD – Bolivia | [virginia.tapia@undp.org](mailto:virginia.tapia@undp.org) | 591-762-00953 |
| 22 | Rocío Chaín | Oficial de Programas PNUC-Bolivia | [rocio.chain@undp.org](mailto:rocio.chain@undp.org) | 591-720-07277 |

ANNEX D. List of documents revised

The following technical and operational documents have been obtained by UNDP and the Project team for TE purposes and have been consulted and analyzed by the evaluator:

- Project PIF

- UNDP Project Initiation Plan (PPG)

- UNDP-GEF ProDoc signed with Annexes

- Mid-Term Review (MTR) report by consultant M. Onestini, and management response to the MTR Recommendations.

- Preliminary TE Report (discontinued) by consultant E. Quiroga.

- UNDP Social and Environmental Assessment (SESP).

- Annual Project Implementation Reports (PIR) Years 2019, 2020, 2021, 2022, and 2023

- Progress reports (quarterly, semi-annual or annual, with work plans and financial reports.

- Minutes of the Board of Directors

- Tracking Tools GEF 5 (updated)

- Financial data, including expenditures per result and management costs and reviews.

- Socio-economic monitoring data (average income/employment levels of stakeholders in the target area; changes in income related to project activities).

- Table of committed co-financing

- Electronic copies of Project outputs (brochures, manuals, reports, articles)

- Country Program Document

- Samples of the Project's communication products

- UNDAF Program "Para Vivir Bien".

- List of related projects / initiatives contributing to Project objectives

- Map of intervention areas (TIOC)

- List and contact details of project staff, key project stakeholders, including members of the Project Board, RTA, Project Team members and other partners to be consulted

- Project Coordinator's Project closing presentation (PPT) to the Steering Committee in Riberalta (Nov. 2023).

ANNEX E. Matrix of evaluation questions

| **Evaluation Criteria Questions** | **Indicators** | **Sources** | **Data collection method** |
| --- | --- | --- | --- |
| **Relevance**: **How does the Project relate to the main objectives of the GEF focal area and to local, regional and national environment and development priorities?** | | | |
| How does the Project support national environmental priorities and development? | There is a tangible contribution of the Project to the policies and regulations of the State. | * Framework Law of Mother Earth and Integral Development for Living Well. * State Standards and Mechanisms Climate Change Mitigation and Adaptation. * Integrated and Sustainable Management of Forests (ISFM) * Social Oversight and Control of Forests and Lands | Document analysis. Interviews with project staff and stakeholders. Visits to intervention areas. |
| To what extent has the Project been aligned with the UNDP Strategic Plan, the CDP, the United Nations Sustainable Development Cooperation Framework (UNSDCF), SDGs, and UNSRID, among others? | Level of coherence  between project objective and results frameworks: with UNDAF, UNSRID, CPD, UNSDCF and GEF strategic programming. | * UNDP and GEF Strategy Papers * UNDP Officers * UNDP-GEF Regional Technical Advisor | Document analysis. Interviews with project staff and stakeholders. Visits to the intervention areas, if the energy, climatic and epidemiological situation allows it. |
| To what extent did the Project address the needs and interests of all specific and relevant stakeholder groups? | Level of linkage between needs and interests of all specific and/or relevant stakeholder groups and those of the project. | * ProDoc * Project Initiation Report * Participants in the design * Implementing partner and key project stakeholders | Document analysis. Interviews with project staff and stakeholders. Visit to intervention areas (TIOC). |
| Does the Project generate relevant lessons and experiences for future similar projects? | Level of systematization of lessons learned.  Degree to which key stakeholders are aware of lessons learned. | * Project Documentation * Periodic reports, PIR * Key players in the execution. * CLA | Documentation analysis, data analysis, interviews  Coordination with CLA |
| **Effectiveness: To what extent have the expected results and objectives of the Project been achieved?** | | | |
| What is the behavior and what is the progress in qualitative terms of the Project Objective indicators? Did the project achieve its objective? | Review of adjustments to the Logical Framework based on MTR recommendations.  Compliance with the revised target indicators at the end of the project. | * ProDoc, * MTR * ML adjustment consulting * PIR, TE antecedent. | Document analysis. Interviews with project staff and stakeholders. Visit to intervention areas. |
| Were the activities in each Project Component carried out in accordance with their design and expected scope at mid-term and at the end of the Project? | The Performance Indicators expected so far in each component, according to the revised Logical Framework Matrix (LFM), are achieved. . | * Project Document. * Theory of Change * Annual Operating Plans * PIR * Relevant consultancies. | Document analysis. Interviews with Project staff and interested arts. Visits to intervention areas. |
| What are the key factors that contribute to the success or failure of the Project? | Quality level of documentation and preparation for products, assumptions and impact activities | * Project Documentation  Periodic reports, PIR * Key players | Documentation analysis, data analysis, interviews |
| What are the main remaining risks and barriers to achieving the Project's objective and generating global environmental benefits? | Presence, evaluation and preparation to mitigate risks, assumptions and expected impact factors.  Effective exit strategy leading to sustainability. | * Project documents * Project Team * Project Stakeholders | Documentation analysis, data analysis, interviews |
| To what extent are the key assumptions and impact drivers relevant to achieving global environmental benefits? | Actions taken to address key assumptions and target impact drivers. | * Project Documentation * Periodic reports, PIR * Key players. | Documentation analysis, data analysis, interviews. |
| **Efficiency: Was the Project implemented efficiently, in accordance with  international and national norms and standards?** | | | |
| Have the financial resources been used efficiently and is the financial management of the project adequate? | Difference between planned and executed budget.  Planned vs. actual co-financing. Costs related to the results achieved compared to the costs of similar projects of other initiatives.  Analysis of effectiveness in the preceding TE exercises. | * Project financial reports. * Budget execution analysis reports and adjustments made by the PIU and UNDP. * Annual operating plans * Draft ET background report and closing presentation to the PDC. * UNDP CO * Stakeholders involved. | Document analysis. Interviews with project staff and stakeholders. Visits to intervention areas, if the energy and epidemiological situation permits. |
| Does the Project have an M&E System, which it uses to complete, document and assure the activities of its Components and Results? | M&E system available and updated. | * Documents prepared by the project team. | Document analysis and implementation activities |
| Have the activities programmed in each Component been documented to facilitate follow-up? | Planned activities by Component / year of project execution. | * Annual operating plans * PIR | Document analysis. Interviews with project personnel and stakeholders... |
| Have the tasks programmed in the Project's Annual Operating Plans (AOP) been fulfilled and documented in each of the Project's Components, so that they point to the expected results at the end of the Project? | Number of activities programmed/completed according to the AOP in the period evaluated. | * ProDoc * PIR * PDC meeting minutes * Annual operating plans Progress report * EMT Report and Recommendations * Budget revisions. | Document analysis. Interviews with project staff and stakeholders... |
| Do national stakeholders continue to play an active role in Project decision making that supports efficient and effective implementation? | Level of stakeholder participation in decision making. | * Project Document. * Inquiries to interested parties. | Analysis of documents and interviews with key personnel. |
| What has been the cash contribution and in-kind co-financing for the  implementation of the Project? | % of cash and in-kind co-financing execution vs.  expected level | * Project Documents * PIU * UNDP | Documentation analysis, data analysis, interviews |
| Have expenditures been made in accordance with international norms and standards? | Cost of project inputs and outputs in relation to norms and standards for donor projects in the country or region. | * Project Documents * PIU * UNDP | Analysis of documentation, interviews. |
| **Results:** | | | |
| Have the planned outputs been achieved and have they contributed to the project's outcomes and objectives? | Level of progress of the indicators reviewed and of the Project's outputs in relation to those expected.  Level of logical linkage between project outputs and expected outcomes/impacts | * Project Documents * UIP . * Key Project Stakeholders * Periodic and final reports * PIR | Documentation analysis, data analysis, interviews |
| Were they achieved or are they likely to be achieved? Have they contributed or are they likely to contribute to the achievement of the project objectives? | Level of progress of the indicators of the project objectives and results in relation to the expected ones.  Level of logical linkage between project results and expected impacts. | * Project documents * PIU * Key Project Stakeholders * PIR | Documentation analysis, data analysis, interviews |
| Are the impact level outcomes likely to be achieved, and are they likely to be of sufficient scale to be considered global environmental benefits? | Environmental indicators  Level of progress of the Theory of Change | * Project Documents * PIU * Key players * Periodic reports and PIR. | Documentation analysis, data analysis, interviews |
| **Sustainability**: **To what extent are there financial, institutional, socio-political and/or environmental risks to sustain project results in the long term?** | | | |
| To what extent are Project results likely to be dependent on continued financial support? What is the likelihood that financial resources will be available once GEF assistance ends to support continued benefits? | Financial requirements for the maintenance of Project benefits.  Level of expected financial resources available to sustain the benefits of the Project.  Potential to leverage additional financial resources to maintain and/or provide continuity to project beneficiaries. | * Project Documents. * Project Team. * UNDP-CO * Key players | Documentation analysis, interviews with project team and stakeholders, among others. |
| Are stakeholders likely to have or achieve an adequate level of "ownership" of the results and is there a commitment and interest in ensuring that the benefits of the Project are sustained? | Level of initiative and involvement of  relevant stakeholders  in project activities and results. | * Project Documents * Project Team. * Key players. | Documentation analysis and interviews. |
| In relation to the commitments assumed by the counterparts: What is the level of commitment assumed by each of the beneficiary counterparts at the end of the Project based on the results achieved? | Level of commitment of the project counterparts | * Project documents. * Project Team * Key Project Stakeholders | Analysis of documentation, interviews |
| To what extent do the results of the Project depend on socio-political factors? | Existence of socio-political risks for benefit projects | * Project Documents. * Project Team. * Key players | Analysis of documentation, interviews |
| To what extent does the outcome of the project depend on institutional frameworks and governance issues? | Existence of institutional and governance risks to  project benefits | * Project Documents. * Project Team. * Key players | Documentation analysis, interviews |
| Are there environmental risks that could undermine the future flow of Project impacts and overall environmental benefits? | Presence of environmental risks to the benefits of the Project. | * Project Documents. * Project Team. * Key players | Documentation analysis, interviews |
| Do the relevant stakeholders have the technical capacity to ensure that the benefits of the Project are maintained? | Level of technical capacity of relevant stakeholders relative to the level required to maintain the benefits of the Project. | * Project Documents. * UIP . * Key players * Available capacity evaluations | Documentation analysis, interviews |
| What are the most important challenges that could hinder the sustainability of project results? | Presence of challenges that may affect the sustainability of the results. | * Project Documentation * Project Team * Key players | Documentation analysis, interviews |
| **Gender equality and women's empowerment:  How did the project contribute to gender equality and women's empowerment?** | | | |
| To what extent did the project contribute to gender equality, women's empowerment and to what extent were these approaches incorporated into the project? | Level of progress in national and local policies and action plans on gender.  Level of progress on gender-related targets in the project's results framework. | * ProDoc * Project Initiation Report * Analogous experience reports * Key players * Periodic reports and PIR. | Analysis of documentation interviews |
| What role have women played in the implementation of the Project and has this role been differentiated between men and women? | Level of role differentiation in the participation of men and women in the activities and benefits of the Project. | * Follow-up reports from the relevant State institutions. * Project performance reports. | Document analysis. Interviews with project staff and stakeholders. |
| **Impact:**  **Is there evidence that the project has contributed or enabled progress towards reducing  environmental stress and improving ecological status?** | | | |
| How does the Project contribute to the improvement of connectivity between landscapes and the quality of life of the communities? | Actions implemented by the Project that contribute to the improvement of the environmental quality of the ecosystems and the well-being of the communities. | * Project performance reports. | Document analysis. Interviews with project staff and stakeholders. |
| To what extent did the Project contribute to the country program outcomes, the SDGs, the UNDP Strategic Plan and the GEF strategic priorities? | Level of contribution of project results to the country program, SDGs, UNDP Strategic Plan, GEF strategic priorities and national priority development. | * Review of  GEF and UNDP strategic documents * Interviews with UNDP Officials * Periodic reports and PIR. | Analysis of documentation and interviews |
| Did the Project contribute to the reduction of environmental stress and climate change impacts (e.g., GHG emissions reduction and adaptation)? | Level of environmental stress reduction (GHG emission reductions) attributable to the project  Adaptation measures included in the activities | * Project Documentation. * Implementing partner, UNDP and UNDP-GEF RTA officers. * Key players. * Periodic reports and PIR. | Documentation analysis, data analysis, interviews |
| Since the Project, has there been any contribution to changes in policy/legal/regulatory frameworks, including observed changes in capacities (awareness, knowledge, skills, infrastructure, monitoring systems, etc.), and governance architecture, including access to and use of information (laws, confidence building and conflict resolution bodies, information sharing systems, etc.)? | Extent of changes in policy/legal/regulatory frameworks attributable to the Project. | Project Documentation.  - Implementing partner,  UNDP officers  and  UNDP-GEF Regional TA  Advisor and  key stakeholders. Periodic reports and PIR. | Documentation analysis, data analysis, interviews |
| **COVID 19: How has the Covid-19 pandemic affected the technical and financial implementation of the project, what management measures were adopted and how effective were they?** | | | |
| To what extent is the Project affected in its technical and operational implementation due to Covid-19? What adaptive management measures were adopted and what is the effectiveness of these measures? | Activities not developed or limited by Component during the Covid-19 period. | * ProDoc and annual operating plans. * Performance reports... * Steering Committee Minutes. * Stakeholders involved. | Document analysis. Interviews with project staff and stakeholders. |

ANNEX F. Interview Questionnaire

* A: Questionnaire to UNDP officials involved in the Project
* B: Project Team Questionnaire (PIU)
* C: Questionnaire to Steering Committee (CDP) members
* D: Questionnaire to central and sectoral government officials linked to the problems  
   of Project implementation
* E: Questionnaire for other stakeholders, direct and indirect beneficiaries

Guiding questions for the interviews conducted in the framework of the TE

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Interviewee Category** | | | | | **GUIDE QUESTIONS** |
| **A** | **B** | **C** | **D** | **E** | **Introduction and general opening questions** |
|  |  |  |  |  | [Introduction, thank you for your willingness; purpose of the interview and evaluation; name, contact and position of the interviewee].  [Confidentiality and treatment of the information provided; authorization to record the session or take notes].  [Duration of the interview and sequence of questions alternated by the interviewers]. |
|  |  |  |  |  | What is your current relationship, or your role and functions, with respect to the execution of the Project? |
|  |  |  |  |  | How familiar are you with the Project and its objectives? How much do you know about its design, formulation and implementation? |
| **On the design and formulation of the Project** | | | | | |
|  |  |  |  |  | Did you participate in the design of the Project and the formulation of the implementation strategy? |
|  |  |  |  |  | What do you think are the main strengths and advantages of the Project design? |
|  |  |  |  |  | Would you say that the Project has been designed on a participatory basis of the stakeholders and beneficiaries involved? Has gender been appropriately considered in the Project design? |
|  |  |  |  |  | If you could redesign the project, what changes would you make or what provisions would you include to improve its outcome? |
| **On the execution of the Project** | | | | | |
|  |  |  |  |  | Has it been necessary to make changes or amendments to the ProDoc, operational plans and budgets to adapt to unforeseen situations? |
|  |  |  |  |  | Do you feel that the Project has convened and worked with all relevant stakeholders? Do you feel that the Project has been understood and aroused the interest of stakeholders? |
|  |  |  |  |  | What monitoring and evaluation systems have been used to monitor project activities? What stakeholders have been involved in this process? |
|  |  |  |  |  | How do you perceive UNDP's support in the Project implementation process? |
|  |  |  |  |  | How do you perceive the role of the PDC members and the Project's technical team (PIU)? |
|  |  |  |  |  | To what extent has the Project been affected in its technical and operational implementation due to Covid 19? What measures were taken? |
| **On the results and impact of the Project** | | | | | |
| ***Relevance*** | | | | | |
|  |  |  |  |  | How does the Project support national and governmental policies? |
|  |  |  |  |  | How does the Project support the UNDP Country Programme and UNDAF? |
|  |  |  |  |  | How does the Project support the GEF Program? |
| ***Effectiveness*** | | | | | |
|  |  |  |  |  | How do you perceive the implementation of the Project to date, in terms of compliance with deadlines and activities? |
|  |  |  |  |  | What do you think have been the main barriers or bottlenecks in meeting the execution of the Project's expenditure and activities? |
|  |  |  |  |  | What is the final status in terms of expected outputs and outcomes? What problems or situations are pending or require corrective or adaptive action in the future? |
|  |  |  |  |  | How has the project contributed to gender equality and women's empowerment? |
| ***Efficiency*** | | | | | |
|  |  |  |  |  | How do you consider that human and financial resources have been managed in the implementation of the Project? |
|  |  |  |  |  | What have been the main administrative and budget execution contingencies and how have they been addressed? |
| ***Sustainability*** | | | | | |
|  |  |  |  |  | How do you perceive the sustainability of the results and impact of the Project? |
|  |  |  |  |  | What are the main risks to the continuity of the Project's actions? Are they linked to the Project's own activities and management, or are they external factors? |
|  |  |  |  |  | Are agents (individual, government or civil society) being involved who are able to promote the sustainability of the Project? |
|  |  |  |  |  | What changes or modifications do you estimate would be favorable to the sustainability of the Project, including legal, institutional, economic, environmental or social provisions in the short, medium and long term? |
|  |  |  |  |  | What lessons learned do you think are derived from the implementation of the Project to date? |

ANNEX G.  Cofinancing Table

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Entity** | **Type of co-financing** | **USD Confirmed amount at CEO signature** | **Mobilized Investment**  **USD** | **Cofinancing reported at June 2022** |
| DANIDA | Grant | 6,000,000 | Not available | 0 |
| GIZ *Programa Proindígena* | Grant | 500,000 | Not available | 0 |
| GIZ | Grant | 2,162,220 | Not available | 0 |
| FONABOSQUE | In Kind | 14,000,000 | Not available | 0 |
| UNDP | Grant | 387,746 | n.a. | 387,746 |
| *Viceministerio de Recursos Hidrológicos y Riego* | In Kind | 3,343,420 | Not available | 0 |
| **Total Cofinancing** | | **26,393,386** |  | |

Source: PIU records at June 2022, quoted by E Quiroga in preliminary TE..

ANNEX H. Rating scales for TE

**Monitoring & Evaluation Ratings Scale**

|  |  |  |  |
| --- | --- | --- | --- |
| Rating | Description | | |
| 6 = Highly Satisfactory (HS) | There were no short comings; quality design/implementation exceeded expectations | of | M&E |
| 5 = Satisfactory (S) | There were minor shortcomings; quality design/implementation met expectations | of | M&E |
| 4 = Moderately Satisfactory (MS) | There were moderate shortcomings; quality of M&E design/implementation more or less met expectations | | |
| 3 = Moderately Unsatisfactory (MU) | There were significant shortcomings; quality of M&E design/implementation was somewhat lower than expected | | |
| 2 = Unsatisfactory (U) | There were major shortcomings; quality of M&E  design/implementation was substantially lower than expected | | |
| 1 = Highly Unsatisfactory (HU) | There were severe shortcomings design/implementation | in | M&E |
| Unable to Assess (UA) | The available information does not allow an assessment of the quality of M&E design/implementation. | | |

**Implementation/Oversight and Execution Ratings Scale**

|  |  |
| --- | --- |
| Rating | Description |
| 6 = Highly Satisfactory (HS) | There were no shortcomings; quality of implementation/execution exceeded expectations |
| 5 = Satisfactory (S) | There were no or minor shortcomings; quality of implementation/execution met expectations. |
| 4 = Moderately Satisfactory (MS) | There were some shortcomings; quality of implementation/execution more or less met expectations. |
| 3 = Moderately Unsatisfactory (MU) | There were significant shortcomings; quality of implementation/execution was somewhat lower than expected |
| 2 = Unsatisfactory (U) | There were major shortcomings; quality of implementation/execution was substantially lower than  expected |
| 1 = Highly Unsatisfactory (HU) | There were severe shortcomings in quality of implementation/execution |
| Unable to Assess (UA) | The available information does not allow an assessment of the quality of implementation and execution |

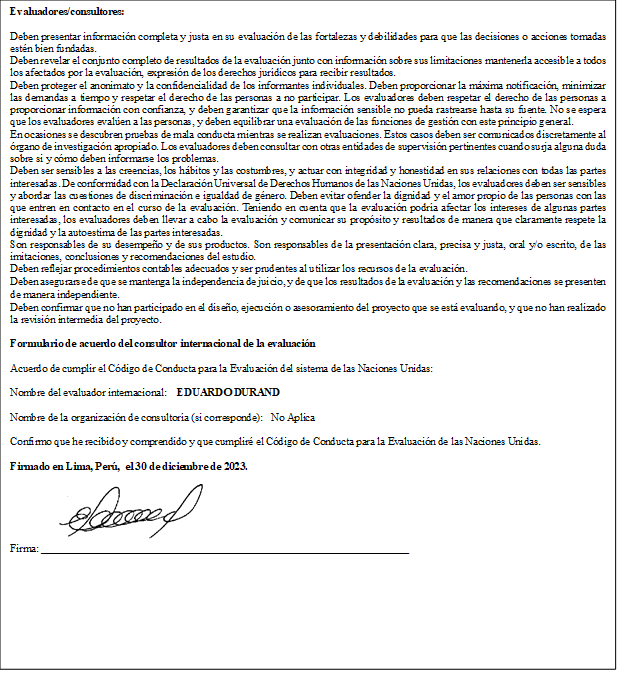
**Outcome Ratings Scale - Relevance, Effectiveness, Efficiency**

|  |  |
| --- | --- |
| Rating | Description |
| 6 = Highly Satisfactory (HS) | Level of outcomes achieved clearly exceeds expectations and/or there were no shortcomings |
| 5 = Satisfactory (S) | Level of outcomes achieved was as expected and/or there were no or minor shortcomings |
| 4 = Moderately Satisfactory (MS) | Level of outcomes achieved more or less as expected  and/or there were moderate shortcomings. |
| 3 = Moderately Unsatisfactory (MU) | Level of outcomes achieved somewhat lower than expected and/or there were significant shortcomings |
| 2 = Unsatisfactory (U) | Level of outcomes achieved substantially lower than expected and/or there were major shortcomings. |
| 1 = Highly Unsatisfactory (HU) | Only a negligible level of outcomes achieved and/or there were severe shortcomings |
| Unable to Assess (UA) | The available information does not allow an assessment of the level of outcome achievements |

**Sustainability Ratings Scale**

|  |  |
| --- | --- |
| Ratings | Description |
| 4 = Likely (L) | There are little or no risks to sustainability |
| 3 = Moderately Likely (ML) | There are moderate risks to sustainability |
| 2 = Moderately Unlikely (MU) | There are significant risks to sustainability |
| 1 = Unlikely (U) | There are severe risks to sustainability |
| Unable to Assess (UA) | Unable to assess the expected incidence and magnitude of risks to sustainability |

ANNEX J. Signed Form for UNEG Conduct Code (Spa)



1. Most acronyms and abbreviations in this document maintain their original Spanish form for better reference. [↑](#footnote-ref-1)
2. The acronym SMART refers to the desirable characteristics of the indicators: *Simple, Measurable*, *Achievable, Relevant*, and *Timebound*. [↑](#footnote-ref-2)
3. As stated by the consultant in charge of the preliminary TE in his report, in reference to the findings of the MTR. [↑](#footnote-ref-3)
4. Presentation of the Project to the PDC, 11/23/2023. [↑](#footnote-ref-4)
5. Evidence cited in this regard by consultant E. Quiroga in the preliminary TE. [↑](#footnote-ref-5)
6. The preliminary TE, by consultant E. Quiroga, presents a list of references in Annex 19 of his report. [↑](#footnote-ref-6)