Terminal Evaluation of the UNEP/GEF Project

"Conservation Agreement Private Partnership Platform"

(GEF ID 4259)

Evaluation Office of the United Nations Environment Programme

Distributed: September 2022

Photo Credit:
Front cover: Conservation International

This report has been prepared by external consultant evaluators and is a product of the Evaluation Office of UNEP. The findings and conclusions expressed herein do not necessarily reflect the views of Member States or the UN Environment Programme Senior Management.

For further information on this report, please contact:

Evaluation Office of UNEP
P. O. Box 30552-00100 GPO
Nairobi Kenya
Tel: (254-20) 762 3389
Email: unenvironment-evaluation-director@un.org
Website: https://www.unenvironment.org/about-un-environment/evaluation

Conservation Agreement Private Partnership Platform
GEF ID 4259
August/2022

ACKNOWLEDGEMENTS

This Terminal Evaluation was prepared for UNEP by Ines Freier and Clemencia Vela, as independent consultants.

The evaluators would like to express their gratitude to all persons met and who contributed to this evaluation, as listed in Annex 2.

The Evaluation Team would like to thank the project team and in particular Susanne Bech, UNEP Evaluation Manager, Mela Shah Evaluation Programme Assistant, Ersin Esen, UNEP Task Manager and Zachary Wells, Conservation International Programme Manager, for their contribution and collaboration throughout the evaluation process. Sincere appreciation is also expressed to the reviewers who took time to provide comments to the draft report.

The evaluation consultants hope that the findings, conclusions and recommendations will contribute to the continuous improvement of similar projects in other countries and regions.

BRIEF CONSULTANT BIOGRAPHY

Dr. Ines Freier has more than 15 years of experience in planning, implementing and evaluating environmental projects. Among the assignments have been the evaluation of projects using a theory of change approach. She has previous experience with evaluation of GEF projects and was a team member of an evaluation of private sector engagement in GEF projects conducted by the GEF Independent Evaluation Office. Methods of evaluation included literature reviews, personal and telephone interviews, e-mail questionnaires and visits to projects consulting beneficiaries of the project and advising to governments and stakeholders. Her working experience covers Eastern Europe, Latin America, and Asia. Several of the assignments focused on SME promotion and biodiversity conservation.

Ms. Clemencia Vela has an educational background in Environmental Sciences and Ecology and more than 30 years of experience in planning, implementation and evaluation of environmental projects. She has a long working experience evaluating GEF initiatives. For over 20 years, she has worked as an international independent evaluator for agencies such as AF, CAF, FAO, GCF, GEF, IADB, UNEP, UNDP, and the World Bank in most countries of Latin America and in other continents. She has been involved in different roles as both evaluator leader and team member for different types of evaluations; individual national, regional and global evaluations projects, thematic evaluations, and country portfolio evaluations.

Evaluation team
Dr. Ines Freier – Principal Evaluator
Clemencia Vela – Evaluation Specialist

Evaluation Office of UNEP
Susanne Bech – Evaluation Manager
Mela Shah – Evaluation Programme Assistant

ABOUT THE EVALUATION

Joint Evaluation: No

Report Language(s): English

Evaluation Type: Terminal Evaluation

Brief Description: This report is a Terminal Evaluation of the UNEP/GEF project 4259 “Conservation Agreements Private Partnership Platform (CAPPP)” being part of the Earth Fund funded GEF projects implemented between 2014 and 2020.The project's overall development goal was to demonstrate the potential for achieving biodiversity conservation and ecosystem service maintenance with private sector support using conservation agreements with local land- and resource-users. The evaluation sought to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, and the relevant agencies of the project participating countries.

Key words: Private Sector; conservation agreements; Ecosystem Management

Primary data collection period: October-November 2021

Field mission dates: Site visits were not possible due to the travel restrictions in place during the COVID-19 pandemic

TABLE OF CONTENTS

ACKNOWLEDGEMENTS **2**

ABOUT THE EVALUATION **3**

TABLE OF CONTENTS **4**

LIST OF TABLES **5**

LIST OF FIGURES **6**

LIST OF ACRONYMS **7**

PROJECT IDENTIFICATION TABLE **9**

EXECUTIVE SUMMARY **12**

I. INTRODUCTION **19**

II. EVALUATION METHODS **23**

III. THE PROJECT **26**

A. Context 26
B. Results framework 27
C. Stakeholders 28
D. Project implementation structure and partners 30
E. Changes in design during implementation 31
F. Project financing 31
G. Mid-term Review of Project 32

IV. THEORY OF CHANGE AT EVALUATION **34**

V. EVALUATION FINDINGS **43**

A. Strategic Relevance 43
B. Quality of Project Design 45
C. Nature of the External Context 47
D. Effectiveness 48
E. Financial Management 85
F. Efficiency 91
G. Monitoring and Reporting 92
H. Sustainability 95
I. Factors Affecting Performance and Cross-Cutting Issues 98

VI. CONCLUSIONS AND RECOMMENDATIONS **102**

A. Conclusions 102
B. Summary of project findings and ratings 105
C. Lessons learned 107
D. Recommendations 108

ANNEX I. RESPONSE TO STAKEHOLDER COMMENTS **110**

ANNEX II. PEOPLE CONSULTED DURING THE EVALUATION **112**

ANNEX III. KEY DOCUMENTS CONSULTED **114**

ANNEX IV. BRIEF CV OF THE EVALUATORS **126**

ANNEX V. EVALUATION TORS (WITHOUT ANNEXES) **128**

ANNEX VI. QUALITY ASSESSMENT OF THE EVALUATION REPORT **149**

ANNEX VII. EVALUATION MATRIX **154**

LIST OF TABLES

Table 1. Project Identification Table 9
Table 2. Summarized Rating Table 17
Table 3: CAPPP Budget at Design (for GEF funds) 31
Table 4: Co-financing According to Project Document 32
Table 5: Justification for Reformulation of Results Statements 36
Table 6: Overall Project Design Quality Score 47
Table 7: Overview of Type of Private Sector Engagement and Conservation Agreement 49
Table 8: Conservation Agreements per Country, Sub-Contractor and Area 51
Table 9: Environmental Outcomes in Sub-Project Bolivia 59
Table 10: Environmental Outcomes in Sub-Project Cambodia 62
Table 11: Environmental Outcomes in Sub-Project China 63
Table 12: Environmental Outcomes in Sub-Project Colombia 64
Table 13: Environmental Outcomes in Sub-Project Ethiopia 67
Table 14: Environmental Outcomes in Sub-Project Guatemala 67
Table 15: Environmental Outcomes in Sub-Project India 69
Table 16: Environmental Outcomes in Sub-Project Peru 70
Table 17: Environmental Outcomes in Sub-Project Namaqualand, South Africa 71
Table 18: Environmental Outcomes in Sub-Project Kruger to Canyons, South Africa 73
Table 19: CAPPP Project Contribution to SDGs at Country Level 85
Table 20: Expenditure per Outcome 86
Table 21: Expenditures per Budget Line 87
Table 22: Co-financing at the End of the Project in US$ 89
Table 23: Overview of CAPPP Financial Management Components, Information and Communication 89
Table 24: Summary of Project Findings and Ratings 105

LIST OF FIGURES

Figure 1: Organigram of the Project with key project key stakeholders..... **31**
Figure 2: Reconstructed Theory of Change..... **39**

LIST OF ACRONYMS

AF	Adaptation Fund
CA	Conservation Agreement
CAF	Development Bank of Latin America
CAPPP	Conservation Agreement Private Partnership Platform
CBD	Convention on Biological Diversity
CELB	Center for Environmental Leadership in Business
CI	Conservation International
CSP	Conservation Stewarts Program
CSR	Corporate Social Responsibility
EA	Expected Accomplishment
ECOAN	Asociación Ecosistemas Andinas
EOU	Evaluation Office of UNEP
FN	Fundación Natura
GCF	Green Climate Fund
GE	Green Economy
GEF	Global Environment Facility
GEI	Global Environmental Institute
IADB	Inter-American Development Bank
IUCN	International Union for Conservation of Nature
NTFP	Non-Timber Forest Products
M&E	Monitoring and Evaluation
MoU	Memorandum of Understanding
MTR	Mid Term Review
MTS	Mid-Term Strategy
MSME	Micro, Small and Medium Enterprises
NGO	Non-Governmental Organisation
NRM	Natural Resource Management
OECD-DAC	Organisation for Economic Cooperation and Development's Development Assistance Committee
OECM	Other Effective area-based Conservation Measure
PIF	Project Identification Form
PIR	Project Implementation Review
PES	Payment for Ecosystem Services
PoW	Programme of Work
PRC	Project Review Committee (internal UNEP committee that approves new projects)
ProDoc	Project Document (must be reviewed by PRC before any project can be undertaken, with the approval of the managing division director)
PSC	Project Steering Committee

RBM	Renminbi (Official currency of the People's Republic of China)
SD	Sustainable Development
SDG	Sustainable Development Goals
SMART	Specific, Measurable, Achievable, Relevant and Time Bound
SME	Small and medium enterprises
ToC	Theory of Change
ToR	Terms of Reference
TE	Terminal Evaluation
UNEP	United Nations Environment Programme
WCS	Wildlife Conservation Society

PROJECT IDENTIFICATION TABLE

Table 1. Project Identification Table

GEF Project ID:	4259		
Implementing Agency:	UNEP	**Executing Agency:**	Conservation International
Relevant SDG(s) and indicator(s):	15.1 – 15.1.1, 15.1.2 15.2 – 15.2.1 15.3 – 15.3.1 15.5 – 15.5.1 1.1 – 1.1.1 1.2 – 1.2.1		
GEF Core Indicator Targets (identify these for projects approved prior to GEF-7)	GEF4 BD-SP5 GEF 7 Target 4		
Sub-programme:	MTS 2014-2017: Ecosystem management MTS 2018-2021: Healthy and productive ecosystems	**Expected Accomplishment(s):**	MTS 2014-2018: EA (a) Production: Increased use is made of the ecosystem approach in countries, with a view to maintaining ecosystem services and the sustainable productivity of terrestrial and aquatic systems. MTS 2018-2021: EA (b) Policymakers in the public and private sectors test the inclusion of the health and productivity of ecosystems in economic decision-making.
UNEP approval date:	30 September 2014	**Programme of Work Output(s):**	PoW 2014-2015: SP3 Ecosystem Management: (a) Use of the ecosystem approach in countries to maintain ecosystem services and sustainable productivity of terrestrial and aquatic systems is increased. PoW 2016-2017: SP3 Ecosystem Management: (a) Use of the ecosystem approach in countries to maintain ecosystem services and sustainable productivity of terrestrial and aquatic systems is increased. PoW 2018-19: SP3 Healthy and productive ecosystems: a) The health and productivity of marine, freshwater and terrestrial ecosystems are institutionalized in education, monitoring and cross-sector and transboundary collaboration frameworks at the national and international levels.

GEF approval date:	3 April 2014	**Project type:**	Full-Size Project
GEF Operational Programme #:	SP 1: Promoting Sustainability of Protected Area Networks SP 2: Mainstreaming Biodiversity into Production Landscapes and Sectors	**Focal Area(s):**	Biodiversity
		GEF Strategic Priority:	BD-SP5 Fostering markets for biodiversity goods and services
***Expected* start date:**	30 September 2014	**Actual start date:**	30 September 2014
***Planned* completion date:**	February 2019	**Actual operational completion date:**	30 June 2020
***Planned* project budget at approval:**	$20,000,000	**Actual total expenditures reported as of 30 June 2020:**	$20,929,616
GEF grant allocation:	$5,000,000	**GEF grant expenditures reported as of 30 June 2020:**	$4,880,118
Project Preparation Grant – GEF financing:	N/A	**Project Preparation Grant – co-financing:**	N/A
***Expected* Full-Size Project co-financing:**	$15,000,000	**Secured Full-Size Project co-financing:**	$16,049,498
Date of first disbursement:	17 November 2014	**Planned date of financial closure:**	31 December 2020
No. of formal project revisions:	1	**Date of last approved project revision:**	N/A
No. of Steering Committee meetings:	5 documented meetings	**Date of last/next Steering Committee meeting:**	**Last:** 17th June 2019 Next:
Mid-term Review/ Evaluation *(planned date):*	2016	**Mid-term Review/ Evaluation:**	May-October 2018
Terminal Evaluation *(planned date):*	31 December 2020	**Terminal Evaluation (actual date):**	August 2021-March 2022
Coverage – Country(ies):	Bolivia, Cambodia, China, Colombia, Ecuador, Ethiopia, Guatemala, India, Kenya, Mozambique,	**Coverage – Region(s):**	Africa, Asia Pacific, Latin America and Caribbean

	Peru, South Africa, Uganda		
Dates of previous project phases:	N/A	**Status of future project phases:**	N/A

EXECUTIVE SUMMARY

Project background

1. The "Conservation Agreements Private Partnership Platform (CAPPP)" was a GEF financed project, which was implemented over the period from 2014 to 2020. It was planned for five years and extended for one year to consolidate results. The amount of the GEF grant was US$ 5 million, and co-financing of US$ 15 million was planned, thus this was a 'full-size project' in GEF terms. The CAPPP aimed at successfully implementing 30 conservation agreements with communities in at least ten countries around the world, which would contribute to protect biodiversity in one million hectares.

2. The project set-up public-private partnerships with local communities to achieve this objective. UNEP acted as the GEF implementing agency through its GEF Biodiversity/Land Degradation Unit of the Ecosystems Division, whereas Conservation International (CI) through its Conservation Stewards Program was the executing agency.

3. The main objective of this project was to test the potential of "Conservation Agreements (Cas)" as an approach for filling the gap in financing conservation of biodiversity of global importance and maintaining ecosystems services in several locations in the world through the engagement of private sector companies willing to finance this type of activity. The CA approach was developed by Conservation International. It is based upon the assumption that both private sector and communities are willing to protect sites with biodiversity of global significance if the right incentives are in place. According to this approach, local communities undertake conservation actions in return for benefits' packages that are funded and supported by private sector companies, beneficiaries of services and other partners, while boosting local businesses based on natural products like honey, coffee or meat.

4. Using the Conservation Agreements approach, the CAPPP engaged the private sector in conservation in the following ways:

a) Promoting value chains for products of local enterprises based in communities with national or international companies (so-called product sourcing agreements); this would also include carbon credits for the voluntary market.

b) Developing conservation partnerships, which produce social and environmental results, between private sector and communities financed by Corporate Social Responsibility (CSR) payments, funds of private foundations or compensation payments; and

c) Building capacity of micro, small and medium enterprises to ensure increased participation in markets that benefit conservation as well as economic development.

Purpose of the Evaluation

5. The terminal evaluation, which was conducted two years after the operational completion of the project, sought to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including sustainability. The evaluation had

two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, and the relevant agencies of the project participating countries. The evaluation answers the following two strategic questions, (see Conclusions and Recommendations).

- Q1: To what extent were the public-private partnership mechanisms adapted to the local context and do they remain effective and sustainable in the long-term?
- Q2: How did the conservation agreements' approach promote sharing of benefits and what role did community level engagement play?

6. The project collected limited monitoring information about environmental and social results, especially information about the results for biodiversity protection despite that biodiversity protection was the objective of the project. Information about benefits sharing with communities involved in conservation agreements was also limited (on social results of the project). Therefore, the Terminal Evaluation (TE) has focused on identifying global and local environmental benefits of the conservation agreements and their potential for benefit-sharing (see Table 9 to Table 18). The TE also assessed how the conservation agreements contributed to support local institutions and national policies.

7. The project objective was to "demonstrate the potential for achieving biodiversity conservation and ecosystem service maintenance with private sector support using conservation agreements with local land- and resource-users". The Project had three Components, which were also labelled as Outcomes:

- Component 1: Conservation agreements with communities under implementation with private sector support (divided into three sub-components)
- Component 2: Knowledge Management: Best practice for conservation agreements as private sector engagement tool documented and shared
- Component 3: Project Management: CAPPP effectively managed through sound implementation arrangements and processes

8. These Component/Outcome statements were reconstructed during the evaluation inception phase to form two evaluable outcome statements in order to support a results-focused assessment of the project's performance, and to differentiate between output and outcome levels. This was done in conjunction with the project team and partners and efforts were made to not extend the ambition of the project in this process. Component / Outcome 3 was not a result but the project management of the project (see Table 5**,** for full justification of reconstruction).

Main Findings

9. At the end of the project*, a total of* 69 conservation agreements were signed in nine countries: Bolivia, Cambodia, China, Colombia, Ethiopia, Guatemala, India, Peru and South Africa. This was against a target of 30 CAs in ten countries. There were six feasibility studies conducted in five countries.

10. These conservation agreements covered approximately one million hectares, including protected and communal areas contributing to the implementation of GEF 7 target 4 "area under improved management". Each conservation agreement contained specific biodiversity conservation and social objectives set in a participative process by implementing NGOs and communities. Almost 30,000 people benefitted from the conservation agreements, many of them marginalized people living in remote rural areas or indigenous communities.

> Project Outcome 1: Environmental Benefits at local level: Implemented Conservation Agreements with communities and private sector produce environmental benefits regarding biodiversity conservation and land cover

11. The duration of the CAs spanned 1 to 3 years financed by the project and were generally perceived as being too short to produce tangible environmental and socio-economic outcomes (Conservation International. Lessons Learnt Report 2020 p. 32). As the sites used different environmental indicators and methods for observing environmental outcomes, it was challenging to summarize the results of the different sites. See Table 9 to Table 18 for details on a site-by-site basis.

12. The TE observed mainly changes in motivation and behaviour of community members and local institutions in participating communities resulting in better management of natural resources in the project areas like in South Africa or Ethiopia. In some sites, implementing NGOs used or satellite images or monitoring tools from other initiatives like REDD+ to measure forest or vegetation cover or changes in biodiversity.

13. Most of the conservation agreements in the nine countries were implemented as phases of long-term interventions on the sites. Those interventions required adaptation, growth and financial stability.

14. Project outcome 1 was partially achieved, contributing to a rating of 'satisfactory' under the evaluation criterion, Effectiveness. In *longer-term interventions like in China, Colombia, India, or Guatemala with substantial private sector involvement and support to livelihoods activities, results pointed towards robust local environmental outcomes regarding land cover and local biodiversity*, however, substantial contribution to global biodiversity goals could not yet be identified in all conservation agreements. As the sub-projects (CAs) in the nine countries were part of longer-term interventions it was, in some cases, difficult to attribute environmental, social economic results to the specific project intervention and performance has been considered from the perspective of contribution.

15. Achievement under Project Outcome 1 is supported by evidence that the following three Direct Outcomes (1-3) contributed to these achievements along identifiable causal pathways.

> Direct Outcome 1: Sustainable value chains: New/strengthened sustainable supply chains are operating.
>
> Direct Outcome 2: Community Participation: Communities partner with private sector agents in conservation initiatives.
>
> Direct Outcome 3: Micro, small and medium-sized enterprises (MSME) and market development: Local green enterprises sell goods in markets.

16. With regard to Direct Outcome 2, the project showed a *high level of compliance establishing Cas in communities*. However, the project had to deal with the challenge of establishing links with the private sector or support private sector actors in the communities because NGOs need skills for capacity building with the private sector and time to build trust and relationships.

17. With regard to Direct Outcome 3, the project was also successful in raising funds and other support from large private sector companies and private sector foundations and to form partnerships with small and medium-sized enterprises. As an example, a company purchased honey from two CAs implemented in China. In South Africa, Meat Naturally promoted good practices for beef production and supports conservation agreements to restore degraded soils as a consequence of unsustainable grazing in small farms.

18. The endurance (i.e., sustainability) of benefits achieved at the outcome level is critical for environmental benefits. The project financed activities on sites, which were phases of long-term interventions aiming at institution building and supporting MSME and their participation in markets. This approach made the *results sustainable*. However, follow-up funding beyond the project duration would be necessary to continue institution building and skills development of producers. While funds were raised for the majority of sites, sufficient funds for continuing necessary activities could not be raised for all intervention sites. CI´s approach was to focus on replication and mentorship to continue existing initiatives due to donors´ priorities.

> Project Outcome 2: Application of best practices: Relevant actors use the knowledge of CA best practices to replicate Cas in other projects / countries / areas

19. A learning process about how to implement the CAs adapted to different sites took place inside the project so that implementing NGOs could improve their work on the sites. This learning process has not been documented. Learning products mainly provided overviews about implementation on sites but failed to produce more knowledge like about success factors for MSME development in communities or corporate social responsibility (CSR) engagement of companies.

20. Project outcome 2 was achieved in the sense of upscaling and replication. The conservation agreements approach was successfully upscaled to national and regional policies for the management of protected areas in Colombia, which include conservation agreements. Conservation International has replicated the project approach from South Africa in other countries in Africa in a large project. The feasibility study in Uganda conducted by the Crane Foundation led to three Conservation Agreements in wetlands, which were funded by other sources.

Main Conclusions

21. The main strength of this project was that it supported communities in conservation of natural resources engaging with the private sector, although it was weak on clearly demonstrating the contribution towards Global Environmental Benefits (GEB), which would also be difficult within the project timeframe. It successfully engaged with indigenous and vulnerable groups and put emphasis on the inclusion of gender aspects in the conservation agreements. Conservation International has a long history of cultivating this type of relations. Conservation

International has actively promoted the model of conservation agreements sharing experiences within the NGOs´ projects and with other actors.

22. The public-private partnership mechanisms were well adapted to the local contexts and while most are still on-going, their sustainability is variable due to the short duration of activities and the need for a longer institution building process, thus sustainability was rated as 'moderately likely'. The CAs made special provisions to ensure equitable sharing of benefits within the communities. Conservation agreements successfully engaged communities in conservation showing them the long-term benefits of conservation in most cases. CAs are also an instrument to successfully integrate gender aspects and vulnerable groups / indigenous communities in conservation which required capacity building. Community engagement was crucial for the success of the conservation agreements because community members decided upon the benefits for the communities and participated in monitoring activities.

23. The project has demonstrated strong performance in the areas of relevance, and it is one of the few projects in the GEF portfolio successfully engaging with the private sector and communities. The project was efficiently implemented. Areas that were rated 'moderately unsatisfactory' and would have benefitted from further attention are project design, financial management and monitoring and reporting. Based on the findings from this evaluation, the project demonstrated performance at the 'satisfactory' level (See **Error! Reference source not found.**). For full details on ratings see Table 24).

Table 2. Summarized Rating Table

Evaluation criterion		Rating	Score
A	Strategic Relevance	Highly Satisfactory	5,58
B	Quality of Project Design	Moderately Satisfactory	5
C	Nature of External Context	Favorable	F
D	Effectiveness	Satisfactory	5,0
E	Financial Management	Moderately Unsatisfactory	3,5
F	Efficiency	Satisfactory	5
G	Monitoring and Reporting	Moderately Unsatisfactory	3,33
H	Sustainability	Moderately Likely	4
I	Factors Affecting Performance	Moderately Satisfactory	4,38
	Overall Project Rating	**Satisfactory**	**4,59**

Selected Lessons Learned

Lesson 1: The project contributed to phases of capacity building in longer-term initiatives financing CAs in different sites. The project-term and especially the 1 to 2-year term confirmed knowledge that the duration of the CAs were short to produce fully sustainable results because it takes up to four years to establish a successful business in the market.

The project showed that It was possible to invest relatively small resources like providing market information to communities to produce economic gains.

Capacity building for private sector engagement like sourcing agreements and value chains or co-operatives and community-based conservation require long-term institution building. Implementing organisations need to invest in institution building processes for private sector and community engagement going beyond quick gains. Institution building is a critical process for the transformational change that the GEF aims to achieve.

Lesson 2: Knowledge exchange between existing and future project partners in NGO networks is very valuable. Other ways of learning are capturing lessons learnt for diffusion to the wider conservation community and similar GEF-projects and better design of future projects.

Lesson 3: Project Management – Large global projects may lack transparency due to their complexity. It is a challenge to monitor and report on many sub-projects and contracts and ensure smooth communication of GEF concepts. Clear guidelines for monitoring and reporting, including requirements of budget for M&E are necessary for effectively managing the sub-projects.

An executing agency, such as UNEP, would need administrative capacities for the oversight of such complex projects in order to be able take respective corrective action in time.

Lesson 4: A global project relying on grants to local level sites is inclined to be ineffective due to limited on-site project activities with a small budget over short timeframes and inefficient due to delays in allocating funds and implementing grant agreements. The knowledge management component is the strategic advantage of such a project and needs to be appropriately focused on. The global nature of the project and common framework shared by implementers have great potential for learning.

Recommendations

Recommendation 1: Ensure project duration of at least five years building on the CAPPP's practice and three to four years of on-site activities, as appropriate, to allow institution building on the ground in future global GEF biodiversity conservation projects implemented by UNEP. Design projects with a limited number of sub-projects with on-site activities, and select sites and implementation agreements for local interventions during the design phase**.** Use project proposal reviews as a tool (UNEP).

Recommendation 2: Diffuse lessons learnt for private sector engagement in conservation projects with communities, for example, write a flyer with lessons learnt of the project and share it with other GEF-projects with private sector engagement or substantial community participation like GEF-ID 10341 South Africa, GEF-ID 10192 Zambia, GEF-ID 10285 Panama (UNEP).

Recommendation 3: Lessons learned about engaging communities in conservation, inclusion of gender and vulnerable / indigenous groups should be diffused to the wider public via an article on the UNEP or GEF website (UNEP).

I. INTRODUCTION

Purpose and Scope of the Evaluation

24. In line with the United Nations Environment Programme's (UNEP) Evaluation Policy and the UNEP Programme Manual, the Terminal Evaluation (TE) of the UNEP/GEF project""The GEF Earth Fund: Conservation Agreements Private Partnership Platform" (hereafter CAPPP) is undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The TE covers the entire timeframe from project start in September 2014 to end in June 2020 and a funding envelope of total expenditures US$20,929,616 of which GEF expenditures US$4,880,118.

25. Terminal evaluations are compulsory for all full-size GEF projects. This terminal evaluation was initiated in 2021, two years after the operational completion of the CAPPP project. A management-led mid-term review was conducted by UNEP of the project in 2018. The evaluation has two primary purposes:

- to provide evidence of results to meet accountability requirements, and
- to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP and Conservation International (CI).

26. This project was financed by the GEF's Earth Fund, which was a pilot initiative to demonstrate effective and innovative ways to engage with private sector by establishing strategic partnerships for addressing specific environmental problems. The project aimed at developing business models or financial instruments, where all partners would benefit from a "win-win" approach that would address conservation of biodiversity of global importance. The CAPPP was first designed with the World Bank (WB) and its proposal document was submitted to the GEF's board for review in April 2009. The proposal was then transferred to UNEP in 2013. The project was reviewed by the Project Review Committee (PRC) of UNEP in January 2014 and approved by the GEF in September 2014.

27. The project sought to demonstrate Conservation Agreements (CA) as an effective approach to leverage funds from private sector partners and implement sustainable business models to improve life conditions of communities living in, or near, protected areas or biodiversity hotspots. The communities are assisted to develop economic activities based on sustainable management of natural resources ensuring the conservation of biodiversity of global importance. The CAs are voluntary and negotiated agreements between private sector partners, national or local governments, NGOs, academia and communities, and are based on verified compliance of the commitments agreed under these CAs. Once compliance is fulfilled by communities, they receive the previously defined incentives in return, which are used to invest in their businesses and infrastructure for improving life conditions of the communities. The CAs are updated and negotiated on a periodic basis to include new conditions and needs as they appear.

28. The duration of the project was six years: planned start and completion dates were September 2014 and August 2019, respectively, with a one year 'no cost' extension to June 2020 to comply with monitoring and reporting requirements. The

GEF grant was of US$ 5,000,000 and the expected co- financing was US$ 15,000,000 with a total budget of US$ 20,000,000.

29. The project was designed to cover 32 sites in high-value biodiversity areas of global importance in 10 countries[1]. Six feasibility studies were conducted in five countries (Ecuador, India (Sangameshwar site), Kenya, Mozambique and Uganda), and sub-projects for Conservation Agreements (CA) were implemented in nine countries (Bolivia, Cambodia, China, Colombia, Ethiopia, Guatemala, India Sathyamangalam site, Peru and South Africa).

30. Upon closure, CAPPP included 69 conservation agreements signed with communities and 722 agreements signed with individuals/families across 14 sites in nine countries.

31. On sites selected for Conservation Agreements, in or near the conservation areas demonstration projects for community-private sector conservation were implemented to show the advantages of having a general methodology for establishing partnerships of communities with the private sector that could be applied at several locations across the world.

Project Problem Statement

32. The project was designed within a global context where Protected Areas (PA) have been successfully established in several countries around the world. While the CAPPP ProDoc, which was approved in 2014, states that the Biodiversity Convention's target of having 10% of the surface planet under protection was exceeded at the time the project was designed, the financing for the sustainable management of these and other rich biodiversity areas, mainly in developing countries, was a persistent challenge. The project intended to address this issue by leveraging private sector support for conservation activities that would alleviate the lack of funding in several areas where the confluence of high biodiversity and poverty was present.

33. The project rationale was based on the CI's 10 year'' experience of implementing CA partnerships between private sector and local communities in several countries. CI found that there was an increasing interest from private sector companies to invest in activities for biodiversity conservation as part of their corporate environmental and social responsibility (CSR) policies. At the same time communities living at several locations of importance for biodiversity were willing to implement conservation activities in their communities if appropriate incentives were in place (both economic and culturally relevant).

34. However, connecting private sector's demand for biodiversity conservation activities and community-based services supply faced difficult challenges, mainly due to perceptions of high risks and costs of engaging in ecosystem maintenance and complexities when dealing with culturally complex and sometimes, low skilled communities. The private sector depended on the capacity of communities to provide a reliable product/service in terms of the quality and quantity required to maintain businesses in operation for an extended period.

[1] Bolivia, Cambodia, China, Colombia, Ecuador, Ethiopia, Guatemala, India, Kenya, Perú, Mozambique, South Africa, and Uganda.

35. Low skills of local MSMEs as natural products' providers were also a barrier to be overcome due to low technology adoption and use, as well as untrained personnel that had to be added to their complex production environment.

36. The "as usual scenario" indicated that without any intervention, the existing opportunity gap for co-operation between private sector and communities would continue to exist with no significant changes. Thus, the project strategy was to act as a broker between these actors to "fix" the existing "market failure" that prevented investments in biodiversity conservation and ecosystem maintenance.

37. Existing experience of CI in setting up CAs between private sector and communities, indicated that if the CA followed a standard set of steps and defined expectations for both actors, reliable products and services would be delivered to the companies involved, together with an improvement in livelihoods for communities and the final objective of biodiversity conservation.

Institutional context of the project

38. The project was related to the UNEP Medium-Term Strategy (MTS) 2014-1017, Subprogramme 3: "Ecosystem management", expected accomplishment (a) "Use of the ecosystem approach in countries to maintain ecosystem services and sustainable productivity of terrestrial and aquatic systems is increased" Indicator "*a) (i) Increase in number of countries integrating the ecosystem approach with traditional sector-based natural resource management, with the assistance of UNEP*".

It also applied to expected accomplishmentI): "Services and benefits derived from ecosystems are integrated with development planning and accounting, particularly in relation to wider landscapes and seascapes and the implementation of biodiversity and ecosystem related MEAs". The project contributed to indicator: "c) (i) increase in number of countries that integrate the ecosystem approach in development planning, with the assistance of UNEP".

39. For the newer MTS 2018-2021, the project responded to Subprogramme 3: "Healthy and Productive Ecosystems" and its objective: "Marine, freshwater and terrestrial ecosystems are increasingly managed through an integrated approach that enables them to maintain and restore biodiversity, ecosystems 'long-term functioning and supply of ecosystem goods and services".

40. Regarding implementation arrangements, the project was overseen by a Task Manager of UNEP Ecosystems Division / Biodiversity and Land Branch / GEF Biodiversity and Land Degradation Unit.

41. Conservation International (CI) was the project executing agency and it had overall responsibility for project performance. The Conservation Stewards Program located at CI's headquarters in Washington, D.C., United States, was responsible for the overall project management and coordination of activities implemented by CI's regional coordinators, country offices and site implementers located in Africa, Asia and Latin America.

Target audience of the evaluation findings

42. The target audience of the terminal evaluation are the GEF Secretariat and GEF Earth Fund, UNEP Ecosystems Division, Conservation International / Conservation Stewardship Program and important project stakeholders like the implementation partners and planners from national, regional and local governments looking for innovative and cost-effective approaches to protect biodiversity.

II. EVALUATION METHODS

43. In line with the UNEP Evaluation Policy, the UNEP Programme Manual and the Guidelines for GEF Agencies in Conducting Terminal Evaluations, this Terminal Evaluation was carried out using a set of 9 commonly applied evaluation criteria, which include: (1) Strategic Relevance[1], (2) Quality of Project Design, (3) Nature of External Context, (4) Effectiveness *(incl. availability of outputs; achievement of outcomes and likelihood of impact),* (5) Financial Management, (6) Efficiency, (7) Monitoring and Reporting, (8) Sustainability and (9) Factors Affecting Project Performance and Cross-Cutting Issues (see Annex VII: Evaluation Matrix for more details on each evaluation criterion).

44. Most evaluation criteria are rated on a six-point scale as follows: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability and Likelihood of Impact are rated from Highly Likely (HL) down to Highly Unlikely (HU) and Nature of External Context is rated from Highly Favourable (HF) to Highly Unfavourable (HU). The ratings against each criterion are 'weighted' to derive the Overall Project Performance Rating. The greatest weight is placed on the achievement of outcomes, followed by dimensions of sustainability.

45. The UNEP Evaluation Office has developed detailed descriptions of the main elements required to be demonstrated at each level (i.e., Highly Satisfactory to Highly Unsatisfactory) for each evaluation criterion. The Evaluation Team has considered all the evidence gathered during the evaluation in relation to this matrix in order to generate evaluation criteria performance ratings.

46. The following methodology was be applied in order to cover the evaluation criteria with specific questions, and to address the strategic questions and also the five questions required for uploading to the GEF portal. The full set of questions can be found in the evaluation matrix in the annex.

47. A Theory of Change (ToC) was constructed by the Evaluation Team at the inception phase of the evaluation. This reconstructed ToC was based on a review of the outputs and outcomes as presented in the ProDoc.

48. The Terminal Evaluation (TE) was carried out as an in-depth study with a participatory approach. Due to the prevailing COVID-19 situation, the evaluation was carried out remotely. All interviews were conducted online. As the Mid Term Review (MTR) was conducted in a late stage of project implementation, the data collected for the MTR provided valuable information, which were further corroborated in the TE. The methodology used was outcome harvesting – capturing the outcomes at all levels of the project, identifying the impact of the project and assessing sustainability of results. The TE followed the ToR: An evaluation framework was prepared during the inception phase of the evaluation which included the evaluation criteria, two strategic questions, as well as detailed questions to assess the projects' performance based on the evaluation criteria (see Annex V: Evaluation ToR). The use of Evaluation criteria and the rating of performance were done according to the Evaluation Office of UNEP's guidelines based on the Organisation for Economic Cooperation and Development's Development Assistance Committee (OECD-DAC) criteria for evaluation.

49. **Desk research:** The desk research consisted of a review of: 1) Project (design) documents, log frame documents, outputs, monitoring reports (such as progress and financial reports to UNEP and GEF annual Project Implementation Review reports) and relevant reports from the Steering Committee, 2) Other background and project-related material produced by the project staff and implementors, 3) Relevant material published on the project website. A detailed review of the most important project documents like meeting reports, annual reports and budget, publications and websites of the project as well as documents of stakeholders was undertaken.

50. **Online personal interviews** based on a semi-structured questionnaire (total five interviews) were conducted with the UNEP Task Manager and former staff of the project of Conservation International with the Project Manager and regional focal points.

51. **Online personal and group interviews at the ten intervention sites** (total 39 interviews) were conducted with project partners like beneficiaries, the private sector, project implementors and authorities where possible (see list in Annex II: People Consulted during Evaluation).

52. Data collection was undertaken in October and November 2021. Interviews were mainly held with project managers of implementing NGOs, in Latin America also with field staff of implementing NGOs and community leaders. Criteria for the selection of interviewees were availability of the interviewees. Field staff often did not speak English like in the case of Cambodia or China and beneficiaries were not available to be contacted, like Ethiopia, where the intervention areas were 150 km away from the field office and travel was restricted due to COVID-19. So, they were not interviewed. Strategies to increase stakeholder engagement were use of personal networks of evaluators to contact community leaders (e.g., Bolivia). Further data verification was carried out by triangulating data from previous evaluations in the region like of a GEF project in coastal areas in Ecuador with data from coastal areas in Colombia.

53. Limitations of the evaluation were: 1) the travel restrictions due to COVID-19 which only allowed for online interviews that take time to organise and mainly rely on the willingness of the implementing NGOs to connect the evaluators with field staff and communities. 2) Resistance by some implementing NGOs to put extra work in a terminal evaluation of a project or because the evaluation methodology was not well communicated from headquarters of the executing agency, and 3) Ethics of evaluation not to burden interviewees with data collection which was already done about the same topic in the same area recently for the MTR.

54. The first data collection was the MTR, which was conducted late in the project implementation, the second data collection was a consultancy company collecting data for the final report and the missing monitoring data in the last six months of the project and the third data collection was this terminal evaluation. As this was the third data collection in a short timeframe mainly repeating the same questions, interviews were kept short and collected the necessary minimum of information. Interviewees in the communities had to use their own resources for communication like paying internet fees because their costs could not be reimbursed.

55. The interviews were as participative as possible and aimed at mutual learning. The anonymity and confidentiality of interviewees were ensured by not referring to specific interviews for presenting the findings.

Team Roles and responsibilities

56. The evaluation was carried out by a team of two independent evaluation consultants, Ms. Ines Freier – Principal Evaluator, and Ms. Clemencia Vela – Evaluation Specialist, under the guidance, supervision and in discussion with the UNEP Evaluation Manager, Ms. Susanne Bech. The principal evaluator designed the methodology of the evaluation and was responsible for the final report. The Evaluation Team conducted interviews and wrote the final report. Both evaluators undertook the assessments and scorings bringing in their long-term experience in evaluating projects for UN organisations and other donors. The UNEP Evaluation Manager, as well as Task Manager and CI, were kept informed throughout the evaluation process to ensure feedback, enhance data collection, and ensure triangulation of collected data.

III. THE PROJECT

A. Context

57. More than one third of the world's population lives in areas that have been identified as critical for biodiversity conservation and that provide key ecosystem services. A significant percentage of this population lives below the poverty line and relies directly on surrounding natural resources for survival. Historically, the conservation of biodiversity has been promoted mainly through the creation of protected areas. While consolidating and effectively managing protected areas remains a great conservation need, additional strategies are required to prevent extinctions and sustain key ecosystem services for the planet. The confluence of high biodiversity and poverty requires conservation mechanisms that provide development opportunities to local populations. Rural landowners and local communities have shown that they are willing to protect important areas for biodiversity around the world if they are given the proper incentives and if conservation benefits them in concrete and meaningful ways.

58. Making conservation beneficial to local people provides an opportunity to promote sound local development and investment strategies that compensate for the service of protecting global biodiversity. The private sector has an important role in promoting these opportunities through triple bottom line approaches that are not only financially advantageous, but also generate social and environmental benefits. For specific industries, there also is the added value of traceable and transparent supply chains with improved product quality and enhanced marketing value.

59. Efforts to deliver private sector support to local communities to better protect biodiversity face challenges. Though interested in working directly with rural communities in areas of high conservation priority, companies may be dissuaded from doing so due to perceived risk, high transaction costs and unpredictable returns. At the same time, many local communities who are in a position to serve as stewards of biodiversity lack the necessary institutional capacities or articulated resource rights to effectively partner with the private sector. Therefore, much of the global potential for private sector engagement in biodiversity conservation remains largely untapped.

60. Catalyzing private sector partnerships with local communities to protect biodiversity has been difficult. Perceptions of high risks and costs of engaging in ecosystem maintenance and environmental conservation, added to the complexities of engaging with local communities around the world who can provide these environmental services, pose challenging barriers for effective participation by the private sector. Companies interested in working directly with rural communities in areas of high biodiversity are often dissuaded from doing so due to perceived risk, high transaction costs and low returns. As a result, much of the potential of positive private sector engagement for biodiversity conservation has remained untapped.

61. The key contextual factors of relevance are that biodiversity conservation remains severely underfunded worldwide, particularly in developing countries, and that the private sector represents an enormous potential source of additional financing for conservation efforts. Although under the Convention on Biological Diversity (CBD), the vast majority of developing country governments are committed to addressing loss of biodiversity and ecosystem services, securing the funds needed to meet those commitments remains a persistent challenge. Several trends are

encouraging the private sector to increase environmental expenditures, including evolving corporate philosophies, shareholder pressure, market demand, and regulatory requirements. However, there exists a wide gulf between corporate actors and local communities in high biodiversity areas in remote parts of developing countries, which inhibits private sector funding from reaching many of the areas where it is most needed and could achieve the greatest impact. In essence, this might be seen as a form of market failure, in which potential supply of community-based conservation of biodiversity and ecosystem services fails to connect with demand for such conservation. This context can be characterized as a form of market failure and was to be addressed by this project.

B. Results framework

62. The project goal was to catalyse private sector support for conservation of biodiversity and maintenance of ecosystem services in globally important sites in at least seven countries around the world.

63. The project objective was to demonstrate the potential for achieving biodiversity conservation and ecosystem service maintenance with private sector support using conservation agreements with local land- and resource-users.

64. The Project had three Components, which were also labelled as Outcomes:

> Component 1: Conservation agreements with communities under implementation with private sector support (divided into three sub-components)
>
> Component 2: Knowledge Management: Best practice for conservation agreements as private sector engagement tool documented and shared
>
> Component 3: Project Management: CAPPP effectively managed through sound implementation arrangements and processes

65. Component 1.1. Fostering sustainable supply-chains. This component developed conservation agreements between communities and private sector companies interested in sourcing their inputs from a community's nature-based goods and services. These agreements would establish sustainable management regimes for these goods or services in return for guaranteed payments upon delivery. Project investments would (i) support feasibility assessments for the long-term management of the in-demand good or service by, among other things, undertaking conservation analyses to identify sustainable off-take amounts; and (ii) build the capacity of local communities to establish the necessary community architecture to contract directly with the private sector and manage the resulting investments (SMART indicator).

66. Component 1.2. Readying communities to partner with the private sector to secure conservation outcomes.

67. This component invested in developing conservation agreements between communities and private sector companies interested in maintaining their Social License to Operate (SLO). Project investments would: (i) support communities to develop the necessary architecture to negotiate with and manage investments from the private sector; (ii) identify conservation regimes in which the private sector could

invest and through which the community can reasonably deliver conservation outcomes that also provide community co-benefits such as food security, other income opportunities, continued access to goods and services for shelter and medicine, a cleaner environment, and enhanced resilience against adverse impacts of climate change. In some projects, this would entail working with communities to create, expand, or strengthen a protected area; this would be done through either customary or formal legal processes, depending on legal and cultural context (SMART indicator formulated).

68. Component 1.3. Supporting small and medium local green enterprise development. This sub-component developed conservation agreements with local small or medium sized enterprises (SMEs) that operated in key biodiversity areas and capital investors. These agreements would establish the conservation outcomes that the enterprise would agree to deliver in exchange for technical assistance for business development. Thus, this component focused on enhancing local level private sector engagement in biodiversity conservation; for some site-based initiatives, this could also relate to Component 1.1 the CA model was used to link local SMEs to large corporate partners (no SMART indicator formulated).

69. Component 2 for knowledge management focused on preparing several publications on best practices for CA arrangements and made available on CI's website. In this case, Cas organization partners would write articles and, guidelines, manuals, etc. (no SMART indicator formulated).

70. Component 3 corresponded to project management and set up of the M&E system for assessing progress of overall activities and, at the same time, it was mentioned that periodic assessments for biodiversity conservation and communities' social-economic conditions would be made for each site. Mid-term and terminal evaluations would also be carried out to assess the CAPPP portfolio of projects.

GEF Core indicators (Environmental Impact)

71. The goal was to achieve 1,000,000 hectares of sustainably managed high-value areas for conservation of biodiversity of global importance. The baseline was 500,000 ha under protection before the start of the project.

C. Stakeholders

72. The ProDoc described three sets of targeted stakeholders who would be implicated in the CAPPP:

73. Local communities: Many communities around the world living in areas of conservation importance face insufficient incentives and/or lack the means for ecosystem maintenance and sustainable resource management. They typically are limited in their ability to access and build relationships with private sector actors who might be interested in investing in conservation.

74. Private sector: The vast majority of private sector companies are not prepared to pursue relationships with local communities for the purpose of biodiversity conservation. While regulations, shareholder expectations, and market demand increasingly compel the private sector to invest in corporate environmental and social responsibility endeavours, there is little guidance for doing so in measurable, replicable, and scalable ways. Relationships with local communities who are able to

collaborate in pursuit of conservation goals are seen by most corporate actors as complex, expensive, and risky.

75. Global conservation community: The global conservation community— including local and international non-government organizations, as well as relevant government agencies and multilateral institutions–are in a position to broker relationships between local communities and the private sector. However, efforts to do so typically are ad-hoc and idiosyncratic to particular contexts, which prevents replication and scale-up.

76. A more detailed stakeholder analysis, however, was not available at the project preparation stage and there was no stakeholder engagement strategy identifying specific activities for engagement with each stakeholder at the level of CA and at the level of sub-contractors. The only stakeholders considered were local communities and the private sectors as participants of the CA and the global 29offee29nts29nn community as broker in future CAs and user of knowledge generated the project. The Evaluation Team identified all three stakeholder groups as the key change agents.

77. The evaluators identified and analysed a selection of stakeholders of each CA in terms of local implementing bodies, companies involved, local authorities and beneficiaries involved, however, it was difficult to obtain the necessary information because the database of Conservation International only provided information about the current status of Conservation Agreements.

78. In response to one of the strategic evaluation questions in the Terms of Reference (ToR) of the Terminal Evaluation, the Evaluation Team was to assess how stakeholders had influenced the Cas and how the knowledge from the project had been diffused to different stakeholders such as women and vulnerable groups of the project and of the single Cas. The project, however, did not conduct a detailed gender analysis during the Project Preparation Grant phase (design phase) nor set monitoring indicators on gender. As a result of the MTR, the project was encouraged to include gender-sensitive indicators in the reporting tools. The sub-contractors in Guatemala, Peru, Bolivia and India worked on sites with a high percentage of indigenous population.

79. The Evaluation Team found that the notion of women and vulnerable groups was valid in the project as the population of the sites in China and Colombia could be considered as vulnerable because they lived in remote areas (mountains and coasts) and did not belong to the prevalent ethnic groups. The project had no explicit strategy directed at human rights / rights of indigenous populations but relied on the general policies of Conservation International to work with such groups. For example, Keystone Foundation, a partner NGO in India, had worked with indigenous communities promoting their rights for a long time relying on their own policies.

D. Project implementation structure and partners

80. UNEP served as the Implementing Agency for the CAPPP, working with Conservation International (CI) as the Executing Agency. Within UNEP, the project was located in the GEF Biodiversity/Land Degradation/Biosafety Unit of the Ecosystems Division, formerly the Division of Environmental Policy Implementation.

81. Within Conservation International, the CAPPP project was executed within the Conservation Stewards Program where the overall project coordination was undertaken from CI's headquarters in Washington, D.C.

82. The CAPPP was overseen by a Project Steering Committee (PSC) initially comprised of representatives from UNEP, CI, the Mulago Foundation (principal donor to CSP); and the GEF Secretariat. Private sector partners were invited to appoint PSC members as they joined the CAPPP. The PSC provided oversight, strategic guidance and corrective actions.

83. The CSP is located within CI's Ecosystem Finance and Markets (EFM) Unit, which provides technical support and financial oversight to CI teams and other partners who receives CSP funding. Under the CAPPP, CSP issued grants to on-the-ground implementers of individual conservation agreements, cultivated linkages between these initiatives and private sector partners, and spearheaded knowledge management and learning activities. The CSP Team supported the implementation of site-based initiatives by on-the-ground partners using the conservation agreement model. It was also responsible for tracking implementation of site-based initiatives, providing technical guidance as needed, and organizing efforts to document experiences and lessons.

84. The processes and procedures followed by the CSP were described in the CAPPP Operational Manual. The CSP Team for CAPPP comprised of five positions: a Project Manager, three Regional Manager positions, one each for the Americas, Asia, and Africa regions and a Private Sector Engagement Manager, who provided technical support to all teams implementing conservation agreements in efforts to build private sector partnerships. Implementation of activities was supported by CI's Regional Managers.

85. At country level, a country implementing partner was responsible for the interventions, some of them country offices of CI with staff dedicated to the project and in other cases International or National NGOs such as Wildlife Conservation Society (WCS) in Guatemala; CI-Colombia and the national NGO Calidris as co-executers in Colombia; the NGO Fundación Natura in Bolivia or Keystone Foundation in India. They were subcontracted by CI-CSP for the execution of Cas in the respective area / country based upon a call for project proposals. The subcontracts did not contain specific requirements for monitoring and evaluation based upon GEF-policies.

86. The country implementors worked with local communities and in some cases local authorities. For instance, in Guatemala, WCS was the leading local implementor which carried out activities with the local community authorities and leaders at Paso Caballos site, with a NGO Organization, Management and Conservation Civil Society (OMYC) at Uaxactun site, with a Foundation (Fundación Petén) in Bioltza Reserve site.

87. For the implementation, the NGOs coordinated with authorities like the National Parks Service (Consejo Nacional de Areas Protegidas CONAP) in Guatemala or local authorities (Municipalities) and Water funds (Fondos de Agua) in Bolivia, regional

environmental authorities (e.i. Corpoguajira or Corponariño) in Colombia or (Dirección de Salud) in Peru.

88. Interventions at country level were either pre-selected during the design phase (Guatemala and Colombia) or were added through award calls (Peru and Bolivia). TNC Ecuador or The Crane Foundation in Uganda, among others, were selected to carry out only a feasibility study.

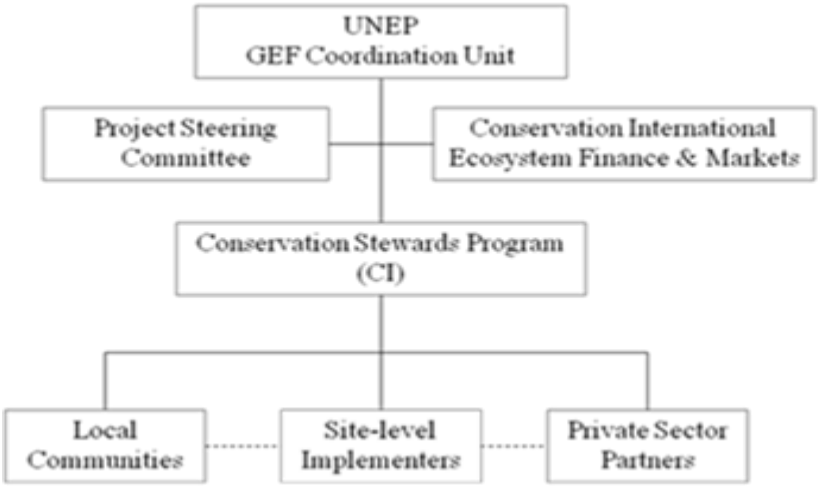


Figure 1: Organigram of the Project with key project key stakeholders

E. Changes in design during implementation

89. There were no changes in any of the project parameters or indicators introduced during implementation. However, an extension of the project until December 31st, 2019, was approved by UNEP in May 2017.

90. The main recommendation of the MTR did not imply a need for changes in the overall project design. It mainly addressed the implementation of the planned Tracking Tool for local outcomes and impacts of Cas. The project requested an extension to implement the tools and collect the respective data until June 2020, which was granted.

F. Project financing

91. CAPPP was designed with a GEF grant of US$5 million for a 5-year period. Project budget and expense budget lines are shown in Table 3.

Table 3: CAPPP Budget at Design (for GEF funds)

Budget line/Component	Conservation Agreements (US$)	Knowledge Management (US$)	Project Management (US$)	Total (US$)
Personnel	495,361	104,067	22,611	622,039
Administrative Support	404,612	65,276	30,112	500,000
Travel	129,852	29,417		159,269
Support for Pre-selected Sites	1,485,000			1,485,000

Support for new Sites	1,431,294			1,431,294
Feasibility grants	100,000			100,000
Training		454,000		454,000
Evaluation & Audits			164,205	164,205
Reporting			84,193	84,193
Total	4,046,120	652,759	301,121	5,000,000

92. Regarding co-financing, Table 4 shows the additional US$15 million were to be leveraged by CAPPP from private sector companies to fund biodiversity protection actions in several local communities.

Table 4: Co-financing According to Project Document

Components	GEF (US$)	Co-financing (US$)	Total (US$)
1. Conservation Agreements with Communities under implementation with Private Sector support	4,046,120	12,500,000	16,546,120
2. Knowledge Management: best practices for conservation agreements as private sector engagement tool documented and shared	652,759	500,000	1,152,759
3. Project Management	301,121	2,000,000	2,301,121
Total	**5,000,000**	**15,000,000**	**20,000,000**

G. Mid-term Review of Project

93. The mid-term review conducted in 2018 found that the product document was weak and that the project had not implemented the planned Tracking Tool for the Cas.

94. Recommendations were to:

- Extend the project for one year to focus on monitoring biodiversity and social indicators;
- Organize a workshop with CI country offices and site implementers to discuss the project logframe and indicators for each CA with the aim to improve progress reporting;
- Define a set of common indicators where specific biodiversity and social indicators of each CA could be included;
- Develop a reporting and monitoring system for the project as a whole; and
- Prepare a final project report with lessons learned, replication and exit strategy.

95. In response to the recommendations, CI requested an extension until June 30, 2020, in order to complete analysis of the project's environmental and social impacts and give implementors more time to finish project activities.

96. Furthermore, a monitoring tracking tool for the CAs was completed and made available at the PSC meeting in June 2019. The monitoring tracking tool pulled information from technical reports about conservation objectives.

97. An additional database for all Conservation Agreements implemented with support of CSP was constructed capturing the stage of implementation, conservation objectives and partners involved of CA. This database is constantly updated, however, recordings for CAs financed by the CAPPP project are difficult to find in the database.

98. The approved financial reporting templates did not demonstrate levels of finance/co-finance for key investments and benefits packages for communities for each CA. An ad-hoc exercise was undertaken by CI during the mid-term review to update the co-financing. A more rigorous accounting would have required a large effort to collect financial data by partners and such an engagement was not originally outlined in contracts with implementors.

99. Further, the implementors under the project were encouraged to include gender considerations during feasibility analysis, activity design, monitoring and evaluation and staffing and budgeting in order to ensure that differences across genders with regards to decision-making, use of the environment, and opportunities for economic development were understood and incorporated within the conservation agreement cycle. The Evaluation Team found in interviews that gender sensitive measures were implemented in many Cas like in Guatemala, but they were not reflected / documented in the project documents. Implementors used their own gender policies or the general policies of CI for the inclusion of gender and indigenous communities and did not include them in project documentation.

IV. THEORY OF CHANGE AT EVALUATION

100. The analysis of the theory of change was undertaken in four steps. In the first step, the definitions of the categories of the theory of change were considered. In the second step, the intended outcomes of the project were reviewed and revised from the point of view of a coherent theory of change and UNEP/GEF requirements for evaluability. The third step presented the reconstructed theory of change as a chart. In the fourth step, the reconstructed theory of change for the evaluation of the project was presented in a narrative.

> Step 1. Definition of the main categories of the theory of change based upon the document of the UNEP Evaluation office (Evaluation Office of UNEP 2022. Use of Theory of Change in Project Evaluations).

101. In the following the main categories of the theory of change are defined as:

102. **Outputs**: An output is the availability (for intended beneficiaries/users) of new products and services and/or gains in knowledge, abilities and awareness of individuals or within institutions. For example, access by the intended user to a report; new knowledge held by a workshop participant at the end of a training event; heightened awareness of a serious risk among targeted decision-makers (Outputs are viewed from the perspective of the intended beneficiary or user of the output rather than the provider).

103. **Outcomes**: An outcome is the use (i.e., uptake, adoption, application) of an output by intended beneficiaries, observed as a change in institutions or behaviors, attitudes or conditions. A *direct outcome* is an outcome that is intended to be achieved from the uptake of outputs and occurring prior to the achievement of *Project outcomes*.

104. **Impact**: Impacts are long-lasting results arising, directly or indirectly from a project. Impacts are intended and positive changes and must relate to UNEP's mandate. E.g., reduced human-caused global warming, conserved biodiversity, improved water quality.

105. **Intermediate states**: Intermediate states are changes beyond the Project Outcome(s) that are required to contribute towards the achievement of the intended impact of a project. E.g., wide-scale adoption of improved natural resource management practices.

106. **Drivers:** A driver is a significant external factor that, if present, is expected to contribute to the realization of the intended results of a project. Drivers can be influenced by the project and its partners. E.g., strong support from other development partners in-country, public pressure on policy makers.

107. **Assumptions:** An assumption is a significant external factor or condition that needs to be present for the realization of the intended results but is beyond the influence of the project and its partners. Assumptions are often positively formulated risks.

> Step 2. Expected impact and Intended outcomes of the project (According to Prodoc and Annex 2 to ProDoc)

108. The project aimed to increase private sector participation in community-based conservation in areas of high biodiversity and ecosystem service value. The highest

goal of the project, as stated in the Pro Doc, was *to "catalyse private sector support for conservation of biodiversity and maintenance of ecosystem services in globally important sites in at least 10 countries around the world."*

109. Thus, the project overall objective defined in the ProDoc was [to Test], to "demonstrate the potential for achieving biodiversity conservation and ecosystem service maintenance with private sector support through the use of conservation agreements with local land– and resource-users".

110. In order to reach its goal, the project had three intended outcomes according to the ProDoc text item 3.3:

111. Outcome 1: Conservation agreements with communities under implementation with private sector support

112. Outcome 2: Knowledge management: best practice for conservation agreements as private sector engagement tool documented and shared

113. Outcome 3: Project Management: CAPPP effectively managed through sound implementation arrangements and processes.

114. Outputs and Outcomes were identical in the ProDoc. Outcome 1 had three dimensions: 1.1 Fostering sustainable supply-chains (ProDoc, pg 11), 1.2. Readying communities to partner with the private sector to secure conservation outcomes (ProDoc, pg 11 and 1.3. Supporting small and medium local green enterprise development (ProDoc, pg 11) referred as sub-components in the ProDoc.

115. Output 1 was divided into three sub-outputs with indicators:

> Output 1.1. Natural products sourcing conservation agreement in place (10 agreements, covering 100.000 ha). In the Pro Doc a definition of what in place means is not given.
> Output 1. 2. CSR funded conservation agreements in place (15 agreements covering 100,000 ha).
> Output 1.3. Conservation agreements to develop local bio-based small and medium enterprises (SME) in place (5 agreements)

116. The sub-outputs 1.1, 1.2 and 1.3 constituted output 1. As each conservation agreement would have different dimensions like an agreement promotes SMEs and is funded by CSR, the sub-outputs overlapped as explained in the analysis of project planning. Therefore, the results statements needed to be re-worked for Outcome 1 with three Direct Outcomes feeding into Project Outcome 1, Outcome 2 was reformulated in Project Outcome 2 to better express the intended result, and Outcome 3, which focused on project management rather than project result, was removed in order to meet the requirements of the UNEP Evaluation Office for definition of results.

117. During the reconstruction of the theory of change in the inception phase, the results statements had to be adjusted because they were too unspecific (outputs and outcome) or even missing (impact). The logframe contained only one output "Conservation Agreements" in different dimensions which overlapped. No aspired impacts and no causal relationship for relating the outputs to aspired environmental impacts were provided in the logframe. The evaluation manager, the Evaluation Team and the peer reviewer of the inception report, therefore reconstructed the theory of change and adjusted the results statements in the inception phase of the terminal

evaluation. In the ProDoc logframe was an outcome 3 on project management. Project management is not part of the logframe, but of the costs of the project administration.

118. The results statements were adjusted as shown in Table 5 to show the revised results hierarchy of the project and formulated to be measurable. Every effort was made not to change the nature and magnitude of the project's ambition.

Table 5: Justification for Reformulation of Results Statements

	Formulation in original project document(s)	**Formulation for Reconstructed ToC at Evaluation Inception (RTOC)**	**Justification for Reformulation**
LONG TERM IMPACT Assumption: Improved livelihoods Poverty reduction strategies	Project objective: to 'demonstrate the potential for achieving biodiversity conservation and ecosystem service maintenance with private sector support using conservation agreements with local land- and resource-users' (PIR 2019, p. 6)	Long-term impacts at local level: Species and habitats are conserved within conservation areas. Log-term impact at national level: CBD and national environmental policies are implemented, partially through CAs. Private Sector Participation in conservation (like value chains and local green businesses) is evident in the local economy through CAs (reformulated from ToC p. 4) Contributions to SDGs	No indicator for impact in ProDoc Demonstrating potential for biodiversity conservation and private sector support is an intended higher-level result Impacts stated in the ToR are used for the reformulation of ToC
INTERMEDIATE STATES	None provided	Local micro, small, and medium enterprises (MSME) and payments from companies provide incentives for communities to invest in long-term protection of the environment complying with the rules of the CA.	
PROJECT OUTCOMES	Outcome 1: Conservation agreements with communities under implementation with private sector support *(PIR, 2019, p. 7)*	Project Outcome 1: Environmental Benefits at local level Implemented Conservation Agreements with communities and private sector produce environmental benefits regarding biodiversity conservation and land cover.	ProDoc: Outcome 1 is the same as output 1 with three different dimensions which overlap and means that an CA can contribute to promote sustainable supply chains, support local SME and prepare communities to partner with the private sector for conservation of biodiversity of global importance.
<u>Assumptions:</u> Social and economic benefits accrue to communities.	1.1 Fostering sustainable supply-chains *(ProDoc, p. 11)*	Direct Outcome 1: Sustainable value chains New/strengthened sustainable supply chains are operating.	

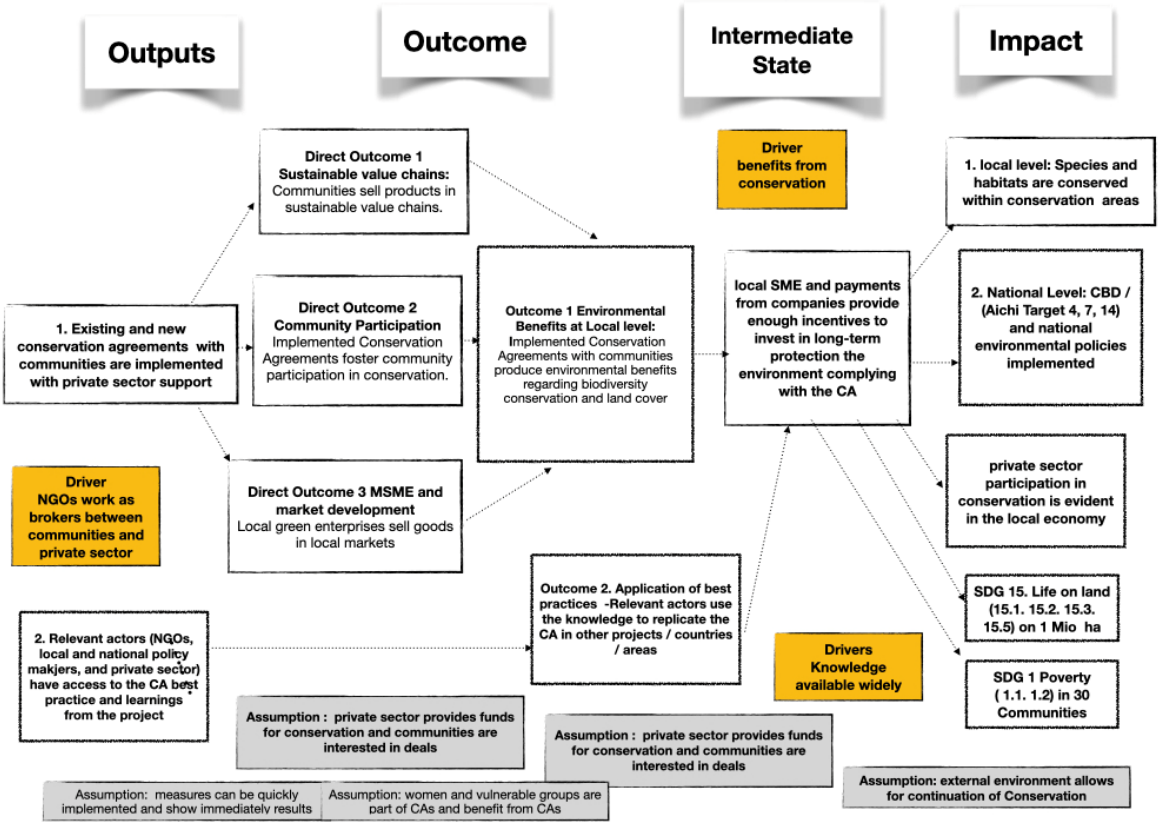
All differentiated community members benefit (women, children, indigenous groups, disabled).			
	1.2. Readying communities to partner with the private sector to secure conservation outcomes *(ProDoc, p. 11)*	Direct Outcome 2: Community Participation Communities partner with private sector agents in conservation initiatives.	
	1.3. Supporting small and medium local green enterprise development *(ProDoc, p. 11)*	Direct Outcome 3: MSME and market development Local green enterprises sell goods in local markets	Reformulated outcomes for private sector development to capture intended results of the project.
Assumption or Driver: Policy makers use knowledge products.	Outcome 2: Knowledge management: best practice for conservation agreements as private sector engagement tool documented and shared *(PIR, 2019, p. 7)*	Project Outcome 2: Application of best practices: Relevant actors use the knowledge of CA best practices to replicate Cas in other projects / countries / areas	ProDoc: Outcome 2 is the same as output 2. The natural outcome of the annual learning network event, the information on Cas being disseminated and publications being produced is use of this knowledge through replication.
	Outcome 3: Project Management: CAPPP effectively managed through sound implementation arrangements and processes *(PIR, 2019, p. 7)*		Outcome 3 addresses project management and cannot considered to be an outcome contributing to the impacts of project. Sound implementation arrangements and processes are conditions and drivers for effective project management and delivery.
OUTPUTS	Output 1: Conservation agreements with communities under implementation with private sector support *(PIR, 2019, p. 9-11)*	Existing and new conservation agreements with communities are renewed/established with private sector support.	The activities refer to the renewal of existing (pre-selected) sites and new sites being implemented.
	Output 2: Knowledge Management: best practice for conservation agreements as private sector engagement tool documented and shared *(PIR, 2019, p. 9-11)*	Relevant actors *(as NGOs and national policy makers as well as the local administration and the private sector)* have access to the CA best practice and private sector engagement tool.	For this to be an output (as opposed to deliverables) the relevant audiences' needs to have access to the knowledge (i.e., they are shared).

	Output 3: Project Management: CAPPP effectively managed through sound implementation arrangements and processes *(PIR, 2019, p. 9-11)*		Will not be considered as a project output because it is not taken up by beneficiaries

Step 3: Reconstructed theory of change for CAPPP

119. Step 3: The reconstructed theory of change for CAPPP as laid out in Figure 2 incorporates two key causal pathways from outputs-direct outcomes-project outcomes-intermediate states-impacts, all of which are influenced by key drivers and assumptions. The pathways are interdependent in so far as interest and capacity from private sector in investing in the communities' projects are necessary to enter successful CAs that eventually can be replicated.

Figure 2: Reconstructed Theory of Change



Step 4: TOC narrative

120. The analysis of the problem and identification of causal pathways was done through two hypotheses in response to the problem.

121. Problem: The Convention on Biological Diversity (CBD) is very successful in fulfilling its goal of 10% of the world's surface area being under protected areas status. However, most of these and other high biodiversity areas faced important challenges to finance their activities of biodiversity protection. About one third of the world's population lives in areas of high-value conservation areas. These communities' survival depends on their surroundings providing natural resources needed to maintain their livelihoods.

122. **Hypothesis 1 (How do the CA work?):** *Assumptions:* Communities living in areas of high value for conservation of biodiversity of global importance lack financial means to make a sustainable living out of natural resources in those areas. The potential of private sector participation in protection of areas containing biodiversity of high / global importance remains little explored. It is assumed that the private sector does not see it as their core business. This is certainly true for CSR payments – multinational companies make donations outside their core business to improve their image

123. In addition, it is assumed that the private sector perceives relationships with communities as high risk or high cost when directly sourcing products. NGOs can serve as brokers between the private sector and communities facilitating the negotiation of conservation agreements. Conservation agreements provide exact information about the activities of the community to protect high value conservation

areas and create trust and accountability. Further, community-based small and medium enterprises can be promoted in order to increase income or improve livelihoods in the community. The SMEs would source raw material like plants or honey out of the community area and process it for self-consumption or the market. Communities see sustainable management of natural resources as a source of livelihoods and biodiversity protection as a long-term investment in their future.

124. *Activities of the project to outputs:* The implementing NGOs prepare conservation agreements (Project Outputs) together with the communities according to the criteria set by Conservation International. Those agreements are initially signed by the communities and the NGOs (and sometimes the local governments). The conservation agreements contain detailed and site-specific measures for communities on how to protect biodiversity. This leads to the CA tool being adapted to the local context and sector and it results in a broad range of institutional arrangements with different scopes and operating in different contexts.

125. Outputs to direct outcomes to project outcome:

126. Communities (including vulnerable and indigenous groups and women) as beneficiaries use the conservation agreements and the financial security they bring with SMEs and payments from companies as the basis for changing their behaviour like harvesting practices for non-timber forest products or changing grazing patterns. These changing management practices produce environmental benefits like biodiversity conservation and land cover (Project Outcome).

127. Financial security is supported by “green” local micro and small enterprises based on natural resources (Direct Outcome 3), sales of high value products to national or international buyers – benefit sharing in value chains (Direct Outcome 1) or direct payments for specific activities like planting trees or patrolling the buffer zones of the protected area (Direct Outcome 2). Private foundations, CSR programmes of large companies and other private funding like compensation payments / carbon credits are new sources for funding conservation agreements. Economic benefits for the community are higher and sustainable income through the sale of sustainably produced natural resources. Social benefits are employment or social infrastructure like schools and health points.

128. Project outcome to intermediate state to impacts

129. The project activities are part of existing NGO activities like in the case of India or China so the long-term implementation of measures after the end of the project is ensured. This does not imply that there are always financial means for conservation agreements available. If the agreement produces sufficient benefits for the community and the external environment (like legal requirements) allows it, the community continues the activities (intermediate state).

130. Sustainable management of natural resources means that high value conservation areas such as habitats / ecosystems for endangered species are protected (Impact 1) and that biodiversity in those areas does not decline contributing to national and international targets for biodiversity protection (Impact 2, Impact 4). The economic and social benefits contribute to National Poverty Reduction Strategies (Impact 5). At the local level, the private sectors capacities are increased for investing in biodiversity as the basis for a green local economy (Impact 3).

131. **Hypothesis 2 (How can the knowledge about CA be diffused so that successful CA are replicated?):** *Assumptions* are that actors like NGOs, environmental policymakers and the environmental administration are interested in supporting private sector engagement in conservation and use the knowledge generated in the project in their work.

132. *Activities to outputs:* The implemented measures will be captured and reflected as good practices in the annual meetings and in publications of partners to be distributed. Identifying good practices implies a learning process of participating actors on what had worked in the CAs and what not and which strategies should NGOs and the private sector pursue to protect biodiversity and engage communities. Actors like other NGOs or environmental policy makers will use the knowledge products in their work.

133. *Output 2 to project outcome 2:* The publications will be disseminated via CI's website and result in better knowledge about private sector involvement and of national and international NGOs working in conservation of biodiversity. The implementors, like NGOs or national CI offices, will use the knowledge for replicating the CA tool in other projects and diffuse the knowledge among other stakeholders. Those actors will apply the CA tool in new projects and initiatives generating new benefits. Policy makers will include CAs as policy instruments for the protection of biodiversity and the management of protected areas.

134. Outcomes to intermediate state to impacts:

135. The intermediate state from outcomes to impact will occur beyond the boundaries of the project or the project duration. Relevant actors will apply good practices for linking communities and the private sector in conservation agreements. This will lead to local institutions where SMEs and payments from companies provide enough incentives to invest in the long-term protection of biodiversity (Intermediate State). All planned impacts (Impact 1-5) will occur as already described. Sustainable management of natural resources means that high value conservation areas as habitats / ecosystems for endangered species are protected (Impact 1) and that biodiversity in those areas does not decline contributing to national and international targets for biodiversity protection (Impact 2, Impact 4). The economic and social benefits contribute to National Poverty Reduction Strategies (Impact 5). At the local level, the private sectors capacities are increased for investing in biodiversity as the basis for a green local economy (Impact 3).

136. *Drivers* for change are committed actors and stakeholders for project implementation. Further, the tangible benefits from CAs lead to better practices of managing high value conservation areas by communities.

137. The key *assumptions* stated in the ProDoc are : a) Private sector interest in supporting community-based biodiversity conservation, and b) Communities in priority areas for biodiversity and ecosystem services are interested in negotiated conservation deals.

138. A*ssumptions* about the future are: c) External conditions remain stable and allow the involvement of the private sector which implies that the CAs are aligned with countries governments policies.

139. In summary, the implied theory of change of the project, which was partly written down in the ProDoc on page 16 reflected the state of CI´s knowledge about CA

implementation in 2009 when the project was written for the World Bank as implementing agency. UNEP accepted the unchanged project as implementing agency for GEF and to be executed by CI between 2014 and 2019. The initial ToC did not take into account the state of the art in some fields of business and the environment outside the conservation NGO community like SME promotion, sustainability standards, Fair Trade or organic agriculture.

V. EVALUATION FINDINGS

A. Strategic Relevance

Alignment to UNEP MTS, POW and Strategic Priorities

140. The project was in line with UNEP´s previous Medium-Term Strategy (MTS) 2014-2018: Expected Accomplishment (EA) (a) Production: Increased use is made of the ecosystem approach in countries, with a view to maintaining ecosystem services and the sustainable productivity of terrestrial and aquatic systems. It was also in line with the current MTS 2018-2021: EA (b) Policymakers in the public and private sectors test the inclusion of the health and productivity of ecosystems in economic decision-making.

141. The project was in line with UNEP's role in the GEF to catalyse the development of scientific and technical analysis for linking science to policy and advancing environmental management in GEF-financed activities. In particular, the project further complemented UNEP's aim to promote specific methodologies and tools that could be replicated on a larger scale by other partners and its programmatic efforts to build capacity of stakeholders to conserve biodiversity and maintain ecosystem services through an ecosystem service approach. It was consistent with the Ecosystem Management and Resource Efficiency thematic priorities outlined in UNEP's Medium-term Strategy 2014-2017. The project's emphasis on lessons regarding private sector engagement in biodiversity conservation and ecosystem maintenance was also aligned with UNEP's Green Economy Initiative and UNEP's role in the Natural Capital Coalition (formerly, The Economics of Ecosystems and Biodiversity (TEEB) for Business).

Alignment to UNEP/GEF Strategic Priorities

142. The project was one of the few successful GEF projects focusing on private sector involvement in conservation and SME development in high value conservation areas. It pursued a realistic approach towards the engagement of the private sector and took SME development seriously (See report on MSME engagement of GEF projects, GEF-IEO 2022).

143. Implementation of Conservation Agreements was part of Conservation International's (CI's) Conservation Stewards Program (CSP) that started in 2005, thus the UNEP/GEF CAPPP (2014-2020) project represented a small portion of a much larger initiative, taking into account the short implementation period at field level (1-3 years). In this context and considering GEF policy to finance innovative and knowledge development process, reporting on incremental costs finance to produce a synergy for conservation of biodiversity of global importance was highly relevant.

144. The CAPPP project financed pre-existing and new initiatives selected by open calls. Some of them clearly showed that the GEF funds provided aggregated value to previous activiti43grFor example, Fundación Natura in Bolivia had previously implemented interventions focusing on forest patch protection for water protection. In the CAPPP project, Fundación Natura, integrated into the agreements for forest protection the item of biodiversity conservation of a globally important species. Biodiversity was integrated in their regular work for future agreements. This aggregated value of the GEF project financing could be considered of high relevance.

Another example of the added value of GEF involvement was the sub-projects in Guatemala and Colombia, where the local implementors WCS and Calidris considered the Conservation Agreement tool as a step forward to conservation due to specific elements involved such as community-based monitoring and compliance commitments.

Relevance to Global, Regional, Sub-regional and National Priorities

145. The project tested two strategies, which were highly relevant for the involvement of the private sector in conservation: 1) National and global value chains and SME development in protected areas to improve the livelihoods of the local population living in high value conservation areas. 2) Mobilisation of funds from CSR payments either directly from larger companies or from private foundations to invest into conservation. When the project was designed in 2010, the conservation community had high expectations towards mobilising CSR funds from large national and multinational companies. In the last few years, however, those expectations have been adjusted because of the risk that CSR funding could lead to "greenwashing" of companies with an environmentally harmful core business. The PSC acknowledged this issue in its meeting in 2019 and decided to pursue a strategy to apply due diligence from the community and other stakeholders like seeking their perspectives on the private sector partner.

146. Setting up value chains for bioproducts (product sourcing agreements) from high value areas and improving economic opportunities of the local population beyond getting good will for conservation (SME development), were highly relevant strategies.

147. The project document and country proposals show the relevance of the project to the conservation of biodiversity of global importance, which is the mandate of the GEF. Nevertheless, this relevance was not clearly defined in the ProDoc's Logical Framework except for the number of hectares of intervention and references made within different paragraphs of the document. Proposals for sites at country's initiatives level specifically mentioned that initiatives were developed within or near areas of high importance for conservation of biodiversity; for instance, Guatemala in Maya Biosphere Reserve with a community that reside inside a protected areas (the National Park El Tigre), Peru in the Alto Mayo Protected Forest (buffer zone of the National Park Cutervo), Colombia in the National Reserve Madroño or the bufferzone of the Krüger National Park in South Africa. Other initiatives made reference to objectives of conservation, for example, species considered of vulnerable or endangered such as the red fronted macaw in Bolivia, Arawana and Piracuru as indicators in Peru and in general different species including yellow tailed woolly monkey or marine turtles in Colombia, and finally, some referred to ecosystems considered of high importance for conservation such as mangroves in Colombia and Tumbez dry forest in Ecuador.

148. The project failed to provide a detailed analysis showing the relevance of each initiative and all measures in the Cas to the conservation of global importance biodiversity: for instance, in Bolivia where Cas covered forest patches for the protection of the highly vulnerable red fronted macaw while other Cas had a focus on water production as an ecosystem service. Here, the Evaluation Team would like to add that the project had focused on its core questions – private sector involvement- and less on the GEF objective protection of global biodiversity.

149. The project had a local relevance for executors and participants. They expressed their satisfaction with the project intervention. The majority of interviewees expressed their understanding of the conservation goals of the initiatives. Not all initiatives referred to the GEF principles of conservation of ecosystems of global importance. None of the interviewees in Latin America knew about the GEF or UNEPs role in the project. At the most, a few mentioned United Nations.

150. In most cases where CAs were implemented, they fit into the local and national context while a few were not fully coherent with national policies**.** Local executors mentioned that they did not take part in the overall design of the project but were responsible for the design at local level, thus the initiatives designed were coherent with the communities' context as well as the CA tool of Conservation International. Noting that many of them had started many years earlier, they were well adapted to the local conditions.

Complementarity with Existing Interventions/ Coherence

151. The project was complementary with existing interventions and existing policies. Sub-contractors tested the CA tool in two cases (feasibility studies) where the approach was suited to the local needs and existing national policies but took more time to implement. In the case of India, the project conducted a feasibility study for setting up CAs for non-timber forest products in a tiger reserve, which was administered under the Forest Department and required a very specific institutional set-up. Within the short timeframe of the intervention, this set-up could not be established, however, the involvement of an international conservation NGO—Conservation International—contributed to advancing the process. In Ecuador, the CA tool was tested in a feasibility study in an area for water source protection of the city of Guayaquil. Only in 2021, the implementing NGO, The Nature Conservancy Ecuador, was able to implement the results of the feasibility study adapting it to the local context and resources.

152. In summary, the project was in line with UNEP and GEF priorities and national policies. The CAs were adapted to local needs and priorities of the communities but not all included the protection of biodiversity of global importance.

Rating for Strategic Relevance: Highly Satisfactory

B. Quality of Project Design

153. The project design was rated 'moderately satisfactory'. The project objective and outcomes were too unspecific. The target value for the GEF core indicators was unrealistic given the limited timeframe of the project (5 years) and the financial volume of the project. As each of the case studies was co-financed by other donors and the private sector in cash and in-kind, it is very probable that the area covered by the project could also be attributed to other projects / donors. Therefore, the evaluation considered the contribution of the project to the expected outcomes.

154. Activities, outputs and outcomes seem sufficiently related and connected to the objective because they only refer to the set-up of conservation agreements. The results framework complies with basic requirements including indicators and target

values, means of verification and limited assessments of risks. Some unclear articulations of results statements confusing activities, outputs and outcomes and lack of SMART indicators were found in the log frame. They needed to be reworked in the reconstructed ToC for the project to comply with international standards of results formulation and UNEP requirements for evaluation.

155. Evidence related to the problem (biodiversity degradation in communities) could be elaborated more referring to causes and barriers. The project only relies on one tool / instrument to address the problem. Under CAs several instruments are summarised which in fact have been implemented in other types of projects for natural resource management or development. CAs have many forms like incentives for ecosystem services in watershed management, community-based management of natural resources and related economic activities like forest-based SMEs and collection of non-timber forest products or premium prices for bio-products as investments in the source of the products as well as carbon credits from the voluntary market. The focus of the project was to show how to increase the participation of the private sector in different types of contracts for conservation. So, the main result would be project outcome 2 of the project: To demonstrate how the private sector and CA activities could contribute to biodiversity conservation of global importance for which a strong knowledge management component would have been necessary.

156. One issue found in the project design, which was addressed in the TE by the Evaluation Team relates to knowledge management. The project appeared to have mainly relied on the knowledge of CI acquired in its Conservation Stewardship Program. The project was a trial-and-error learning process, however, some references to other communities of practice in an initial phase of research could have contributed to ease the process.

157. Many of the issues related to the involvement of the private sector have been extensively investigated in business management literature like the motivation of multinational companies for CSR payments, motivation to invest into their supply chains, motivation to participate in watershed management or effects of premium payments for products in fair trade agreements or sustainability standards. Other well researched issues in the development community are SME promotion or community-based management of natural resources. Extensive publications exist on all those issues, which were not referred to in the project design document. So, the project, at this stage, could have been in danger of 're-inventing the wheel' in some areas like premium payments to communities, which exist in Fair Trade. The incremental value of the GEF intervention would have been to demonstrate how those initiatives could connect with biodiversity conservation of global importance.

158. It was not clear to the Evaluation Team based on the project's results framework if the project would contribute to creating new knowledge like in the case of organic agriculture in India or if it intended to leverage knowledge from implementing NGOs for CI´s own initiatives. So, the *transfer of knowledge* as an outcome would have benefitted from more refinement in the project design.

159. The project design was rated overall as "Moderately Satisfactory" (3,8 of 6,0) see Table 6 below for rating.

Table 6: Overall Project Design Quality Score

	Section	Rating (1-6)	Weighting	Total (Rating x Weighting)
A	Nature of the External Context	3	0.4	1,2
B	Project Preparation	3	1.2	3,6
C	Strategic Relevance	4	0.8	2,4
D	Intended Results and Causality	3	1.6	4,8
E	Logical Framework and Monitoring	3	0.8	2,4
F	Governance and Supervision Arrangements	4	0.4	1,6
G	Partnerships	5	0.8	4,0
H	Learning, Communication and Outreach	3	0.4	1,2
I	Financial Planning / Budgeting	4	0.4	1,6
J	Efficiency	5	0.8	4,0
K	Risk identification and Social Safeguards	4	0.8	3,2
L	Sustainability / Replication and Catalytic Effects	4	1.2	4,8
M	Identified Project Design Weaknesses/Gaps	6	0.4	2,4
			Total Score *(Sum Totals divided by 10)*	**3,8**

1 (Highly Unsatisfactory)	< 1.83	4 (Moderately Satisfactory)	>=3.5 <=4.33
2 (Unsatisfactory)	>= 1.83 < 2.66	5 (Satisfactory)	>4.33 <= 5.16
3 (Moderately Unsatisfactory)	>=2.66 <3.5	6 (Highly Satisfactory)	> 5.16

Rating for Project Design: Moderately Satisfactory

C. Nature of the External Context

160. The project document did not analyse the external context in the pilot countries or sites because the project was executed in several different locations. A context analysis was either included into the proposals prepared by the site implementers or they had worked for a long time in the local context to adequately address the challenges of the political and socio-economic context.

161. As a general comment, most locations where the CAs were implemented, were remote areas like the Cardamon Mountains in Cambodia. This made it difficult to

develop new market oriented economic activities. Another common characteristic of these communities was the lack of public infrastructure and in some cases the presence of state institutions was weak, however, the political situation was stable at national level with the exception of Colombia and Ethiopia. Implementing NGOs like CI national offices or larger NGOs which were able to answer the call had a long presence at the project sites so that the projects were well adapted to the local conditions.

162. Before CAs were executed, a feasibility study was conducted for the specific site, so that all unfavourable external factors were analysed.

163. Coastal and Amazonian (Colombia) and mountainous areas (China) were prone to natural disasters but did not negatively affect project implementation. Armed conflicts were prevalent in Colombia which limited project activities.

Rating for Nature of the external context:	**Favourable**

D. Effectiveness

164. The project showed a high level of compliance of CAs, considering its methodology and implementation in communities. However, it has faced challenges establishing links with the private sector or support private sector actors in the communities. In addition, as the project was part of longer-term interventions it was in some cases difficult to attribute environmental, social economic results to the specific project intervention. It has fully achieved its formal goal measured by its indicators however the contribution to the higher-level goals of–EF--conservation of biodiversity of global importance—could not be shown in all CAs and in all sites because links between the CAs and the protection of biodiversity of global importance were weak in some CAs and some sites.

Availability of Outputs

Output 1 Conservation Agreements: Existing and new conservation agreements with communities are renewed/established with private sector support

165. CAPPP financed 69 conservation agreements signed with communities and 722 agreements signed with individuals/families across 14 sites in nine countries. Table 7 provides an overview of type of private sector incentives used and CA supported initiatives by country. This amounted to 1,184,852 ha of important ecosystems under improved management using conservation agreements across the portfolio.

166. The conservation agreements (CA) applied one or more of the three private sector engagement/market-based approaches in the CAPPP framework: 1) Natural product sourcing 2) Corporate responsibility, and 3) SME development. The project achieved the targets for number of agreements using each of these approaches, i.e., 36 natural product sourcing CAs; 18 corporate responsibility CAs and 21 SME development CAs were already in place. Here some CAs were listed to contribute to two categories. Table 7 lists the type of CAs entered at country level.

167. Multiple conservation agreements with individual families in a site were combined as one CA in order to determine these numbers in all sites where conservation agreements with individual families had been signed.

168. It had been planned that, the CAPPP should successfully implement 30 conservation agreements in at least ten countries around the world.

Table 7: Overview of Type of Private Sector Engagement and Conservation Agreement

Type of private sector engagement	Sub-project	Type of incentives by CA	Motivation of private Sector	Activities	Beneficiaries, Area covered / ha	Implementing Partner	Amount of Funding (US$)
CSR payments	Bolivia	Incentives for ecosystem services in Watershed management	Foundation of multinational company provides project-based payments for watershed management co-operative, municipal water providers manage water fund for watershed measures	*Existing* incentive based- watershed management agreement with other downstream users, additional payments were used to include biodiversity management in watershed management Project activities: financing of M&E system for water,	500+ families, 64 000+ ha	Fundación Natura is an NGO specialised in watershed management in Latin America	300,000
CSR payments and SME development, product sourcing/ value chains	Cambodia	Carbon credits from voluntary market, value chains and MSME development (handicraft)	Multinational companies seek project-based carbon credits at scale of a forest area, multinational company provides prior investment in degraded forest area,	Multinational company invests over a period of 3 years in forest management in protected areas to receive carbon credits over period of 10 years project activities:handicraft development and national value chains	Site 1 591 people, 403.103 ha, Site 2 490 people 360,000 ha	CI Cambodia	277,775
Product sourcing national value chain	China	Sourcing of biobased products from community	Existing local social enterprises buy nature-based products from communities – short value chains	*Existing* production of honey in communities is extended, social enterprise sells honey Project activities: support for additional activities and links to L'Oreal China company owned by L'Oreal China	3 villages: 387 people and 4000 ha, 500 people, 2510 ha, 728 people, 6500 ha	ShanShui Conservation Center	75,300

				offered training to farmers paid by the project			
SME development, product sourcing national value chain	Colombia	Community-based management of natural resources – development of local SMEs and value chains	Community-based SMEs and fishermen co-operation improve management of mangrove forest / catching practices	Existing country - level projects for marine protected areas are supported, complying with minimum size of catch is promoted, community - based enterprises outside fishing and national level value chain for one product	2300 people; 12 500 ha	Asociación Calidris	60,000
CSR financing of large national enterprise	Colombia	Community-based management of resources -	Support to local communities to switch practices for sea turtle hunting, CA pays for protection and additional income, CSR financing turned out to be unstable, new donor 50offee50nts funds	Existing country - level projects for marine protected areas are supported	567 People, 7 ha	CI Colombia	21,000
SME development, product sourcing national and international value chain	Ethiopia	Local farmers and local Forest Management Co-operatives, sourcing from communities	NGOs tries to link wild coffee harvesting producers to national and international value chains	Community-based management of buffer zones builds upon Existing activities of farm Africa in communities	8,871 people; 13 participatory forest management co-operatives 112, 500 ha	Farm Africa	399,121
CSR engagement Compensation project of multinational company, community-based SME	Guatemala	Community-based management of resources	Community-based forest management and SME, FSC certification of forest products	Existing activities in the community, additional support for consolidating activities, support for compensation finance agreement	2 sites: (1) Paso Caballos: 1,167 people; 15,000 ha (2) Uaxactún: 1,060 people; 83,558 ha	Wild Life Conservation Society	289,999

product sourcing national value chain development	India	National level value chains	Individual producers implement organic agriculture in a protected area,	Community based management of NTPF was planned in one site, agreements with single producers for promotion of organic agriculture as alternative to NTFP were implemented in a different site, local enterprises support sale of products	4,848 people; 54,313 ha	Keystone Foundation	109,789
CSR payments Funding from a private foundation	Peru	Community-based co-operatives	Restrict conversion of forests and produce cash crops	CA in primary forest as support for renting agreements between indigenous communities and small farmers	185 people; 3,000 ha	CI Peru	393,253
Product sourcing	South Africa	Community-based co-operatives and micro enterprises / individual farmers	Access of farmers to national value chains work with community-co-operatives,	Conservation agreements into the Namaqualand Municipality's by-laws for communal grazing areas. Under these bylaws, community co-operatives have a formal role in overseeing the compliance an	2,724 people; 88,289 ha	CI South Africa	250,000
Product sourcing	South Africa	Micro enterprises / individual farmers , development of co-operatives	Stronger participation in local markets through technical assistance	CA agreements with individual farmers about grazing practices in exchange for TA for market participation, development of co-operatives	322 people; 7,600 ha	CI South Africa	250,000

169. Table 8 presents the Conservation Agreements per country, subcontractor and area.

Table 8: Conservation Agreements per Country, Sub-Contractor and Area

No.	Country	Sub-contractor	Area	No of Sites	No of CA with communities	No of CA with communities new	No of CA with individuals continuing	No of CA with individuals new

					continuing			
1	Guatemala	WCS	Maya Biosphere Reserve	1	5	2	0	0
2	Peru	CI Peru	Alto Mayo	1	0	2	0	0
3	Cambodia	CI Cambodia	Cardamom Mountains and Prey Lang	2	0	1	0	0
4	South Africa	Conservation South Africa	K2C	1	0	4	0	348
5	South Africa	Conservation South Africa	Namaqualand	2	1	4	42	227
6	Bolivia	Natura Bolivia	Inter Andean valleys of Santa Cruz and Cochabamba and, Community agreement in the Chaco	12	1	1	698	698
7	China	Shan Shui	Southwestern Mountains	3	3	0	0	0
8	Ethiopia	Farm Africa	Bale Mountains	1	0	13	0	0
9	Colombia	CI Colombia	Guajira, Amazonas, Iscuandeé	3	5	2	0	0
11	Ecuador	The Nature Conservancy	Guayas province, Duale watershed	1	0	Feasibility analysis only	0	0
12	Kenya	ERMCSD	Bungoma County, Cheptais Landscape	1	0	Feasibility analysis only	0	0
13	Uganda	International Crane Foundation	Uganda, Kabale Wetlands	1	0	Feasibility analysis only	3 (not funded by CAPPP but due to	0

							Feasibility study)	
14	India	Keystone Foundation	North Kerala, Malappuram district Tamil Nadu, Tiger Reserve	2 (only one site with CA)	0	6	Feasibility study only in Kerala site	0
15	Mozambique	Rainforest Trust	Namuli Massif, Mekunha Localidade, District of Gurue, Zambezia	1	0	Feasibility analysis only	0	0

170. The CAPPP project also contributed US$80,000 to three CAs in the Colombian Amazon (covering 125,000 ha in total by October 2021) with indigenous communities without private sector involvement and co-funding.

171. **Compliance with the Field Guide for Design and Implementation (CI 2016) implementing CAs.** Consistent with the design, the project was implemented at site level using the provided Conservation Stewards Program methodology, which included communities to formally agree to implement activities that would regulate or ban hunting, fishing, fire management, prevention of new immigrants and also include penalties for non-compliances. In addition, the CAs documents included provisions for social organization in order to ensure a fair distribution of payments at individual and community levels. Furthermore, each CA, as proposed in the methodology, was adapted to specific ethnic-cultural aspects as well as environmental contexts**.**

172. **Compliance of communities with CAs—**Field staff of implementing NGOs interviewed reported that compliance with communities' responsibilities was good. Compliance improved during the project at site level. Interviewed NGOs reported that training and provision of social benefits supported compliance. They also explained that CA compliance and positive attitude towards conservation was influenced by the social organization of the communities. Therefore, changes of attitude cannot be solely attributed to the project activities because they rely on longer social processes to change behaviours and management practices.

173. Capacity building was conducted like training for conservation and community monitoring practices or more general workshops on the importance of conservation in sub-projects. Interviewed community leaders recognized the importance of biodiversity conservation and for community monitoring practices.

174. **Benefits for communities provided as grant—**Different types of community benefits during implementation were offered. Education and health services were provided to some communities (Guatemala, Peru), health services (Paso Caballos and Alto Mayo, Guatemala) or provision of a teacher (Paso Caballos Guatemala). Other benefits were simple infrastructure measures (wooden bridges and wooden dock for canoes in Colombia). Individual benefits included cash compensation for monitoring

(South Africa) or in some cases covering fuel and logistical expenses for monitoring compliance within their territories[2], or provision of goods as well as tank containers for potable water[3] At the project sites, the community members were satisfied with the distribution of compensations because they were decided in consensus.

175. The project was effective in including **gender** and a holistic approach to improve the living conditions of the whole family considering and respecting the cultural particularities of the different **ethnic groups** involved.

176. Initiatives in different countries and sites showed ways to include gender considerations according to different context. For instance, at some sites in Colombia women were in charge of the activities implemented (harvesting and monitoring piangua)[4] or in Guatemala planting and harvesting Xate[5]. They had decided how to spend the increased income generated by men in order to ensure it would help to improve the family livelihood (income for agriculture products)[6] and the provision of women's health services respecting their indigenous cultural disposition towards western medicine[7].

177. At community level different types of capacity building for CA implementation were also reported by national level and field level implementing NGOs. The focus was set on strengthening community's internal organisation which was the basic requirement to link them with different types of the private sector. In many cases such capacity building started in previous projects, but it was reported that under the CAPPP project many processes were strengthened. This was comprehensible as developing social organisations require long-term interactions. It is noticeable that the level of institutionalisation of CAs varied among the sites depending on different factors. One factor was the length of time during which the communities had worked or received support on this matter.

Output 2 Knowledge products: Relevant actors *(as NGOs and national policy makers as well as the local administration and the private sector)* have access to the CA best practice and private sector engagement tool

178. The following learning and communication products have been delivered:

- Implementation of four Learning Network Meetings building the knowledge and capacity of implementers within and beyond the CAPPP network.
- Factsheets and a project overview which is live on the CI website.
- Project stories and blogs in various publications including a story on South Africa produced by UNEP-CI and picked up by GEF.
- A final project Lessons Learned report.

[2] Colombia, Peru, Guatemala

[3] In Bolivia tanks to collet rain water and tubes to collet it were distributed among the individual farmers that signed agreements to protect a community forest for red fronted macaw protection in Pasorapa or individual own patches in other municipalities. Payments were done with the project grant while tranches were paid in equal parts by participants, the Municipalities, the Water Funds where they were present and the grant money. Therefore, the size of the tanks depended on the payment capacities of the families involved.

[4]Colombia at Iscuande,

[5] Guatemala, Uaxactu.

[6] Peru

[7] Peru, Guatemala.

179. CI's Conservation Stewards Program facilitated learning across sites providing technical assistance and via the Learning Network Meeting where lessons learned from the CAPPP were shared with the rest of the network of sites with private sector engagement. The learning network meetings have been the most impactful opportunity for improving learning and practice afforded via CAPPP. These meetings allowed practitioners to learn from a wide array of practical experiences, forging connections across the diverse CAPPP portfolio. Learning focused primarily on key themes within the CAPPP including best practice for design and implementation, improving monitoring and evaluation, achieving financial sustainability, communicating with key stakeholders, understanding the private sector, supply chains and community enterprise, and implementing environmental and social safeguards.

180. The MTR (p.43) also found that the learning network meetings were considered important and useful by CI's partners that were implementing CAs in different countries, as it allowed for exchange of experiences to take place and they provided practical knowledge about how to manage difficult The CI Lessons Learnt Report (2020) drew similar conclusions about the usefulness of the meetings (p. 34).

181. The learning process within the project focused on improving the implementation of CAs on the sites. The learning process was not well documented, for example, which lessons learnt for monitoring could be applied across all sites. Those learning processes also have not been documented and shared for use outside the project.

182. More generalised lessons learnt, which could be used for future projects have not been developed like identifying success factors of value chain development or SME development on sites or drawing lessons learnt from CSR engagement of companies for the engagement of large companies in future projects.

183. The project also arranged several meetings with representatives from private and public sector organisations to inform about the CA model and engage them with CAPPP activities. CAPPP managers were very active establishing relationships with the private sector in order to leverage funds and implement joint activities. (MTR p. 43)

184. The quality of the knowledge and learning deliverables like website and flyer was good because they presented the main information about the project sites and results in an easily understandable manner. Knowledge products like the synthesis report for interested readers from NGO, companies and sciences, however, could have been far more analytical to provide better access to the knowledge gathered on the sites.

185. The Evaluation Team appreciates the learning processes resulting from the project activities and making the knowledge from the project accessible to other actors, which go beyond the traditional approach on producing and diffusing knowledge products.

186. CSP had a strong focus on on-site learning and adaptive management of CAs as well as diffusing CAs as a tool for conservation to other NGOs. The knowledge management approach of the project mainly focused on decentralised learning in sites and country teams and on communicating the results to relevant actors on a decentral level. The learning took part across the portfolio of sub-projects from CI and NGOs.

187. CSP treated each CA as a unique case to be adapted to the needs of the communities and the conservation objectives. This learning- oriented adaptive management approach was the main strength of the project. Adaptive management actions have been part of a trial-and-error learning process across sites and on sites in South Africa. Knowledge about market access from a site, which the project did not finance was transferred to Namaqualand. Here, the community was more interested in market participation, so the activities were adapted.

188. The MTR recommended a more sub-project focused approach for communication and learning like presenting the results and learnings of the sub-projects in final reports and submitting a synthesis report presenting the knowledge generated across sites (CAPPP Lessons Learnt 2020). Indeed, the final reports of the sub-projects did contain lessons learnt about the involvement of the private sector in CAs like a document of Fundación Natura about CSR engagement of companies (Fundación Natura 2020). The final document made the learnings about private sector involvement more accessible to outsiders.

189. In general, the CSP had a strong commitment to communicate the learnings about CA and the importance of private sector engagement to other NGOs in the meetings of the project. The project design was conducive to diffusing the knowledge about CAs to other NGOs. The calls for implementation of CAs were open to other NGOs allowing the transfer of knowledge about the CA tool to the applying NGOs.

190. The implementing NGOs also used knowledge generated in other projects running parallel to this project for project implementation: Knowledge from a REDD+ project has been used to design the monitoring for biodiversity structures in CAs in the case of Ethiopia and Peru.

191. The project could have benefitted from learning from other communities of practice on SME promotion or voluntary standards. Entrepreneurial training or setting up value chains have been part of the portfolio of NGOs engaged in development for some years, so knowledge was available in other communities of practice. The limited budget of the interventions, however, hampered the recruitment of necessary external knowledge or co-operation with other NGOs.

192. The Evaluation Team concludes that a learning process about how to implement the CAs adapted to different sites took place inside the project so that implementing NGOs could improve their work on the sites. This learning process was not well documented. Learning products for users outside of the project mainly provided overviews about implementation on sites but failed to produce more generalised knowledge like success factors for MSME development in communities or CSR engagement of companies.

Achievement of Project Outcomes

Project Outcome 1: Environmental Benefits at Local Level: Implemented Conservation Agreements with communities and private sector produce environmental benefits mainly as improved management practices for land.

193. The project reported a high level of compliance with the proposed outcome indicators (Project final report 2020, Lessons Learnt report 2020); nevertheless, due to the differences of ecosystems and measures undertaken, aggregated data reported

fail to provide a comprehensive understanding of the results reported. This was even more relevant in relation to higher-level impact results.

194. The time period of CAs spanned from 1 to 3 years financed by the project, was generally perceived as being too short to produce substantive environmental and socio-economic outcomes (Conservation International. Lessons Learnt Report 2020 p. 32). The sub-projects were phases of longer-term interventions on the sites requiring adaptation, growth and financial stability. In longer-term interventions like in China, Guatemala, India or Peru with substantial private sector involvement and support to livelihoods activities, results pointed towards robust environmental outcomes regarding land cover and biodiversity.

195. As the sites used different environmental indicators and methods for observing environmental outcomes, it was challenging for the Evaluation Team to summarize the results of the different sites. The Evaluation Team found in interviews and project reports mainly changes in community level motivation and behaviour and that local institutions resulted in better management of natural resources in the project areas like in South Africa or Ethiopia. At some sites, monitoring tools from other initiatives like REDD+ or satellite images were used to measures forest or vegetation cover or changes in biodiversity.

196. The logical framework included only one indicator related to conservation, which was expressed in number of hectares with an increment target of 500.000 ha intervened (LB 500,000 and expected 1million ha). The GEF tracking tool[8] at project closure reported 1,184.852 ha of landscape / seascape were covered by the project while the final PIR[9] reports indicated 1,651,376 ha. Either report would indicate that the project would have highly surpassed the expected 1million (184,852–651,376 ha more than planned).

197. Despite this high level of achievement reported, these numbers cannot be interpreted as a total area for biodiversity conservation of global importance. Due to the broad differences among the initiatives, adding up numbers could lead to erroneous interpretations. In some cases, the area reported would represent the area covered by the intervention of the CA, which would not be the same as the area protected for biodiversity conservation of global importance. Furthermore, the Final Report[10] failed to provide disaggregated information on how the area was calculated and in which areas biodiversity was conserved. In the project areas these two parameters were quite distinct.

198. In the case of Bolivia only some of the CAs were related to the conservation of forest patches essential for foraging the red fronted macaw while the majority were focused on water production (while water is an important ecosystem service, it is not included in funding for the GEF Biodiversity Strategy). Similarly, in Peru, some areas of direct intervention focused on coffee, yuca, or reforestation of secondary forest, with the aim to prevent deforestation of bordering protected areas, thus the two types or areas need to be clearly distinguished. Project activities in buffer zones of protected areas like in K2C (Krueger to Canyon Biosphere Reserve) in South Africa were important for the protection of the core zone as shown by the experimental sites under

[8] GEF biodiversity tracking tool for Biodiversity projects in GEF-3, GEF-4 and GEF-5.
[9] PIR 2020
[10] Final Report. Annex 12. Provides information on the amounts expended. An provides a short information on how each CA was implemented.

the Other Effective Area-based Conservation Measures (OECM) by the International Union for Conservation of Nature (IUCN).

199. The CA implemented in Alto Mayo, Peru, provided the strongest evidence of conservation achievement related to biodiversity conservation in terms of reduction of deforestation in Latin America due to reduction of renting protected forest from 163.3 ha in 2015 to 13.8 ha in 201811. There was an increase in deforestation in 2019 to 60 ha when CI could not intervene during the COVID-19. The information was provided through a historic land cover methodology using satellite images. An indirect benefit reported by the implementing NGO was the expansion of settlement towards the bordering protected area slowed down. It would have been important to provide information on the quality of conservation of the untouched areas of the protected forest.

200. The following tables, Table 9 to Table 18, present the environmental outcomes per site using site-specific criteria and indicators to show the raw data on which the aggregated data have been generated. It was not possible to compare the planned targets and indicators per site with the achieved results due to the limited indicators and lack of baselines and lack of a common indicator framework. Tables include a reference to GEF indicator; however, it should be noted that this indicator was not available when this project was formulated but it was requested in the report, therefore included.

[11] CSP final report and CI-Peru tables on Alto Mayo deforestation

Table 9: Environmental Outcomes in Sub-Project Bolivia

BOLIVIA					
GEF Indicator	**Environmental Objectives: Planned Target and Indicators**	**Sources**	**Remarks**	**Achievement**	**Environmental Target Achieved/ partly achieved/ not achieved**
GEF 6 Indicator No 4 – area of landscapes under improved practices (GEF 4 Tracking tool indicator II 1 covered area)	Goal was 50,000 hectares of forest through Conservation Agreements Goal to benefit 750 upstream rural landowners benefit from implementation of Conservation Agreements (Proposal) 20,000 downstream actors benefit and contribute financially to Conservation Agreement program They propose to achieve these objectives across an area of almost a million hectares, linking three national parks and four sub-national biosphere reserves into a conservation landscape that uses conservation agreements as its basic management tool.	Environmental Objectives in Proposal Achievements: Final Terminal Template 2020 (CSP) Brochure “Reporte de Impacto” M&E of selected implemented measures	Main objective of most agreements is to conserve important forests for water provision. The project reported that forest patches protected for water production were important for connectivity between protected areas. Nevertheless, it would have been important to identify the ecology behind such connectivity to understand its effectiveness and global importance, especially those preserved in Municipalities where red-fronted macaws are not present. For example, an area of dry intervalley forest is characterised by high endemism, not knowing what species were involved do not allow to understand the effects of such protection from the conservation point of view. Similarly, it would have been important to characterize the quality of the protected forest where red fronted macaw arrives for forging on non-nesting periods in order to	65,862 ha of forest managed under Watershed agreements (Fundación Natura) 32 CA – 580 people 59,164 ha (list CI per 11/2022) Benefit 813 rural and indigenous families from 60 communities of 12 municipalities with productive and water access incentives and one-on-one training for the proper implementation of their incentives. (Fundación Natura)	The raw data for the aggregated data for the GEF indicators are shown here, no further assessment is possible due to the quality of information The contribution to the project outcome is partially achieved.

			comprehend its global importance. The success of bio-corridors linking the National Parks is unknown.	Building up institutions for better management of forest patches	
	Improved biodiversity: 2 species. On the protection of the habitat and nesting sites of the Red Fronted Macaw (municipalities of Pasaropa) and the Guanaco (in Charagua)	Nesting sites have been protected but there is not hard data. In the case of the Charagua Iyambae territory, the Conservation Agreements for water and biodiversity conservation were implement within the Irenda and Guanaco Protected Areas as part of the strengthening and management of these newly created areas (Final Report)		Interview Final Report template Lessons Learned produced by FN. No M&E measures	Fundación Natura (FN) mentions identification of key areas with red fronted macaw but does not specify all sites that have the species and there is not report on changes in population / nest – the municipality with largest nesting areas was not involved Guanaco is mentioned but not details of problem or changes achieved
	Protection of Watersheds through watershare agreement: 1) Create and/or consolidate and build capacity of twelve water cooperative-managed Payments for Watershed Services Programs (Water Funds) to facilitate and channel investments into upstream conservation, in municipalities of Pucara, Postrervalle, Samaipata, Vallegrande, Moro Moro, Totoro, Pojo, Omereque, Aiquille, Pasorapa, Villa Serrano and Padilla;	65,862 ha of forest protected under Watershare Agreements Production more than 1 million m³		Final report Brochure Proposal of FN	(Out of 65,862 hectares of forest put under conservation, 3,532 hectares were important nesting and foraging habitat for the Red-Fronted Macaw, and 13,396 hectares of forest were put under conservation within the Irenda and Guanaco newly created). That

	2) Formalize institutional structures for development of biodiversity-based Conservation Agreements across the Pasorapa (200,000 ha), Lagarpampa (30,000 ha) and Rio Grande-Valles Crucenos (734,000 ha) Natural Integrated Management Areas (ANMI); 3) Produce 1 million m³ of water returned to the ecosystem (14,280 hectares conserved)				means the main achievement reported was for water protection. Note GEF donation was for conservation of biodiversity of global importance. It could also be reported, but there is not, the contribution for reduction of emissions it is required further explanation for sustainability
1 Terrestrial protected areas	ha cover of protected areas In the Charagua Iyambae Indigenous Territory, the project had three main objectives that focused primarily on strengthening the Guanaco and Irenda newly created protected areas through the implementation of Watershed Agreements	Mosaic of patches of forest protected for R-F macaw (total 3.532 ha) / for Guanaco 9.696 ha. Plus 65.862 forest incorporate the Watershed concept Two protected areas in Charagua improve their management 61of CA too61greementsent s model into the law of creation of the Irenda protected		Final Report	Reports of increase capacity building do not provide much details. It is important to define if the project helped to declare the areas as protected or they worked in them. Different pieces of text express different ideas. *Ara rubrogenys*)[12] is a Critically Endangered species from a small region in the Inter-Andean valleys of Bolivia. The just-over-

[12] https://armoniabolivia.org/programs/red-fronted-macaw/

		area, January 2020 as a mechanism that will strengthen the management of the area. Moreover, Watershed Agreements were implemented in both these areas. In the Irenda Protected Area they implemented water agreements, while in the Guanaco Reserve they implemented biodiversity agreements.			1000 individuals (according to the National Census conducted March/April 2021). (Final Report) Project does not provide any information of change They only identified areas with nests presence

Table 10: Environmental Outcomes in Sub-Project Cambodia

CAMBODIA					
GEF Indicator	**Environmental Objectives: Planned Target and Indicators**	**Achievement**	**Sources**	**Remarks**	**Environmental Target Achieved/ partly achieved/ not achieved**
4 Area of landscapes under improved practices					The raw data for the aggregated data for the GEF indicators are shown here, no further assessment was possible due to the quality of information
1 Terrestrial protected areas	Forest protection and proper management of forests in Tata Ley commune (Central	38% reduction in the annual rate	Final report:	Tata Ley measures:	

	Cardamon Mountain Ecological Park IUCN Cat IV; Protected Forest) 3,360,000 hectares of communal land Identification of encroached land, no further encroachment, Faming and conservation zones, monitoring of illegal activities, Prey Lang Wildlife Reserve (no data about project area available, total area wildlife reserve: 360,000 ha) Reduced deforestation	forest loss from 2017 to 2019, the rate of forest loss in CCMNP was 93% below the national deforestation rate during this project.	Monthly Remote sensing data and ranger reports, indicators set in year 3 of project Biodiversity surveys and monitoring were not possible due to budget restraints	Measures No expansion of Chamkars into the forested area No hunting or poaching No logging or timber trading Logging for house construction has to get a permission from local authority and technical departments first Comply with any internal regulations or conditions such as no chemical substance for crops	

Sources: Conservation Agreement Tata Ley and Quarterly reports

Table 11: Environmental Outcomes in Sub-Project China

CHINA					
GEF Indicator	**Environmental Objectives: Planned Target and Indicators**	**Achievement**	**Sources**	**Remarks**	**Environmental Target Achieved/ partly achieved/ not achieved**
4 Area of landscapes under improved practices	Forest protection and proper management of forests and watersheds	Direct protection of 18,000 ha (180 square kilometers) of water conservation forests, affects the protection of 325,000 (3,250 square kilometers) of water conservation forests. Forest became denser but NTFPs like mushrooms became less abundant based upon observations of villagers	Final study in selected villages by Evaluation Team Final report	The UNEP/GEF-project has continued to finance a project for forest and watershed management (2013-2017) focusing on collectively managed forests. The projects mainly support the implementation of the Government of China Payment for watershed programme in upper Yangtze River – distribution of benefits from the programme by creation of forest	The raw data for the aggregated data for the GEF indicators are shown here, no further assessment was possible due to the quality of information The contribution to the project outcome is partially achieved

		Preparing five-year management plan on conservation of forest, wildlife and water resources and setting-up respective institutions. Higher willingness to protect the forest of villagers due to economic returns from the forest.		management structures in communities. Measures included: stop of poaching, unlawful felling, destructive grazing of goats, stop of unsustainable fishing.	
1 Terrestrial protected areas (GEF 4 Tracking tool indicator II 2 protected areas within covered area)		Baishuijiang (China) IUCN Cat 5; National Nature Reserve; UNESCO-MAB Biosphere Reserve (213.750 ha) Creation of community managed mini-nature reserves for restoration of habitat of Giant Panda. Villages are located near or in protected areas (other zones) / Contribution to future Giant Panda National Park.			

Sources: Shanshui Environmental Center (2017). Final Project Performance Monitoring Report.

Table 12: Environmental Outcomes in Sub-Project Colombia

COLOMBIA					
GEF Indicator	**Environmental Objectives: Planned Target and Indicators**	**Achievement**	**Sources**	**Remarks**	**Environmental Target Achieved/ partly achieved/ not achieved**
4 Area of landscapes under improved practices	12,500 ha under improved management (for biodiversity)	Effect on the size piangue catches. 5 cm at least (comply with governmental norm)	Brochures, Interviews	The CA in Iscuande does not have funding now.	The raw data for the aggregated data for the GEF indicators are shown here, no further assessment

	2,300 people as beneficiaries, female collectors (piangueras) and the community as a whole Iscuande: Conserve the Piangua (black arc) Plan of the community council for Management for industrial and artisanal fishery Esfuerzo Pescador: 10 communities afro-Colombians	Increase 10% on price of 5 cm piangue although the increase is not enough. Buyers usually do not care about price. The community is forced to partially sell their product to a buyer that lends them food to pay afterwards Indicator of piangua catching size; nevertheless, it is important to note that a Global Benefit would be the mangrove[13] conservation. But it is not reported by the project. During interviews, participants reported the positive effects on the quality of mangrove forest due to resting times and larger size of collected piangua as this practice protect the roots of the mangroves[14]. The project does not present data on the health of mangrove or abundance of piangua, but interviewees in communities had also expressed the perception that pianguas are more abundant with the project practices. There is not information on the overall health of mangrove. One aspect that the project did not have influenced was the reduction of mangrove cover due to external incursion which could not be stopped due to local conditions[15]. CAPPP was very important for CA because it increased the magnitude and participation of the community (before few people).	MTR surveys M&E of selected implemented measures Observations of project staff	The only CA that currently has funding is MANGNIA which is an ISCUANDE child. La Minga, which is revolving fund, and it is a productive process and has relationship with the eco-gourmet programme.	was possible due to the quality of information The contribution to the project outcome is partially achieved.
	AMAZONAS		No M&E measures,	Land should be better managed to	

[13] GEF policies consider Mangrove conservation as a priority which is the global objective for conservation not so much the individual piangua specie
[14] When pianguas are smaller they require to dig deeper in the mud and brake the roots of the mangroove
[15] Interviews from Colombia reported the mangrove forest were still menaced and the project could not intervene in it

	Biodiversity of Global Importance: 2 species of threatened fish and additional endangered mammals and reptiles CA CAMARITAGUA Control of visitors, hunting and fishing CA CURARE Control of hunting and fishing CA MADROÑO Control and protection CA PUERTO ÑUMI Env. Species charapa, pirarucu, arawana / no commercial fishing only for self-consumption. Protect endangered animals (list: wildlife: turtles, caiman, birds, babillas)		observations of project staff	improve biodiversity near a protected area CAs were not considered as project results because the private sector development has not produced tangible results so far, only learning experiences.	
	LA GUAJIRA 7 ha Existing Marine protected area is maintained		Short investigation in 2007 Limited baseline: nestling, migration, feeding of 5 from the 7 existing species marine turtles	Years ago, Cerrejon ceased to be a donor	

Table 13: Environmental Outcomes in Sub-Project Ethiopia

ETHIOPIA					
GEF Indicator	**Environmental Objectives: Planned Target and Indicators**	**Achievement**	**Sources**	**Remarks**	**Environmental Target Achieved/ partly achieved/ not achieved**
4 Area of landscapes under improved practices	Out of the total area of 566,258 ha of Bale Mountains Ecoregion 112,500 Ha is managed by 13 PFM cooperatives in the Delo-Mena and Harenna Buluk woredas/districts: 1)Protect biodiversity 2) Halt conversion of forest into agricultural land 3) Minimise impact on slashing for coffee growing in forests	Contribution to decrease in deforestation rate by 25% Number of trees per ha remained, number of seeds and saplings has increased Woody species only minimum structural changes The project was successful in that some of the introduced best practices like old coffee stamping for production improvement is one of the sustainable initiatives started by the project that currently expanded and scaled out in many coffee producing woredas/districts of the ecoregion.	Satellite images Participatory monitoring of biodiversity and forest quality Final report	REDD+ project runs parallel, Joint forest agreements of forest co-operatives with Oromia Forest and Wildlife Enterprise of Oromia Regional Government	The raw data for the aggregated data for the GEF indicators are shown here, no further assessment was possible due to the quality of information The contribution to the project outcome is partially achieved
1 Terrestrial protected areas	IUCN Cat II; National Park				

Sources: Farm Africa (2020). Final Project Performance Monitoring Report, https://www.farmafrica.org/ethiopia/ethiopia-forest-management-expansion, https://www.farmafrica.org/ethiopia/marketing-bales-wild-coffee

Table 14: Environmental Outcomes in Sub-Project Guatemala

GUATEMALA					
GEF Indicator	**Environmental Objectives: Planned Target and Indicators**	**Achievement**	**Sources**	**Remarks**	**Environmental Target Achieved/ partly achieved/ not achieved**

1 Terrestrial protected areas	Maya Biosphere Reserve (Guatemala) IUCN Cat IX; Nature Reserve; UNESCO-MAB Biosphere Reserve 2.160.200 ha Three sites: Paso Caballos Caballos 15.000 ha (1167 people) Uaxactun 83.558 ha (1016 people) Bioltzá Reserve, Corozal community, El Zotz Biotope (prevent illegal logging, hunting. Expansion of agriculture robbery of archeological treasures.	PC Forested area is maintained 0 forest fires reported. No hunting reported (PC & Uaxactu) provide company to controlled fires Protected nesting area of macaws within the PC community First steps to have a Non illegal traffic declaration. First steps for avian ecoturism Uaxactun has sustainable production of Xate palm. They have managed to improve prices due to direct access to international market Enriched the forest with Xate 25.000 plants / year In jaguars implemented in Guatemala reported the presence of such specie close to Paso Caballos and Uaxactun which are extraordinarily good indicators of the quality of forest maintenance	final report MTR survey M&E of selected implemented measures Interviews Interview quotes results of other projects important information provided by other projects	Fire prevention and Control, and forest patrols. Paso Caballos: has a social culture friendly to conservation. They do not have cattle and do not eat wild meat. It is difficult to replicate in other areas. (Note one of the objectives of GEF is to have experiences replicated) Paso Caballos: they live in state owned land administered by National Parks that allowed indigenous communities to settle in defined polygons Communities do not allow external migrants to invade outside neither inside or outside their polygon As incentive they have community assets like a nurse, improve schooling Sustainability of this incentives are not ensured. CA will continue but not with all the incentives. They have new ideas like ecotourism which are still pending No ploughing on virgin land Uaxactu also has a concession for forest management (forest concession). They follow Land Plans.	The raw data for the aggregated data for the GEF indicators are shown here, no further assessment was possible due to the quality of information The contribution to the project outcome is partially achieved
	improved biodiversity: direct objective 1 species (macaw),	PC: maintenance of protection of macaw nesting site. There are no studies of populations abundance	Patrol protocols Interviews, final report,	PC hunting, fishing is controlled and not allowed for sales. Community members are not allowed to hunt outside their polygon.	

		Uaxactum with other funds (WSU): biological monitoring and found even jaguar / jabali Selective logging caoba/ cedro. There are not data on effects to forest PC mentioned respect for hunting (no certain species) and fishing restrictions		Indirect effect. Nesting site is protected because good management of fires	

Table 15: Environmental Outcomes in Sub-Project India

INDIA					
GEF Indicator	**Environmental Objectives: Planned Target and Indicators**	**Achievement**	**Sources**	**Remarks**	**Environmental Target Achieved/ partly achieved/ not achieved**
4 – area of landscapes under improved practices	40 ha under improved management (organic agriculture)	40 ha under organic agriculture Building up institutions for better management agriculture (participatory guarantee schemes) Monitoring of water quality	Final report, registration of Participatory scheme for organic agriculture	Site: Sathyamangalam Tiger Reserve (STR)	The raw data for the aggregated data for the GEF indicators are shown here, no further assessment was possible due to the quality of information. The contribution to the project outcome is partially achieved.
1 Terrestrial protected areas	Sathyamangalam Tiger Reserve (India), total 1,40,924 ha Project covered: 40,000 hectares ha of protected area	Stable or increasing key species like bee nests and mala along transects in plots Conservation area acceptance increased in communities due to paid community patrolling and harvesting and sale of NTFP (wild honey and amla)	Annual pre and post harvesting transect as monitoring Final report	Site: Sathyamangalam Tiger Reserve (STR)	

Sources: Keystone Foundation (2020). Final Project Performance Monitoring Report

Table 16: Environmental Outcomes in Sub-Project Peru

PERU					
GEF Indicator	**Environmental Objectives: Planned Target and Indicators**	**Achievement**	**Sources**	**Remarks**	**Environmental Target Achieved/ partly achieved/ not achieved**
4 – area of landscapes under improved practices	1820 ha Improve management of protected area, control deforestation, (ProDoc) CA improve conservation and restauration through agro-forestry systems (50 parcels of cacao & 10 café) 2 ha for medicinal plants (women)	Between 2,000 – 2015, nearly 6,000 ha of primary forest were deforested (373 ha/yr) which is the CA baseline, at the end of the project 2018, the deforestation rate was 13.8 ha/yr Reduction of area that native people rent to outside migrants. Multitemporal maps (2000-2019) shows reduced deforestation between 2014-2018 (2014 (244), 2017 (10) and 2018 (13). No additional land degradation and partly Restauration, Building up institutions for better management Project provides numbers of	Satellite maps to follow up for a decade Final Report MTR survey M&E of selected implemented measures Observation of project staff	Agreements were designed with the National Park Service of Peru (SERNANP) and signed by farmers The original proposal for the CA was to Improve coffee and cacao, but they have successful added vanilla as well as honey bees, medicinal plants to produce in return for commitments to desist from further forest clearing and control of new settlers. Note that vanilla is a new product and has not showed results yet, but has a great potential. An implementation component of a REDD+ initiative supported by Disney C that provides Carbon Credits Site: Land Concession provided to community. Administered by the communities. With basic	The raw data for the aggregated data for the GEF indicators are shown here, no further assessment regarding biodiversity conservation was possible due to the quality of information The contribution to the project outcome is partially achieved as reduced deforestation before 2020.

		beneficiaries, numbers of hours of participation, supplies provided		practices and who receive an income through renting land. The purpose of project is to provide direct sources of income to native communities, thus induce renting areas incentive Project tries to have a holistic approach to prevent rental migrants to go to other places. Possibly turn migrants into employees.	
	Alto Mayo IUCN Cat VI; Protected Forest 182.000 ha				
	Improved biodiversity: protect key species (yellow tailed woolly monkey)- (ProDoc) Rescue casave native varieties		No M&E measures, observations of project staff		

Table 17: Environmental Outcomes in Sub-Project Namaqualand, South Africa

SOUTH AFRICA Namaqualand					
GEF Indicator	**Environmental Objectives: Planned Target and Indicators**	**Achievement**	**Sources**	**Remarks**	**Environmental Target Achieved/ partly achieved/ not achieved**
4 Area of landscapes under improved practices	190,000ha under improved management (for biodiversity)	236,000 ha under improved vegetation cover; Veld condition assessment showed	Project Evaluation: Veld assessment in the end of the project	Site: state owned land administered by municipalities, municipal grazing plans could not be implemented due to	The raw data for the aggregated data for the GEF indicators are shown here, no further assessment was possible due to the quality of information

		significant improvement of score No additional land degradation and partly restauration in communal rangelands, Building up institutions for better management of grazing	Photos, M&E of selected implemented measures (gully measuring,) Observation of project staff Survey in 2020 among beneficiaries	lack of involvement of municipality and lack of funds which is done in a follow-up project. Uptake of rotational grazing as condition in CA. Number of livestock only decreased at the end of the project. Measures: - No ploughing on virgin land - Erosion gully restoration	The contribution to the project outcome partially achieved
	Protection of predator species through non-lethal predator management.	No improvement could be verified in the end of the project by observations of project staff	No M&E measures, observations of project staff		
	Wetlands: 20,000ha (private farmers) of wetland / riparian areas formally restored not achieved; -9,487ha Steinkopf and Kamiesberg wetlands and length of riparian area 357.2km achieved	Restoration of wetlands along rivers. Xharas wetland restored and maintained with evidence of improved water infiltration through dip well measurements which indicated that in minimally impacted and restored sections of the wetland the water table were mostly within 50 cm of the soil surface after significant rainfall events while only a small proportion of the	Photos	The project area is under a state programme for extension of protected areas with investments of Governmental Works for Water programme for restitution of rivers. Measures implemented: -No transformation of wetlands,	

		readings of dip wells in degraded area had were below 50 cm of the soil surface.		- No ploughing within 30m of wetlands	
1 Terrestrial protected areas	Ha cover of protected areas	Support to extension of a protected area – acceptance increased in communities	Final report, project staff observation		Extension of state protected area is supported. Land should be better managed to improve biodiversity near a protected area.

Sources: Abongile Jim (2019). Meat Naturally Initiative, Namaqualand: A stewardship approach to support landscapes and livelihoods in the Succulent Karoo Hotspot, Corlé Jansen (2020). Two years after Conservation Agreements: What can we learn and how does it inform future EbA interventions using the CSP model? Conservation South Africa (2021). EVIDENCE-BASED POLICY AND DECISION MAKING FOR CONSERVATION AGREEMENT PROJECTS AS AN ECOSYSTEM – BASED ADAPTATION (EBA)

Table 18: Environmental Outcomes in Sub-Project Kruger to Canyons, South Africa

SOUTH AFRICA K2C					
GEF Indicator	**Environmental Objectives: Planned Target and Indicators**	**Achievement**	**Sources**	**Remarks**	**Environmental Target Achieved/ partly achieved/ not achieved**
4 Area of landscapes under improved practices	7,200 ha under improved management for biodiversity and soil conservation.	7,200 ha under improved vegetation cover Veld condition assessment showed significant improvement of score in one site. Vegetation cover Grass cover / biomass (Farmers do not need to buy additional fodder for livestock)	Project Evaluation Veld condition assessment in two sites Satellite imagery Yearly measurement / Observation by farmers)	Site: Greater Kruger Trans frontier Conservation Area Uptake of rotational grazing as condition in CAs	The raw data for the aggregated data for the GEF indicators are shown here. The contribution to the project outcome is mainly achieved.

		Removal of invasive alien species in 89% of treated rangelands, only 11% need to be cleaned again in 2020 Reduction of soil erosion Building up institutions for better management of grazing in co-operatives	Final report measurement by project partners M&E: (gully measuring) Final project report	Support for measures for landscape restauration and projects on invasive aliens through Kruger to Canyons Biosphere	
1 Terrestrial protected areas	Ha cover of protected areas	Support to Greater Kruger Trans frontier Conservation area- Acceptance increased in communities Prevention of urbanization OECM (IUCN) experimental site after project closure	Final report, Project staff observation in 2 villages	Measures in buffer zone of National Park/ communal land	

Sources: Conservation South Africa (2020). Final Proect Performance Monitoring Report

Direct Outcome 1: Sustainable value chains: New/strengthened sustainable supply chains are operating.

201. **Benefit Sharing**: The conservation agreement tool promotes *sharing benefits between producers of bio-products and companies selling those products on markets*. More than half of CAs (36 of of 69) in the project contained efforts to engage the private sector in product sourcing from communities. The project aimed at establishing short national or international value chains with companies selling to end-users without intermediate traders so that the community receives the maximum benefits, although it was not easy or feasible in some cases such as Colombia. Communities had either already engaged in the production of goods like Non-Timber Forest Products (NTFP) or the implementing NGOs introduced new products to be sourced by companies. The sourcing agreements normally contained a protocol how the product was collected or produced to ensure the sustainability of the production in the long run and / or produce additional environmental and social benefits. Those protocols were very similar to sustainability standards. In the case of wild coffee, the company paid a price premium if the communities complied with the CA tool. Most of the communities complied with the rules of the protocol. In many cases, the companies preferred that the communities set and enforced the rules rather than being involved in the latter.

202. Farm Africa has facilitated sales between wild coffee producers and a company that purchased the coffee at a premium above the prevailing market prices. Procurement was conditional upon the community fulfilling their conservation commitments. Two years after the project ended, the volume of sale has quadrupled, and the price has gone up from less than US$1 per kg to US$6 per kg due to better quality during a follow-up project continuing working with the communities. Actions have been taken to build a commercial relationship between Bale's wild coffee growers and the Oromia Coffee Producers' Union in order to enable direct exports of the wild coffee without going through the local coffee auction process. This will enable the wild coffee to reach specific niche markets further increasing the value to the Bale community.

203. Some companies were willing to invest into their value chain undertaking different measures working with communities. In the Cas in Cambodia, private sector companies offered technical training to communities, tested product quality and provide technical recommendations to improve product quality. Sourcing agreements were rather long-term relationships with companies, which required a longer trust and relationship building process with the private sector and communities.

204. In Guatemala, the improvement of xate palm harvesting with quality practices benefited directly the value chain and strengthened the community association as an enterprise. With exports to the United States of America and other countries, xate palm generated 60 percent of income for families on the site. The project mainly succeeded in eliminating the middleman in the value chain thus allowing a higher share of the market value remaining with the community.

205. At local level, technical assistance in production and marketing was provided at some sites in Latin America resulting in income improvement, which was considered of high interest to the communities. Nevertheless, few sites show important results[16]

[16] Uaxactun community jumped from selling xate to middlemen to have direct interaction with international markets.

while results on other sites were quite modest[17] or non-existent[18], with a general expectation to receive a higher and continuous support from CI headquarters, especially information on links for international markets.

206. **Socio-economic results** achieved by the institution building process of the CAs (different from those benefits received with grant money) were community's empowerment and organization in different levels, for instance, in community decision making and proactive social control. Other benefits reported varied among the interventions some of them related to increase of income, social cohesion through elderly, young and women involvement. Nevertheless, information gathered in interviews was insufficient to have an overall understanding of the improvements of livelihoods at community and individual levels. The **fair distribution of increased income or benefits** among the members of the community or inside of a household to ensure the livelihood improvement were also stressed as results of the project because they were important for the organization of communities. Conservation agreements contained provisions for how to distribute the benefits inside the community. Those practices were encouraged to become habits within the communities and reinforced by social consensus and control.

207. The CA intervention in Alto Mayo (Peru) provides the most information in terms of production of a notable increase in coffee production 19,000 kg to 190,000kg (2019)[19], and the increase in production area (84 ha of cocoa and 88 ha in coffee and 20 ha for diversified pilot products[20] including vanilla), 10,000 kg of coffee from the community were sold to international markets through Alto Mayo Protected Forest (BPAM – PA) subscriber´s Coop (COOBPAM)[21]. Participants reported an increase in production and diversification of production positively influenced food security, but still, there were not a clear gathering / reporting of enough information for the evaluators to understand how these improvements would have translated into improvements of livelihood.

208. Sourcing was not successful in all cases for different reasons**.** In the case of Ethiopia, the company, which was supposed to sell wild coffee on international niche markets went broke during the project so that the community had to sell on the national market for coffee. It took another two years and a follow-on project to connect the community with a company selling on international markets.

209. Managing supply chains, engaging in markets and building enterprise were challenging, even for companies. The international or even national markets were often niche markets which needed to be identified and developed. Those markets often required high quality products like handicraft in Cambodia, organic products in India or wild coffee from Ethiopia. Transparency about the value chains was often a requirement like in the case of Panda friendly honey in China or FSC certified wood from Guatemala. In some cases, transport costs from remote areas and the volume of products were too low to be economically viable like in the case of products from the Colombian Amazon. In other cases, like in the case of turmeric from Cambodia, the volume of commercial products produced in a smaller community was too low to

[17] Iscuande community reached improvement on pingua's price of 10 cents, but it was still quite modest.
[18] Paso Caballos in Guatemala or Pasorapa communities in Bolivia proposed ecotourism development that did not take place
[19] increase of coffee production with the project (2015 19.000 Kg, 2016 57,000 Kg, 2017 95,000 Kg, 2018 133,000 and 2019 190,000)
[20] Banana, cassava – mandioca, honey, vanilla
[21] The GEF tracking tool reports 11,000 kg sold in 2018

attract companies sourcing for products. In the case of Perú, commodities like coffee and coca are produced, which were sought in national and international markets.

210. For conservation organizations, this was an area of real concern. Implementers may have needed to facilitate targeted training to improve how communities interact with private sector entities as business partners—and invest in their own capacity to implement specific types of market related strategies (CAPPP Lessons Learnt Report p.40). In India and China, the implementing NGOs already had established their own social enterprise to market products from the communities before the project. Those enterprises sold the products under the CAs on national markets.

Direct Outcome 2: CSR payments and community participation

211. The objective of the CSP was to engage the private sector in conservation: Communities would partner with private sector agents in conservation initiatives. The results of the CAPPP (see CI CAPPP Lessons Learnt Report 2020 p. 4) show that partnering private sector initiatives with the communities was a challenging match making process.

212. In some sub-projects, the engagement of the private sector was limited to financing NGO projects either via CSR payments or via private foundations. Those payments mainly stemmed from larger national or multinational companies. The project team has been very active to present Conservation Agreements to those companies so that a number of companies became involved in financing CAs and related activities of implementing NGOs. The Lessons Learnt Report (2020) found that for individual projects, private sector engagement was a means to an end, namely the sustainability of CAs. The Evaluation Team finds that private sector engagement (in terms of financing the project) for a project may have faded but if a different long-term financing could be found, the conservation project would still be successful.

213. One example of long-term CSR payments of a company was the CA in Bahia Hondita / Colombia. Here, the philanthropic goals of the company matched with the project offered by an NGO for seven years. Cerrejón's eventual withdrawal drove CI to develop a sustainability plan that involved the possibility of government funding and the ongoing community-based economic activities (CAPPP Lessons Learnt. 2020 p. 20). Other examples were HSBC Water Programme in China, which focused on preserving the Upper Yangtze River watershed through forest conservation. It provided financial support to establish a community conservation fund in Guanba village. Kiehl's, a company with interest in restoration of giant panda habitat, issued two grants totalling 6,6 Million RMB (US$1,100,000) to support the project and forest protection.

214. CSR payments were not a stable source of funding because they depended on the company strategy and often on personal engagement of CSR managers. Direct engagement of the private sector with communities was limited as well as the companies´ participation in the design of the projects.

215. Other examples of private sector financing conservation activities were private foundations related to large companies. BHP foundation committed considerable funds for project activities in Perú. Those funds were more stable forms of funding because private sector foundations operated similarly to other donors.

216. Both forms of engagement were mainly in the form of public relations trying to improve the image of companies operating in the extractive industries. The engagement was mainly not linked to their core business but showed that those companies “do good things”. A strategy built on CSR support would need to provide adequate opportunities for publicity in the form of compelling stories, photos and branding (CAPPP Lessons Learnt 2020 p. 34).

217. A second form of private sector engagement were compensation payments, which might come in different forms like payments for carbon credits in the case of Cambodia, compensations for the use of water in Bolivia or compensation payments for land use changes in Guatemala. Those compensation payments were linked to the core business of companies and were more related to purchases of services than to philanthropic engagement. In the case of water, Coca Cola had adopted a policy to compensate the use of groundwater in its production facilities financing watershed management activities producing the same amount of groundwater in other areas. Here, CAs needed to have measurable environmental outcomes like amount of groundwater recharged or amount of carbon sequestrated. In the case of Bolivia, universities undertook the necessary studies before the project. The role of the company did not differ much from role of a traditional donor because the payments from the company were project-based for conserving forests on private land and supported the local water fund. Interaction of the communities with the private sector was limited because the implementing NGOs worked as a broker for compensation payments. Private sector engagement also did not differ much from state engagement because in China, the Chinese state paid communities for land-use changes to improve watershed management in the project areas. REDD+ offered a framework for selling carbon credits to the private market which also might have attracted buyers in the long run like in Cambodia or Ethiopia but failed to do so in the case of Colombia. Those larger initiatives needed to be “translated” into initiatives at the local level.

218. Social benefits of such payments for ecosystem services were small if there was no continuous stream of payments to the community over a longer period. In Bolivia, the main social benefit reported was the access to rainwater availability of families through using individual water reservation tanks. Participants reported that the size of tanks was not enough to keep water for the whole dry season and that poorer families received smaller tanks due to their limitation to pay their 30% price cost. Those CAs where Water Cooperatives were involved and a modality of environmental services was applied, the social benefit expected was an improvement of water quality and increased availability for the towns they served. A detailed analysis of payment possibility and disposition could have been useful. Interviewees from Water Funds and local communities expressed that income for water protection was extremely small and not enough to satisfy the expectations of farmers upstream.I Interviewed Water Fund Managers expressed that a better option would have been to buy the land with the most important water springs are though they would expect to receive grants to buy such land.

219. Only in the case of Guatemala, did companies directly fund conservation activities. In 2017, the implementing NGO began engaging with two Guatemalan palm oil companies that were members of the Roundtable on Sustainable Palm Oil and wanted to implement a compensation project in an area of Laguna del Tigre National Park that included a project site. The companies and the implementing NGO proposed

the project to the government's National Council for Protected Areas (CONAP) and received approval. This was in large part because the CONAP had already accepted the CA model as a management tool within the national park, due to successful proof of concept. The project had supported the protected area over 25 years, and the compensation provides long-term financing for the conservation agreement in Paso Caballos. The implementing NGO explained the involvement of the company to the community to continue to implement the CA. In the SC meeting in 2019, the issue was raised on how to conduct due diligence of private sector actors willing to finance conservation agreements and how to ensure community participation in the selection of private sector actors (SC meeting minutes 2019).

220. Private sector engagement was only able to form a part of a long-term financing strategy for conservation because the funds did not cover the full costs for necessary capacity building with communities as the sub-projects showed. One of the key challenges which has become apparent during the lessons learned exercise was the difficulty in engaging private sector companies in conservation. While it was possible, it has proven to take a great deal of time to forge true partnerships with the private sector. This was particularly evident within the CAPPP on the pillars of channelling corporate social responsibility commitments, as these commitments could change over time.

221. The results of the project showed that opportunities existed to involve the private sector in financing conservation projects and conservation activities over shorter or longer terms. Linking with the private sector, however, was a process which required resources and skilled brokers being able to identify the values and needs of private sector agents and match those needs with planned or on-going initiatives in communities. Due diligence of private sector actors was necessary to prevent risks for communities. The report on CAPPP lessons learnt (2020) found that "…when searching for/screening potential private sector partners, a key factor to include was values alignment (with respect to conservation, community development, gender issues, etc.)".

Direct Outcome 3: MSME and market development—Local green enterprises sell goods in local markets

222. Promotion of MSME and market development had been part of 21 CAs. The main challenge was to develop or improve products / services which could be sold on local or other markets (via product sourcing agreements) and to develop skills of local communities to produce and market the products / services.

223. The CI CAPPP Lessons Learnt Report (2020) identified areas where a little effort would go a long way. For community enterprises, for example, small investments in upgrading local skills with respect to market participation (e.g., training on how to access publicly available pricing information) have led to outsized impacts. In the case of Namaqualand, the project provided the inputs for better management of livestock and information about local markets so that farmers could negotiate better prices. The percentage of household income from livestock increased from 8% to 17% between 2015 and 2017. In the case of Alto Mayo, Perú they did not experience an increase in income as vanilla plants required some years to start production although

the community improved their food security with the technical assistance received through the project.

224. In many cases, producers needed to be organized in co-operatives or linked with co-operatives to receive training or to market their products. In Peru and India, existing co-operatives provided training to communities. The project supported the foundation of two co-operatives for farmers participating in the CA in Namaqualand. Farmers perceived the cost for membership in co-operatives quite high compared to the income from livestock (CAPPP Lessons Learnt 2020 p. 26). The co-operatives implemented the seasonal grazing schemes so that economic institutions producing environmental benefits needed time to develop and a solid economic base going beyond the above-mentioned low hanging fruits.

225. In Colombia, the foundation of a local tourism association was supported as well as a women-led local handicraft enterprise. At the La Guajira site, a percentage of the proceeds from these economic activities currently supports 30% of the agreement's activities. (Final Report p.20). In Latin America, there were two sites where no economic activities took place (Paso Caballos in Guatemala and Pasorapa municipality in Bolivia). In both sites, ecotourism was considered but did not materialize.

226. The CAPPP Lessons Learnt Report (2020) revealed that most NGOs needed specific expertise to properly understand value chains, supply chains, market dynamics, and the real scope for interventions based on local enterprise development or purchasing agreements. Conservation NGOs often lacked this specialized knowledge. Mainly due to budget restrictions in the sub-projects, no external knowledge providers for supporting SME development were recruited.

227. Further, building community business/enterprise capacity primarily depended on building institutional/governance capacity; co- operatives were one example. In Namaqualand founded co-operatives took over step-by-step the commitments of the CAs. Interviews confirmed that the first supported co-operatives were not operating well, but the second attempt to found a local co-operative worked out much better.

228. Using private sector engagement as the sole long-term financing strategy would be unlikely to succeed in most cases concluded the CAPPP Lessons Learnt Report (2020). At a minimum, there was an ongoing need for NGO or government for technical support, monitoring, fundraising, etc., and/or to ensure that the actors did not lose sight of conservation objectives. CI Colombia expected that at least 30% of the cost of conservation activities could be covered by local small-scale enterprises such as tourism, supply of drinking water, handicrafts, and PET plastic recycling (CAPPP Lessons Learnt Report 2020 p. 11). In addition, as many conservation areas were remote and/ or there were other restrictions on sales outside the project area like governmental laws might have existed, the demand and purchasing power on local markets were limited, for example, the K2C project promoted the sale of meat to hotels in Kruger National Park, which was a relatively small niche market.

Project Outcome 2: Application of best practices: Relevant actors use the knowledge of CA best practices to replicate CAs in other projects / countries / areas

Knowledge creation about private sector involvement for other NGOs / GEF

229. The project design had a strong **knowledge management approach**. The overall objective specifically defined the purpose to "test" the success of linkages of the private sector to conservation of biodiversity of global importance as a means to providing finance sustainability. Furthermore, the second project's outcome / component was to develop knowledge in this matter. Accordingly, the project has developed activities and delivered important outputs and outcomes on capacity building and knowledge management; nevertheless, weaknesses shown from the project design prevented delivery to the full potential of this project.

230. At global level, during the implementation, the project generated capacity building activities at local and global level, which were appreciated by stakeholders and specifically mentioned during the interviews. For instance, exchange of experiences between implementers of CA initiatives through a global workshop, was highly appreciated by local implementers. The NGOs took the knowledge up to implement it in other projects (see below replication).

Replication of CAs in other projects of Conservation International In total, nine sub-projects led to the replication of CAs by NGOs participating in the project.

231. CI used the knowledge from the CA in South Africa to apply for grants to replicate them in other countries in Southern Africa. The projects in South Africa were central to the development of the Herding 4 Health (H4) model. H4H is a partnership between Conservation International and Peace Parks Foundation. It followed a holistic, community-driven approach to address challenges faced by farmers living in and adjacent to protected areas. The concept was based on the premise that with proper livestock management, land degradation could be reversed and the desired impacts, including the recharge of water resources and an increase in biodiversity resources, would be a reality. In 2021, there was a groundswell of support for H4H. As a follow-up to CAPPP, the Conservation Stewards Program was awarded a Euro5Million grant in 2021to expand H4H activities conserving 1Million hectares in three trans- frontier conservation areas in southern Africa (South Africa, including K2C, Zambia, and Botswana).

232. In general, the CAPPP has helped to provide convincing examples of the ability of communities to drive conservation, particularly when supported by market forces from large-scale CSR and product sourcing to small scale enterprise and improvements in local supply chains. The conservation agreements model has continued to grow from ~1million hectares at the CAPPP launch, to ~5million hectares today, as tracked by the Conservation Stewards Program (Final Report 2020 p. 41).

233. These figures are a strong contrast to the reported lack of finance for the CAs under the project after the closure of the project, which would have needed further investment to achieve more impact (Cambodia, South Africa, Bolivia). CSP opted for replication by expanding the number of sites, because it was easier to get new pilot projects funded than convince donors to invest in long-term institution building in one site (interviews with implementing NGOs).

Replication of CAs in other projects of participating NGOs

234. The feasibility study in Uganda was used by the Crane Foundation to set up 3 CAs funded by other donors in Uganda. The experiences were transferred to other African countries.

Policy level changes

235. Several governments associated with CAPPP projects have adopted the conservation agreements methodology via public policy mechanisms with the intent to replicate the approach with other communities, often in support of incentivizing protected area co-management.

236. Bolivia / Ecuador: Bolivian municipalities have created formal policy mechanisms around *water funds* as part of the CAPPP project led by Natura Bolivia. Fundación Natura continues to develop municipal water funds post-CAPPP. The challenge of those water funds was their sustainability because they were not built on a strong economic base of water users and did not ensure a flow of payments to providers of ecosystem services over the long run. The feasibility study conducted by TNC Ecuador resulted in the establishment of a water fund for the city of Guayaquil which was feasible under Ecuadorian law and would allow continuous transfers from water users to water providers in the source of the river.

237. Peru: Peruvian parks service (SERNANP) adopted the agreements methodology for use in Peruvian protected areas via Presidential Resolution (N° 183-2020-SERNANP), December 2020.

238. South Africa: South African National Biodiversity Institute formally recognized the agreements methodology as a Tier 2 stewardship mechanism (SANBI. 2018. Biodiversity Stewardship Guideline).

239. China: The agreements in China have been aligned with the government of China's eco-compensation programs. Incentive payments have been transitioned to payment for ecosystem service type schemes and are readily replicable at scale.

Knowledge sharing with Conservation NGOs about conservation agreements

240. In 2019, the first regional meeting was held in Myanmar with 30 participants from multiple CI field offices and local NGOs from Cambodia, China, Indonesia, Myanmar, the Philippines and Vietnam. Co-funded and co-hosted by the Global Environment Institute (GEI) and SEE Foundation (participants in the CAPPP Learning Network Meetings), the meeting demonstrated the expanded buy-in into the model and is seen by CI as the CAPPP's biggest dissemination success (CI Final project report Annex 12).

241. In 2020, the Global Environmental Institute launched a new collaboration group called "The East and Southeast Asia Community Conservation Network". The Network's goals are to pilot new projects and influence Asian governments to recognize community roles in protecting nature. The Network consists of 10 NGOs initially. CSP will help the network to learn about incentive-based models. It is a direct indicator of the expanding reach of the conservation agreements model and was a direct outcome of the learning network component of the CAPPP (CI Final project report Annex 12).

242. At the end of CAPPP, CI produced a compilation of Lessons Learned[22] emanating from the project. This publication summarized the activities implemented and types of private sector interaction in each country and its sites of intervention, and general lessons learned. Nevertheless, it failed to gather detailed information of each initiative that could lead to better understanding the links between achieving results in terms of the conservation of biodiversity of global importance and the socio-economical results.

243. Overall, it would have been important to understand which private sector initiatives work and why or why not in each context. Similarly, to point out which communities achieve conservation results and understand their motives and possible livelihood benefits that encourage the communities to implement such conservation activities. It would have been also highly important to show how the initiatives were linked to conservation of global importance.

244. Regarding private sector involvement, the Evaluation Team found that the projects reports failed to provide information on how mature the strategies implemented were or to provide comprehensive information on the economic or social benefits (for instance livelihoods results) of the single initiatives. It is understandable that mature links with the private sector involvement would require a longer intervention than 1-3 years though some of the CAs had started almost a decade earlier. Thus, it would have been important to have a detailed analysis of what worked, what didn't (some long-term links were cancelled[23]) and why, as well as what were the perspectives, requirements for the newer initiatives, and the influencing factors. For instance, the drivers for companies' interest to provide contributions based on CSR, conditions required for the establishment of SME and in all cases, the effects on livelihood improvement.

245. The final report tried to answer too many questions in one document and failed to explain why specific initiatives worked. Project partners in India and China had gained valuable knowledge before the project started, which was not shared in project documents. As it was already mentioned in the section about outputs that more analytical knowledge products for the general public were not produced, which could be very supportive for all actors in biodiversity conservation aspiring to work with the private sector.

Likelihood of Impact

246. Achievement of impacts of the project is rated as *"moderately lik*ely" due to the fact that further support beyond the project would be necessary to develop and consolidate the CAs and local institutions. This assessment was due to the fact that only the contribution of the project to the observed outcomes on the sites was taken into consideration and not the outcomes of the CAs.

247. At the local level, the expected environmental impacts were that *species and ecosystems of global importance were conserved.* The environmental outcomes suggest that attitudes in the communities towards conservation have changed as well

[22] CI. GEF, UNEP 2020. Can Conservation Agreements Catalyse Private Sector Support for Community-led Conservation? Lessons learned and recommendations for replication.
[23] Bahia Hondita in Colombia had a long-term agreement with the Company Cerrejon that was cancelled due to community problems.

as behaviours like uptake of rotational grazing or observation of collecting protocols for NTFP. Not all CAs have produced local environmental benefits that contribute to the GEF objective of "*achieving global environmental benefits in biodiversity protection"*.

248. Reporting on achievements in terms of socio-economic and environmental higher-level results varied among CAs. Some reports only provided a minimum of information about potential impacts.

249. Implementation of national environmental policies – Convention on Biological Diversity (CBD): The ToR of this terminal evaluation set out to examine if CAPPP activities would complement national priorities identified in environment strategies and Poverty Reduction Strategy Papers to promote sound natural resource management and sustainable development linked to protection of ecosystem goods and services. Sub-projects in protected areas or buffer zones of National Parks directly contributed to the implementation of the CBD like in the case of Cambodia, China, India and K2C South Africa.

250. The CAs directly contributed to the sound implementation of national environmental policies like in the case of China where community-run environmental reserves have been established. The project has supported local institutions which implemented the national policies for watershed management in China. In the case of South Africa, CAs aimed to support the implementation of municipal by-laws for managing of communal rangelands. Those institutions could be linked to the National Policy for Climate Change Adaptation and Biodiversity (removal of alien species) in the long run. CAs were recognized instruments for the management of natural resources in Colombia and support indigenous communities in protected areas in Guatemala and India.

251. *Private sector engagement was already visible in local economies* according to the interviews and project reports: Communities have developed skills and capacities to produce and sell better products to national and international value chains. After two years of some CAs, economic activities have already produced significant increases in income (Ethiopia, South Africa). Project funds supported activities for livelihoods in protected areas for a short timeframe within a longer engagement of NGOs. In China, ShanShui Environmental Center started its first activities to promote income generating activities in 2009. In India, Keystone Foundation started its work linking conservation, livelihoods and economic activities in 1993. Both organizations have successfully established companies for marketing products from communities. So, it appears that a long-time approach and technical support would be needed to achieve significant economic impacts.

252. Local economic organisations like co-operatives in the case of Peru and South Africa or the participatory guarantor scheme in India have been created which will continue to work in the future. Those organisations need further support but would be able to impact local economies in the long run.

253. The ToR of this Terminal Evaluation proposed as possible impacts that the CAPPP would also leverage private sector financing and generate a dynamic of increasing private sector participation in global conservation. This impact mainly refers to an increased dynamic of CSR and compensation payments for conservation. The Evaluation Team found that the long-term impact might be less than anticipated due to the changing motivation of private sector CSR engagement. It would heavily depend on corporate strategies which might change over time. Compensation

payments are a more stable source of income but have not been used much as a source of finance, yet.

254. The project has contributed to the implementation of the *SDGs Goal 1 End Poverty in all its forms and SDG 15 Life on Land.* Table 19 provides an overview of the contribution to SDGs by the sub-projects at country level.

Table 19: CAPPP Project Contribution to SDGs at Country Level

Country	SDG target in Sub-projects
Cambodia, South Africa, Guatemala, Peru	Target 15.1: By 2020, ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands, in line with obligations under international agreements Indicator 15.1.1: Forest area as a proportion of total land area Indicator 15.1.2: Proportion of important sites for terrestrial and freshwater biodiversity that are covered by protected areas, by ecosystem type
South Africa	Target 15.3: By 2030, combat desertification, restore degraded land and soil, including land affected by desertification, drought and floods, and strive to achieve a land degradation-neutral world Indicator 15.3.1: Proportion of land that is degraded over total land area
Ethiopia, Guatemala	Target 15.2: By 2020, promote the implementation of sustainable management of all types of forests, halt deforestation, restore degraded forests and substantially increase afforestation and reforestation globally Indicator 15.2.1: Progress towards sustainable forest management
South Africa, China, India	Target 15.5: Take urgent and significant action to reduce the degradation of natural habitats, halt the loss of biodiversity and, by 2020, protect and prevent the extinction of threatened species Indicator 15.5.1: Red List Index
All	Target 1.1: By 2030, eradicate extreme poverty for all people everywhere, currently measured as people living on less than $1.25 a day Indicator 1.1.1: Proportion of the population living below the international poverty line by sex, age, employment status and geographic location (urban/rural)
South Africa, Ethiopia, Peru	Target 1.2: By 2030, reduce at least by half the proportion of men, women and children of all ages living in poverty in all its dimensions according to national definitions Indicator 1.2.1: Proportion of population living below the national poverty line, by sex and age

Rating for Availability of Outputs: Satisfactory
Rating for Achievement of Outcomes: Satisfactory
Rating for Likelihood of Impact: Moderately Likely

Rating for Effectiveness: Satisfactory

E. Financial Management

Adherence to UNEP's Financial Policies and Procedures

255. The project has adhered to UNEP's financial policies and procedures. Financial reporting has been according to UNEP financial policies and procedures. UNEP has availed funds on time. Reporting on finances was on time.

256. The major flaw in financial management of the project was the management of the grants to implementing NGOs. The MTR found that the implementing NGOs had received more funds that they had proof of spending for at the time of the MTR.

Differences noted in MTR report, were as follows: US$3.4 million from GEF resources were disbursed to local implementers, but only US$2.8 million were really spent by the site implementers. The MTR revealed that some of the implementing NGOs perceived the grants from the project as funding contracts (financial contribution to the work of the NGO without specific requirements on reporting on the financial contribution but relying on annual reporting of the NGO), some donors implement such an approach) and not as funding from a GEF-project with very specific requirements for financial reporting and monitoring.

257. When accounts were closed in the end of the project, those differences did not show up anymore in financial reports so that the full financial information about the grants was available at time of the terminal evaluation.

Completeness of Financial Information

258. Financial information was made available for this evaluation according to UNEP budget lines. Costs were only available per outcome / component and not per output because outcomes equalled outputs in the ProDoc. As no budget had been transferred between the three outcomes, budget per output remained as planned. As of 30th August 2021, there was an unspent balance of US$119,882, which mainly covers the evaluation costs and UNEP direct costs (UNEP budget line 5500).

259. Funds for conservation agreements were placed in component 1. Those funds also contained costs for knowledge management products and administration costs for implementing NGOs as the financial reports of the implementing NGOs reveal. Those costs should have been reported under components 2 and 3 in order to make costs more transparent. Only costs occurring at CI level were allocated to components 2 and 3 despite that many knowledge generating activities took part at the local level of the receiving NGOs.

260. A final overview providing full transparency about the allocation of funds to subcontractors within the component 1 (outcome 1, budget line 2200) was provided for the Terminal Evaluation.

Table 20 presents expenditures per outcome and Table 21 shows expenditures by budget line.

Table 20: Expenditure per Outcome

Component/outcome	Estimated cost at design (US$)	Actual Cost/ expenditure (US$)	Expenditure ratio (actual/planned)
Component 1 / Outcome 1 Conservation Agreements	4,046,120	4,046,120	100%
Component 2 / Outcome 2 Knowledge Management	652,759	652,759	100%
Component 3 / Outcome 3 Project Management	301,121	301,121	100%

Table 21: Expenditures per Budget Line

	Conservation Agreements (US$)	Knowledge Management (US$)	Project Management (US$)	Total (US$)	Percentage %*
Personnel	495,361	104,067	22,611	622,039	13%
Administrative Support	404,612	65,276	30,112	500,000	10%
Travel	129,852	29,417		159,269	3%
Support for Pre-selected Sites	1,485,000			1,485,000	29%
Support for new Sites	1,431294			1,431,294	29%
Feasibility grants	100,000			100,000	2%
Training		454,000		454,000	9%
Evaluation & Audits			164,205	164,205	3%
Reporting			84,193	84,193	2%
Total	4,046,120	652,759	301,121	5,000,000	100%

*) Percentages rounded up to 100%.

261. Only limited information on travel costs and the carbon footprint of travel within the project could gathered by the Evaluation Team due to the complexity of the evaluand at the sub-project level and the already wide range of evaluation criteria that UNEP requires to be assessed in terminal evaluations.

262. Administrative costs of the project include transactions costs like dealing with the subcontractors in each country, organising the calls for participation, etc. A global project with subprojects in each country where national implementors rely on local NGOs or consultants for field work implies high transaction costs for dealing with administrative matters however budget to fully cover those costs is limited.

263. Financial information was only complete for major documents of sub-projects and most important CA agreements. Financial information on smaller CA was not reported in the UNEP MTR. A full overview summarising the financial information about the different subcontracts in one excel file was not available to the Evaluation Team at the time of Terminal Evaluation; only financial information for major subcontractors in form of excel sheets were provided and the reports submitted to UNEP. The information from the excel files was listed in a document as an Annex 12 to the final report but not aggregated in project documents.

264. Information has been provided that the project was audited because budget revisions were made for audits. Audit reports were submitted by the Financial Management Officer to the Evaluation Team with comments on the draft evaluation report.

265. Information on co-financing has been provided for the most important CAs and the whole project. Regarding co-financing, the following table shows that the target was reached of US$15 million in co-financing by CAPPP from private sector companies, private foundations, other NGOs and state funds.

266. Annex 12 of the final report listed the co-financing for each site. Implementing subcontractors provided information about co-financing of their activities to CI after

the MTR when an ad hoc exercise to collect information co-financing was undertaken. Proof of co-financing could not be verified due to the limited resources for the Terminal Evaluation. Not all donors listed as co-financiers might actually know that they were listed as co-financers of the CAPPP project. As the co-financing is in cash and not in in-kind, however, it is safe to state that the planned co-financing of the project was provided. The project achieved its co-financing goals.

267. Proof of co-financing for the project components 2 and 3 was provided during the MTR.

268. Table 22 shows actual co-financing at the end of the project.

Table 22: Co-financing at the End of the Project in US$

	Sum of Cash (US$)	Sum of In-Kind (US$)
Conservation International	**906,561**	
Grants	906,561	
Government	**534,325**	**3,600**
Grants	534,325	3,600
In-Kind		
Bilateral	**1,738,044**	**-**
Grants	1,738,044	-
NGO	**5,751,597**	**24,432**
Grants	5,751,597	22,990
In-Kind	-	1,442
Private Sector	**6,797,019**	**112,000**
Grants	6,797,019	112,000
In-Kind	-	
Beneficiaries	**181,920**	
Grants	181,920	
(blank)		
(blank)		
Grand Total	**15,909,466**	**140,032**

Communication Between Finance and Project Management Staff

269. No major communication problems or late disbursements of funds to CI and to implementing NGOs were reported.

270. Financial personnel from CI had good communication and exchange with UNEP staff. CI elaborated quarterly and annual expenditure reports, performed annual budgets and audits.

Table 23: Overview of CAPPP Financial Management Components, Information and Communication

NON-GEF AND GEF PROJECTS		
Financial management components:	**Rating**	**Evidence/ Comments**
1. Adherence to UNEP's/GEF's policies and procedures:	**S**	**S**
Any evidence that indicates shortcomings in the project's adherence to UNEP or donor policies, procedures or rules	No	**No**
2. Completeness of project financial information:		
Provision of key documents to the evaluator (based on the responses to A-H below)	**MS**	

A.	Co-financing and Project Cost's tables at design (by budget lines)	Yes	[Table in Annex ProDoc]
B.	Revisions to the budget	Yes	
C.	All relevant project legal agreements (e.g., SSFA, PCA, ICA)	no	Subcontracts were made available to the MTR, facts and figures for the sites were provided for the sites and as summarised amounts for the budget lines
D.	Proof of fund transfers	N/A	Done during MTR
E.	Proof of co-financing (cash and in-kind)	No	Yearly reports to CI of NGOs benefiting from project funds for CA, CI reports on co-financing, limited proof of co-financing
F.	A summary report on the project's expenditures during the life of the project (by budget lines, project components and/or annual level)	Yes	[only final report by UNEP budget lines, no final report on biggest budget line or co-financing agreements]
G.	Copies of any completed audits and management responses *(where applicable)*	No	Audit reports were received during review of draft TE report
H.	Any other financial information that was required for this project Summary of expenditure of Each CA / subcontractor and total sum of expenditures in an excel file, summaries of costs per output	No	
3. Communication between finance and project management staff		**S**	
Project Manager and/or Task Manager's level of awareness of the project's financial status.		S	
Fund Management Officer's knowledge of project progress/status when disbursements are done.		S	
Level of addressing and resolving financial management issues among Fund Management Officer and Project Manager/Task Manager.		S	
Contact/communication between by Fund Management Officer, Project Manager/Task Manager during the preparation of financial and progress reports.		S	
Project Manager, Task Manager and Fund Management Officer responsiveness to financial requests during the evaluation process		S	
Overall rating		MS	

271. Table 23 provides an overview of CAPPP financial management components, information and communication. The overall rating for financial management is "moderately satisfactory", because financial information about the biggest component with the subcontracts was dispersed across different reports, not properly summarised in the final report as an Excel spreadsheet in the annex and proof of co-financing of many activities was lacking, however, co-financing targets were reached. The MTR made an attempt at collecting complete financial information, which were lacking for 21 of 30 CAs. CI had not allocated sufficient resources to oversee the financial management of sub-contractors or proof the figures about co-financing.

Mainly in the extension phase of the project, the financial information about the sub-contracts was completed.

Rating for Financial Management:	**Moderately Unsatisfactory**

F. Efficiency

272. According to UNEP guidelines, efficiency is understood as the project's ability to deliver its outputs and results in a timely and cost-effective manner. The task of the Terminal Evaluation was to check if project extensions were justified amendments to the formally approved results framework.

273. Management of financial resources of the project was "satisfactory". The project applied a co-funding approach for different sub-projects with different sites. Given the complexity of the implementation arrangements and the limited timeframe of the project for the execution of the CAs and related on-site works (the issue was already rated in the section project design), financial resources have been sufficiently well managed. The feasibility studies for new sub-projects and sites ensured that resources were not spent on non-feasible projects and activities. The longer time frame of the project (six years in total) allowed for careful selection of the on-site implementors and related activities.

274. Financial resources for project execution have been sufficient. In 2018—one year before the on-site project activities were planned to end—only 68% of the budget was disbursed to site implementors. CI reported those disbursements as spent project budget.

275. The MTR revealed significant delays in on-site project execution, which had not been reflected in project documents. Explicit reasons for delays were not mentioned in the MTR report. It mainly documented the extensions of grants agreements with implementing NGOs, delays in on site execution identified during the field visits and the analysis of disbursements to implementing NGOs.

276. The Evaluation Team finds based on interviews and documents that reasons for delays in project execution were mainly the project implementation structure with complex sub-projects and two calls for new-sub-projects to be implemented to identify suitable implementors and sites. Project planning based upon the given time frame had been unrealistic given the high transaction costs of project implementation: A number of feasibility studies had to be implemented before new sub-projects could start. The identification and execution of the sub-projects was a trial-and-error process needing time. On sites, specific goals for individual CAs with timelines needed to be identified and to negotiated. Careful implementation of CAs with communities requiring physical work and investments was also a longer process. The time expended at field level working with communities implementing a CA was much shorter. Field activities were in some cases one to two years, which was a very short period to develop mature processes, especially one-year interventions. Finally, the implementation of the CAs required changes in behaviour of individuals like change of grazing areas of cattle and working respective community-based structures for monitoring, which could not be implemented within one or two years.

277. The first project extension from April 2019 to December 2019 was granted for formal reasons in April 2017. "Although the CAPPP contract was signed on September

30th, 2014, the steering committee did not meet for the first time until January 2015. In accordance with the operations manual, the CAPPP could not allocate funds before the steering committee meeting was held. CI's policies prohibit the allocation of funds beyond the official agreement dates…" (Letter of CI requesting extension of project from March 2017). The implementation of grants in Peru, Colombia and Chinas was delayed in 2016/2017 as the MTR revealed.

278. A second project extension was recommended by the MTR (which was conducted in spring 2018, and the final report dates April 2019) to fulfil formal reporting requirements and gain basic environmental and social data about the outcomes of the CA. The MTR recommended to extend the project because unspent funds of US$1.6 million remained in the project budget at the time of the MTR. CI commented that all GEF resources had been already allocated and the project was already extended for 8 months. The MTR demanded to allocate funds to measure biodiversity indicators and monitor activities of every CA. As many CAs were signed with individuals or families in some sites like Bolivia this would have been not very cost effective. It was recommended to develop indicators to measure the improvements regarding biodiversity and social goals. The second project extension was requested in July 2019 and granted in December 2019.

279. During the second project extension phase, the project manager and the sub-projects gathered the necessary information for formal reporting like implementing stakeholders per sub-project, co-financing for each sub-project and GEF Core Indicators. In addition, the sub-projects hired consultants to conduct the requested analysis for the reports for each sub-project. Finally, the Lessons Learnt Document (CI. CAPPP Lessons learnt Report 2021) of the project was elaborated.

Rating for Efficiency:	**Satisfactory**

G. Monitoring and Reporting

Monitoring Design and Budgeting

280. The ProDoc had planned for project tracking tools: A tracker for activities and outcomes at the local level and a tracker at the project level and the required biodiversity tracker. However, the ProDoc did not contain a monitoring budget to implement the tracking tool.

281. The project was written in 2009 and presented to the World Bank /International Finance Corporation (IFC) as part of the Earth Fund projects. UNEP accepted the almost unchanged project document for implementation in 2010 starting project activities in 2014, so the ProDoc was quite outdated. The resulting reporting was based upon the outdated and unclear ProDoc making it difficult even to track the main indicator – the absolute number of CAs. One CA could be reported three times as outcome—under outcome 1.1; 1.2 and 1.3—if it contained three of the elements CSR payments, value chain development and SME promotion. The PIR mainly contained information about the numbers of CA under outputs 1.1., 1.2 and 1.3 and the area covered in ha under conservation agreements.

282. It was a disadvantage regarding the very specific monitoring requirements of GEF projects, that CI had implemented conservation agreements for almost 10 years before this GEF funded project started. So, CI's national offices and site implementers

took the funds from the GEF project just as another funding for their on-going activities, rather than a project with very specific reporting and information requirements which revealed the MTR. Due to the project design and the missing knowledge of CSP staff about the requirements of GEF projects (which was revealed in the interviews), the contracts with site implementors did not contain requirements for monitoring of environmental, social and economic results and reporting at activity level. Not all site level activities contained a budget for M&E.

283. However, the CAs included the monitoring of implemented measures, like no ploughing agreements in Namaqualand in South Africa were monitored by the community. Biodiversity was monitored using existing monitoring tools from a REDD+ project in Ethiopia.

284. The MTR recommended to extend the project and set up appropriate data collection tools to capture the social, economic and environmental outcomes and impacts of the CA and comply with formal GEF-reporting requirements. CSP set up a tracker for conservation agreements from which the information for the final report was retrieved. A set of common indicators for all sites could not be developed ex-post due to the lacking data and lack of budget.

Monitoring of Project Implementation

285. CSP always had an overview of the on-going activities and number of CAs under the project because site implementors reported these data. The MTR revealed that in the first meeting of the steering committee (SC) in 2015, the steering committee requested information about site level activities and results regarding environmental, social and economic benefits and success of SME development of each supported CA under the project in one single project document. The SC also requested information about the motivation of the private sector to participate in CAs because the main objective of the project was to test and show ways to catalyse private sector support for protection of biodiversity of global importance. The issue was repeatedly raised in the annual meetings of the steering committee, but no action was taken to solve the issue until the MTR, which recommended to extend the project and collect the requested data. A common indicator set for all sub-projects could not be developed ex-post but a tracking tool for the CAs was set up as already mentioned in the previous sub-chapter.

286. Local implementors like CI offices, NGOs or the three regional co-ordinators collected information about implementation of CAs, published documents for local use and took part in the knowledge exchange. So, information about project activities and outcomes was quite dispersed due to the decentralised structure. During the MTR, an ad-hoc exercise was undertaken to collect and summarize the missing information required for project reporting.

287. The contracts with site implementors did not contain specific requirements for setting baselines, setting and on-site monitoring of specific indicators and reporting those indicators. However, the implementing NGOs had to apply for funding under CAPPP and the proposals contained baselines and local indicators as well as means of verification like the proposal of Farm Africa / Ethiopia. Farm Africa applied their own community-bases monitoring tools and used geospatial information provided under the REDD+ framework for the project region.

288. The project also did not apply a strict follow-the money approach for financial reporting documenting for which activity project funds had been used in implementation sites. Such a reporting mode limits transparency about project activities and use of funds on-site. A strict follow the money approach would have increased transaction costs which the Evaluation Team found already high due to the complex project structure.

Project Reporting

289. Project reporting to UNEP was on time and provided the required information in the PIR based on the ProDoc. The MTR consultant checked the biodiversity tracking tool at project start and mid-term. The data reported through the biodiversity tracking tool was provided for the TE.

290. However, until the PIR in 2019, project reporting provided limited transparency about the project outcomes due to the project design: Oe conservation agreement could be allocated to all three project outcome dimensions as already mentioned. Project outputs / outcomes were taken as equal to the three main private sector engagement forms in CA (CSR funding, preparing companies for value chains and SME development) so that reporting did not provide easily accessible information about the absolute number of CAs implemented by the project.

291. The MTR requested an extension of the project for one year to track project results at the site level and level of individual CA and prepare specific project reports for each site as well as collect and summarise information about co-financing of the project. The extension of the project was granted. The final project report contained basic information about each site like implementing NGOs and other stakeholder financing the project and their role and financial contribution as well as basic information about activities in Annex 12 of the report.

292. Local consultants prepared the required final reports for each sub-project containing information about social, economic and environmental benefits for each site. The site-specific final reports are listed in the annex III Lists of documents consulted. Those reports have been tendered locally so that no common framework for collecting and analysing data was used. The co-financing document was also prepared during the extension phase of the project. The consultants for the TE used the reported data taking into account that the data had been collected at the end of the project to meet external requirements for reporting and not for the purpose of steering project activities or meeting information needs of the site implementors and CSP.

293. Performance at the project's completion against **Core Indicator Targets**: The project was approved during GEF-5 starting in 2014 and reported the following performance against GEF core indicators: *"The project has helped ensure the sustainable management of 1.15 million hectares of important ecosystems including various forms of protected areas and community management areas. Most of the portfolio pertains to the protection and sustainable use of forest."* (PIR 2020). The target was to improve the management of 1 million hectares of protected areas according to ProDoc.

294. As performance data was mainly reconstructed in the last phase of the project and the subprojects were in nine countries covering a number of sites making it difficult to distinguish between performance on non-protected and protected areas,

the Evaluation Team concludes that the project reached its target to improve the management of 1 million ha, which could be used as performance against **GEF 4 Core Indicator** "Area under improved management".

295. Among the area under improved management were protected areas and community managed areas. Results reported in terms of total area provided only limited information because conservation results expressed as indicator "area" represent a variety of results. It is reported that in some sites the CAs have prevented the expansion of settlements to bordering Protected Areas, in other CAs have prevented deforestation reducing rented areas for agriculture, or secured the connectivity between protected areas. In the case of Bolivia, a mosaic of forest patches between protected areas was conserved, however, the global importance of those forest patches was not demonstrated.

296. The project **counted 29,083 beneficiaries** of these agreements, it was anticipated that half of them were women or girls, however, the project did not provide gender-disaggregated data.

297. The results from the TE support the conclusions from the MTR that both CI management and the SC did not analyse and identify the specific information requirements at the very beginning of CAPPP implementation. CI management did not have the capacity to identify and propose useful schemes on how to report on CAPPP progress and request the required information to site implementers. The data collection and reporting remained stuck to the formal report formats requested by GEF/ UNEP.

Rating for Monitoring and Reporting: **Moderately Unsatisfactory**

H. Sustainability

298. One of the two strategic questions that the TE was tasked to answer was the extent to which **the CAs remain effective and sustainable in the long-term**. The Evaluation Team found the question was difficult to answer because the project promoted a variety of CAs. In general, the project financed activities on sites which were phases of long-term interventions aiming at institution building and supporting MSME and their participation in markets. CAPPP financed phases of longer interventions, which produced sustainable results because they established institutions at the community level. This approach, which was found to different degrees in the sub-projects made the results sustainable, however, follow-up funding beyond the project duration would be necessary. Therefore, the sustainability of *results of the CAPPP project were rated as "moderately satisfactory"*.

299. The interviews revealed that CSP successfully has raised funds for the replication of pilot projects because funding for replication was widely available. However, this approach on quick replication and new initiatives requested by donors would lead to the "abandonment" of existing CAs, which would need further support to mature like in the case of Ethiopia where expected economic results were only obtained in the follow-up project. The interviews found that communities continued to comply with the CAs like in the case of South Africa, Namaqualand, where seasonal

grazing is supported by water infrastructure which is financed and maintained by national programmes.

300. The CAPPP Lessons Learnt report concluded for eight of the 12 investigated cases: “It is easy to underestimate the time required for projects to bear fruit (in terms of showing impact, achieving sustained business capacity and beneficiary behavior change persisting with less emphasis on incentives.) For this reason, no-regrets scenarios where investments get communities to certain points of development where, even if they went no further, the benefits would be worth it, are a good way to structure thinking about project phasing”. The Evaluation Team also concludes that the project terms need to be longer to go beyond the immediate no-regret benefits and built institutions like co-operatives or sustainable value chains in order to achieve transformational change. As one beneficiary in Ethiopia pointed out that the time has been too short to make significant changes.

301. “Using private sector engagement as the sole long term financing strategy is unlikely to succeed in most cases; at a minimum, an ongoing need for NGO or government roles is pervasive (for technical support, monitoring, fundraising, etc., and/or to ensure that the actors do not lose sight of conservation objectives as a result of emphasis on market activities). This could be taken as a lesson that the conditions under which private sector engagement can be a sufficient stand-alone financial sustainability strategy are not sufficiently understood. Private sector engagement is probably best seen as one component of a larger financial sustainability plan.” (CAPPP Lessons Learnt p. 34). The Evaluation Team interprets the conclusions of the report that private sector engagement is a necessary but not sufficient element of long-term strategies for community-based management of natural resources.

302. Established product sourcing agreements and value chains for niche products, like wild coffee, are long-term agreements and therefore mostly sustainable. However, the short duration of the project and the supported CAs has limited the creation of such long-term product sourcing agreements. In the case of Namaqualand, CSP aims at integrating the CAs into local institutions like municipal by-laws for grazing linking the community level CAs with the municipal level institutions using other funds after the end of the project.

303. CSR funding could be considered as an additional but not stable source of funding conservation because it would depend very much on internal politics of companies and persons in charge like in the case of Colombia. When payments were linked with the core business of the company like water or carbon neutrality of operations, companies invested over a longer period of time.

Socio-political Sustainability

304. The political environment at the local and political levels with the exception of Cambodia, Colombia and Ethiopia was rather conducive to sustain the project results. The conducted feasibility studies ensured that the projects operate in a mainly conducive environment.

305. In South Africa, the Conservation Agreements could be used to implement by-laws for the management of communal rangelands administered by the municipality. Conservation South Africa linked the created institutions like co-operatives at community level with policies at the municipal level. Even in the case of India, where

project activities had to re-focus from collecting NTFP to organic agriculture in a Tiger Reserve, the legal context allows those activities. The Wildlife Protection Act (1972), demanded a Tiger Reserve Foundation in each State which would support conservation of tiger and associated biodiversity and also eco-development initiatives through people participation in development process. The Forest Rights Act (2006) protected the rights of indigenous communities to their land but would need to be implemented. The support of an international conservation NGO such as CI has facilitated those processes.

Financial Sustainability

306. The financial stability of the results of the CA was partly ensured because for some CAs funding was secured to continue the CA like in the case of Ethiopia for another two years. In the case of China, state funding was available for selected activities of the CA.

307. CSR payments of large companies were not a stable source of funding for CA as the case of Colombia showed because they depended on the decisions of managers and company policies. When payments were linked to the core business of the company, like in the case of Coca Cola, to ensure water neutrality of the operations or in the case of Cambodia the purchase of carbon credits, it was more likely that companies would continue their engagement in CAs.

308. A long-term strategy is needed to build capacity of the private sector at the local level over more years. In general, new companies would run profitable after 3-4 years of market participation and it would take companies much longer to provide high quality products. The implementing NGOs have started a promising strategy of promoting investments of the private sector in natural resources to finance conservation beyond this project.

309. Financial benefits from market participation and value chains would be sustained in the future because the beneficiaries are interested in the generated income and profits. The core business of the promoted value chains and MSME were strongly linked to the available natural resources and the interest and existing economic activities and to markets. This ensured the financial sustainability of the results compared to many other conservation projects where standard solutions were promoted like handicraft without market orientation or chicken rearing which had no link to the local environmental resources. However, the inclusion of producers in international value chains like in the case of wild coffee in Ethiopia only started and would still require a considerable amount of capacity building with producers. In the case of Namaqualand, rearing sheep and goats were part of the local culture so that having a profitable enterprise was not the main aim of producers.

310. The generated benefits shortly after engaging producers in SME development were not high enough to cover the costs of conservation (CI CAPPP Lessons learnt Report 2020). Long-term transfer schemes like payments for ecosystem services are important because they compensate ecosystem stewards for the provision of ecosystem services like water and carbon sequestration. Here, the project was able to secure follow up engagement of the private sector like in the case of Cambodia for voluntary carbon credits.

Institutional Sustainability

311. To achieve institutional sustainability, farmers and producers with a stable income would be able to make better decisions and invest in natural resources as the basis for their income. Those economic benefits would be a necessary but not sufficient condition to sustain the project results. In some cases, additional institutional capacity building would be needed to sustain the environmental benefits. In Namaqualand, seasonal grazing creates environmental benefits. Permanent institutions like the co-operatives for farmers would have to take over the implementation of seasonal grazing schemes and the protection of water sources after the end of the project.

312. Setting up conservation agreements was a site-specific trial-and-error process with different goals, stakeholders and processes. Some CAs had a very short duration of up to one year to learn which measures were realistic and how monitoring could be implemented.

313. The aim of CSP was to create sufficient local capacity to institutionalize the CAs at the local level in the long run securing which would also imply follow-up funding for project activities relating to CAs. This funding could not be raised in all cases. The project activities were often part of long-term interventions at the sites using different sources of funding which supports the sustainability of the project results.

Rating for Socio-political Sustainability: Highly Likely
Rating for Financial Sustainability: Moderately Likely
Rating for Institutional Sustainability: Moderately Likely

Rating for Sustainability: Moderately Likely

I. Factors Affecting Performance and Cross-Cutting Issues

314. **Preparation and Readiness:** The project was designed in 2009 for implementation by the World Bank / IFC. The almost unchanged project document was accepted by UNEP in 2010 and project implementation started in 2014. The ProDoc was not updated sufficiently to fully comply with the requirements of GEF-5 such as assigning a monitoring and evaluation budget. So, the factor can only be rated as 'moderately satisfactory'.

315. **Quality of project management and supervision** is rated as 'moderately unsatisfactory' for both UNEP and CI-CSP for the following reasons: Project management of UNEP was limited to supervising the compliance with the formal reporting requirements. The issue of transparency about project implementation was raised in several SC meetings but never formally addressed by UNEP project management before the Mid-Term Review. Until 2018, only basic information was reported in PIR according to the MTR. The PIRs of 2019 and 2020 provided an additional paragraph with a summary of the project results like the absolute number of CAs and CAs with CSR payments, value chain development and MSME promotion. The MTR was commissioned late with less than two years left of implementation after the project had already been extended, which diminished the opportunity for course correction or other significant project management changes, if needed, and the

recommendations focused on how to gather the missing data necessary for the closure of the project and the terminal evaluation.

316. Project management of CI focused on commissioning the funding agreements and on organising knowledge exchange between the different sub-projects. The commissioning of the funding agreements and the management of the call for proposals was efficiently managed so that no major delays in project implementation occurred. Failed CAs (like in South Africa) or failed efforts to involve the private sector (like in the case of Colombia) did not affect project outputs. Data for co-funding and transparent use of funds by the implementing NGOs were not recorded as well as elements of the planned M&E system like the tracker for CAs were not implemented. The minimum formal requirements for project management were not met in all aspects despite that the project was implemented efficiently.

317. **Stakeholder Participation and Cooperation**: This factor analyses the progress, challenges and outcomes regarding engagement of stakeholders in the project/program as evolved from the time of the MTR. The project faced a double challenge in promoting a meaningful engagement of the private sector and implementing Conservation Agreements with communities for conservation.

318. A key challenge, which became apparent during the lessons learned exercise was the difficulty in engaging private sector companies in conservation. While it was possible, it has proven to take a great deal of time to forge true partnerships with the private sector. This was particularly evident within the CAPPP on the pillars of channelling corporate social responsibility commitments, as these commitments can change over time, and in sourcing natural products from communities, as large private sector companies have a world of supply options and communities have a world of competition. Moreover, where these relationships did emerge it was frequently due to a pre-existing commitment to communities or society in a specific geographic location, often connected to the company's consumer base, supply chain, or desired audience. It was more challenging to begin with a specific geographic location and then try to find the right private sector partners, though not impossible. (PIR 2020). Stakeholder Participation and Engagement is rated as 'satisfactory'.

319. **Community level engagement** was the key to implementing the CAs. The sub-projects promoted community engagement to different degrees from negotiating with farmers to be paid for work on their own land to creating local co-operatives or setting up local natural resource management (NRM) and biodiversity committees. In Bolivia, farmers could propose additional actions for biodiversity protection to be paid for. In Cambodia, local committees for natural resource management have been established and in Ethiopia local biodiversity monitoring has been implemented. When the implementing NGOs designed and negotiated the CAs, the focus was on the needs and capacities of the individual communities. In Peru, a new model for engaging indigenous communities with small scale farmers in land use agreements was established. Community level engagement was rated as 'satisfactory'.

320. **Responsiveness to Human Rights and Gender Equality**: The sub-projects under the project were encouraged to include gender considerations during feasibility analysis, activity design, monitoring and evaluation and staffing and budgeting in order to ensure that differences across genders with regards to decision-making, use of the environment, and opportunities for economic development were understood

and incorporated within the conservation agreement cycle. The Responsiveness to Human Rights and Gender Equality is rated as 'satisfactory'.

321. Gender-responsive measures had not been included into the project design. Conservation International´s CA tool, however, includes gender-responsive measures. Conservation International's conservation agreements tool recognized that men and women interact with their environment in different ways, and therefore have different needs, priorities and interests in conservation. CI perceived it as critical that the differences across genders with regards to decision-making, use of the environment, and opportunities for economic development were understood and incorporated within the conservation agreement cycle. The conservation agreements' methodology emphasizes participation, inclusion, free, prior, and informed consent, and voluntary partnership in conservation. Of the estimated 30,000 beneficiaries of this project, CI reported that half of them were women or girls.

322. Women and vulnerable groups were successfully included in all projects. The grant agreements between CI and the implementing NGOs explicitly contained measures benefitting women like in the case of Bolivia income generating activities like honey production or in the case of Guatemala economic activities of women´s groups. Women were requested to be members of the Natural Resource Management Committees in Cambodia. In Colombia, a group of women was engaged in monitoring activities. In South Africa, the project activities have been directed to activities, which were more likely to be undertaken by men like cattle breeding, however, a significant number of women engaged in goat breeding had benefitted from the project. The project also succeeded including elderly groups honouring their experience and spiritual support and including young men to perform monitoring of the community areas.

323. Most of the CAs have been implemented with indigenous (Bolivia, Colombia, Guatemala, India, Peru) and vulnerable communities (Cambodia, China). The feasibility studies identified the needs of the communities and the existing rights to natural resources. Those rights have been the basis for the CAs in the case of India and Peru. Conservation agreements reinforced rights to land and to the use of natural resources of communities because communities that have such formal or informal rights to the use of natural resources, can agree to change their behaviour towards how they use the resources. CI perceived communities as stewards to natural resources, which implied a fundamental change of perspective to the more re-active role communities play in conservation.

324. **Environmental and Social Safeguards**: The project document identified low risks of the project except for medium risks associated with communities that would not be able deliver consistent quantity/quality of natural product/environment services. Medium risks were also associated with local small- and medium sized enterprise development, which could fail due to challenges facing business in remote locations. These risks were mitigated during implementation and rated as low in the PIR 2019 /2020. Rating for Environmental and Social Safeguards is 'satisfactory'.

325. **Communication and Public Awareness:** The knowledge management approach of the project has mainly focused on decentralised learning in sites, countries and regions and on communicating the results to relevant NGOs on a decentralized level. Adaptive management actions have been part of a trial-and-error learning process

across sites and on sites in South Africa. Knowledge from other projects has been used in the case of Ethiopia to design the monitoring of CAs.

326. At the project level, annual learning and knowledge exchange events have been conducted where all involved implementing NGOs and other actors participated. The learning events focused on "tweaking" the conservation approach to the local needs. The project would have benefitted from communicating the overall project goal, the GEF principles and monitoring requirements to improve its effectiveness and monitoring. The MTR demanded a more project-focused approach for communication and learning like presenting the learnings of the sub-projects in final reports and a synthesis report with the knowledge generated across sites. The final reports of the sub-projects contained lessons learnt about the involvement of the private sector in CAs like documented by Fundación Natura about CSR engagement of companies. The final synthesis report made the learnings about private sector involvement more tangible to outsiders, however, knowledge sharing with the general public about private sector involvement in conservation could have improved the reach of its communication and public awareness measures.

327. In general, CSP was interested in communicating the learnings about CA and the importance of private sector engagement to other NGOs. The project design was conducive to diffusing the knowledge about CAs to other NGOs. This was the main reason why the calls for implementing CAs were open to other NGOs than CI country offices.

328. The project was part of the Earth Fund portfolio of the GEF promoting Public - Private Partnerships[24]. UNEP implemented a second Earth Fund Project for Greening Cocoa Production with the Rainforest Alliance. Water fund projects like the one in Bolivia were part of the Water Funds portfolio (IADB and Nature Conservation). A representative of the GEF was member of the Steering Committee; and it would have been an opportunity to exchange knowledge between the projects in the portfolio, but it was not planned for despite the similarities of the projects. Communication and Public Awareness is rated as 'satisfactory'.

Rating for Factors Affecting Performance/ Cross-Cutting Issues: Moderately Satisfactory

[24] https://www.thegef.org/content/earth-fund

VI. CONCLUSIONS AND RECOMMENDATIONS

A. Conclusions

329. This section draws conclusions regarding the relevance of the project approach, the two strategic questions posed for this terminal evaluation, GEF cross-cutting issues and compliance with GEF core indicators.

330. The project addressed an important financial barrier for conservation identified by the international community. It was also coherent with policies of GEF and UN-Agencies, like UNEP, to promote the involvement of the private sector in sustainable development and conservation. The concept of Strategic Alliances is part of Agenda2030.

331. The project reported a high level of compliance of expected outputs in terms of number of CAs entered with different types of links with the private sector, but its contribution to higher level objectives like global environmental benefits were found to be weak or not well reported. Showing this contribution; how private sector engagement produces global biodiversity benefits, was not the main purpose of the project, however, it is the main objective of GEF as a donor.

332. A second objective has been knowledge creation and transfer about setting up conservation agreements. This was mainly done creating an NGO community of practice and diffusing the knowledge about conservation agreements in this expanding community of practice.

333. The main purpose of the project was to show different forms of private sector engagement in conservation. The project tested many different approaches in different contexts globally, which made the project too complex and difficult in order to efficiently implement project activities. It is challenging to summarize the results of the different sub-projects due to its complexity and the lack of an appropriate monitoring structure.

334. This complex project set-up and the implementation structures relying on calls for sub-projects to be implemented led to short implementation time on the ground which limited the environmental benefits and made the project ineffective. In most sub-projects, follow-on activities are necessary to sustain the project results.

335. The project design resulted in delays in project implementation and would have needed high efforts setting up appropriate monitoring and reporting structures.

336. Q1: To what extent were the public-private partnership mechanisms adapted to the local context and do they remain effective and sustainable in the long-term? The finding regarding this question can be found in the sections on Relevance and Sustainability. The public-private partnerships mechanism was well adapted to the needs of the local communities and produced local social and economic benefits.

337. The project demonstrated *a variety of approaches towards the engagement of the private sector, which have been well adapted to the local context*. They ranged from watershed management, sustainable production of wild coffee to sustainable management of rangelands and forests. Benefits for communities, their responsibilities and monitoring mechanisms were adapted to the local context.

338. CSR engagement of companies and private foundations was a source for financing conservation projects, but building of relationships and trust were necessary

to raise those funds. The attainment of such funds depended very much on the goals of the company or foundation and required professional public relations. CSR funds and funds of private foundations need due diligence also from the communities and local administration of the planned interventions.

339. The TE was tasked to assess the extent to which *the CAs remain effective and sustainable in the long-term*. The Evaluation Team found the question was difficult to answer because the project promoted a variety of CAs. In general, the project financed activities on sites which were phases of long-term interventions aiming at institution building and supporting MSME and their participation in markets. CAPPP financed phases of longer interventions, which produced sustainable results because they established institutions at the community level. This approach, which were found to different degrees in the sub-projects made the results sustainable, however, follow-up funding beyond the project duration would be necessary.

340. Q2: How did the conservation agreements' approach promote sharing of benefits and what role did community level engagement play?

341. The conclusions regarding the second strategic question are drawn from the findings in the section direct outcome 1 and 2. *CAs promoted benefit sharing in value chains* like Non-Timber Forest Products, organic agriculture or high-quality coffee because small producers got higher prices for those products. NGOs needed to build capacity of farmers to deliver quality and the necessary quantity of products to make product sourcing feasible. Support of NGOs or governmental agencies would be necessary in the future to develop capacities of producers and to ensure that they maintain focus on both economic activities and conservation. The Evaluation Team concludes that *product sourcing agreements and MSMEs would remain effective and sustainable in the long-term because they produce sufficient benefits* for communities.

342. The project showed the relevance of private sector engagement for the conservation community of practice / projects: value chain development and market participation of SMEs offer opportunities to improve livelihoods of the local population. CAs provided support to translate those better economic opportunities into commitment to protect natural resources as long-term investments in the supply of local business and livelihoods. Local economic activities could contribute to investments in conservation, but external financing would still be necessary for conservation projects in the long run.

343. CI perceived communities as stewards to natural resources, which implied a fundamental change of perspective to the more active role communities play in conservation.

344. CAs could be perceived as the first step towards *community-based natural resource management,* which supports national policies for conservation at the local level like in China, Colombia, Guatemala or South Africa. *Communities were actively engaged in negotiating and implementing conservation agreement, which lead to acceptance and compliance.*

345. **Community level engagement** was the key to implementing the CAs. The sub-projects promoted community engagement to different degrees from negotiating with farmers to be paid for works on their own land to creating local co-operatives or setting up local natural resource management and biodiversity committees. In Bolivia, farmers could propose additional actions for biodiversity protection to be paid for. In

Cambodia, local committees for natural resource management have been established and in Ethiopia local biodiversity monitoring has been implemented. When the implementing NGOs designed and negotiated the CAs, the focus was on the needs and capacities of the individual communities. In Peru, a new model for engaging indigenous communities with small scale farmers in land use agreements was established.

346. What was the performance at the project's completion against **Core Indicator Targets**? At the end of the project, 1,184,852 ha of important ecosystems were under improved management using conservation agreements across the portfolio (project target were 1,000,000 hectares) mainly contributing to GEF-Target "Areas under improved management". The project counted 29,083 beneficiaries of these agreements, Conservation International has estimated that half of them are women or girls because Conservation Agreements were negotiated with communities and families of which women and girls constituted half of the members (PIR 2020 annex 12).

347. **Stakeholder Participation and Cooperation**: The project faced a double challenge in promoting a meaningful engagement of the private sector and implementing Conservation Agreements with communities for conservation.

348. A key challenge which became apparent during the lessons learnt exercise was the difficulty in engaging private sector companies in conservation. While it was possible, it has proven to take a great deal of time to forge true partnerships with the private sector. This was particularly evident within the CAPPP on the pillars of channelling corporate social responsibility commitments, as these commitments could change over time, and in sourcing natural products from communities, as large private sector companies have a world of supply options and communities have a world of competition. Moreover, where these relationships did emerge it was frequently due to a pre-existing commitment to communities or society in a specific geography, often connected to the company's consumer base, supply chain, or desired audience.

349. **Responsiveness to Human Rights and Gender Equality:** What were the completed gender-responsive measures and, if applicable, actual gender result areas? The sub-projects under the project were encouraged to include gender considerations during feasibility analysis, activity design, monitoring and evaluation and staffing and budgeting in order to ensure that differences across genders with regards to decision-making, use of the environment, and opportunities for economic development were understood and incorporated within the conservation agreement cycle.

350. Gender-responsive measures had not been included into the project design, however, Conservation International´s CA tool included gender-responsive measures and some CAs contained gender-responsive measures like in the case of Cambodia or Guatemala. Human rights and the rights of indigenous communities were implicit in many projects like Guatemala, project reporting and publications made them visible.

351. **Environmental and Social Safeguards**: The project document identified low risks of the project except for medium risks associated with communities that would not be able deliver consistent quantity/quality of natural product/environment services and local small- and medium sized enterprise development which could fail due to challenges facing business in remote geographies. These risks were mitigated during implementation and rated as low in the PIR 2019 /2020. In general, mitigation of risks

would be easier if the project term would be longer to allow more time for corrective action.

352. **Communication and Public Awareness**: The Knowledge Management Approach of the project has mainly been focused on decentralized learning at the level of sites, countries and regions and on communicating the results to relevant NGOs. Adaptive Management Actions have been part of a trial-and-error learning process across sites and on sites in South Africa. Knowledge from other projects has been used in the case of Ethiopia to design the monitoring of CAs.

353. At the project level, yearly learning and knowledge exchange events were conducted where all involved implementing agencies and other actors participated.

354. The final reports of the sub-projects contained lessons learnt about the involvement of the private sector in CA like a document of Fundación Natura about CSR engagement of companies. The final document made the learnings about private sector involvement more tangible to outsiders.

355. In general, CSP was interested in communicating the learnings about CA and the importance of private sector engagement to other NGOs. The project design was conducive to diffusing the knowledge about CAs to other NGOs. This was the main reason why the calls for implementing CA were open to other NGOs than CI country offices.

356. The project was part of the Earth Fund portfolio of the GEF promoting Public - Private Partnerships[25]. UNEP implemented a second Earth Fund Project for Greening Cocoa Production with Rainforest Alliance. Water fund projects like the one in Bolivia were part of the Water Funds portfolio (IADB and Nature Conservation). A representative of the GEF was member of the Steering Committee; and it was opportunity to exchange knowledge between the projects in the portfolio, but this was not planned for despite the similarities of the projects.

B. Summary of project findings and ratings

357. Table 24 provides a summary with details of the ratings and findings discussed in Chapter V. Overall, the project is rated “Satisfactory”.

Table 24: Summary of Project Findings and Ratings

Criterion	Summary assessment	Rating
Strategic Relevance	**HS**	**HS**
1. Alignment to UNEP MTS, POW and Strategic Priorities	Aligned with all strategic priorities	HS
2. Alignment to UNEP /Donor strategic priorities	One of the few successful projects of GEF engagement with small and medium-sized enterprises in biodiversity conservation	HS
3. Relevance to regional, sub-regional and national environmental priorities	Private sector engagement is one priority in raising funds for conservation	HS
4. Complementarity with existing interventions/ Coherence	Coherent with other interventions in high-value conservation areas, supports implementation of other environmental projects like REDD+ or conservation landscapes	S

[25] https://www.thegef.org/content/earth-fund

Criterion	Summary assessment	Rating
Quality of Project Design	Sites and implementing partners not predefined, two rounds of calls in a five-year project, short implementation of CAs, no exit-follow up strategy	**MS**
Nature of External Context	Favourable because high interest of policy makers in private sector engagement	**F**
Effectiveness	Outputs and outcomes available according to indicators	**S**
1. Availability of outputs	Outputs available	S
2. Achievement of project outcomes	Project outcomes and three direct outcomes (for private sector engagement) available	S
3. Likelihood of impact	Local social, and economic and environmental benefits are only likely in longer-term interventions	ML
Financial Management	**MU**	**MU**
1. Adherence to UNEP's financial policies and procedures	Formal compliance ensured	MS
2. Completeness of project financial information	Complete financial information was compiled in the extension of the project and not available for all items like feasibility studies	US
3. Communication between finance and project management staff	Formal compliance ensured	MS
Efficiency	Funds were efficiently spent	**S**
Monitoring and Reporting	**MU**	**MU**
1. Monitoring design and budgeting	Not available	MU
2. Monitoring of project implementation	Not undertaken	MU
3. Project reporting	Formal reporting requirements were met in an extension of the project on request of the MTR which started to collect information for formal reporting	MU
Sustainability	**ML**	**ML**
1. Socio-political sustainability	Stable institutions in most project regions except Colombia	L
2. Financial sustainability	CAs are only financially stable if sufficient economic benefits are produced, Most CAs are too short to produce sufficient benefits for communities	ML
3. Institutional sustainability	Markets, value chains and enterprises as well as community organisations need high investments of capacity building which could not be undertaken due to the short timeframe of the project. Follow-up projects /longer-term interventions are necessary	ML
Factors Affecting Performance	**MS**	**MS**
1. Preparation and readiness	Grant for project preparation not used to determine implementing partners and sites	MS
2. Quality of project management and supervision	Only compliance with formal requirements, two calls for proposals in a five-year project left not much time for implementation, decentral storage of information and decentral learning, project extension was necessary to comply with formal requirements	MU
3. Stakeholders' participation and cooperation	The project was successfully in engaging the private sector into conservation.	S
4. Responsiveness to human rights and gender equity	CAs were designed with the communities, considering human rights and gender equity	S
5. Environmental, social and economic safeguards	Compliance during project design and implementation	S
6. Country ownership and driven-ness	N/A because decentral sites and NGO driven project	N/A

Criterion	Summary assessment	Rating
7. Communication and public awareness	Communication of project results between project partners, communication with the private sector, communication material for the wider public available	S
Overall Project Performance Rating	**S**	**S**

C. Lessons learned

Lesson Learned #1:	The main lesson learnt from the project is that it was a challenge for conservation NGOs to develop the necessary knowledge about specific markets and value chains for private sector engagement in the project. NGOs lack skills for capacity development in communities in relation to private sector development which need to be acquired through exchanging knowledge with other communities of practice. Knowledge exchange with initiatives promoting value chains (product sourcing) like sustainability standards and respective companies and with development practitioners´ community of SME development would be necessary in order not to "reinvent the wheel".
Context/comment:	See Sustainability and Outcome sections of the report

Lesson Learned #2:	The project contributed to phases of capacity building in longer-term initiatives financing CAs in different sites. The project-term and especially the 1 to 2-year term of the CAs was too short to produce fully sustainable results because it takes up to four years to establish a successful business in the market. The project showed that it was possible to invest relatively small resources like providing market information to communities to produce economic gains. However, capacity building for private sector engagement like sourcing agreements and value chains or co-operatives and community-based conservation would require long-term institution building. Implementing organisations need to invest in institution building processes for private sector and community engagement going beyond quick gains. Institution building is a critical process for the transformational change the GEF aims at.
Context/comment:	See Sustainability and Outcome sections of the report

Lesson Learned #3:	Knowledge exchange between existing and future project partners in GO networks is very valuable. Other ways of learning are capturing lessons learnt for diffusion to the wider conservation community and similar GEF-projects and better design of future projects.
Context/comment:	See Outcome section of the report

Lesson Learned #4:	Project Management – Such large global projects lack transparency due to their complexity. It is a challenge to monitor and report on many subcontracts and ensure smooth communication of GEF concepts. Clear guidelines for monitoring and reporting, including requirements of budget for M&E are necessary for effectively managing the sub-projects. An executing agency, such as UNEP, would need administrative capacities for the oversight of such complex projects in order to be able take respective corrective action in time.

Context/comment:	See chapter about Monitoring and Evaluation, Effectivity and Effectiveness and Financial Management

Lesson Learned #5:	A global project relying on grants to local level sites is inclined to be ineffective due to limited on-site project activities with a small budget over short timeframes and inefficient due to delays in allocating funds and implementing grant agreements. The knowledge management component is the strategic advantage of such a project and needs to be appropriately focused on.
Context/comment:	See chapter about Monitoring and Evaluation, Effectivity and Effectiveness and Financial Management

D. Recommendations

Recommendation #1:	**Ensure longer project duration of at least five years and three to four years of on-site activities, as appropriate, to allow institution building on the ground in future global GEF biodiversity conservation projects implemented by UNEP.** **Design projects with a limited number of sub-projects with on-site activities and select sites and implementation agreements for local interventions during the design phase.**
Context/comment:	Resources for proposal writing in the design stage were not sufficiently used to design a manageable project with preselected partners and on-site activities and proper monitoring and reporting structures. Project proposals undergo a revision process within UNEP being reviewed in the Programme Coherence & Assurance Unit, Policy & Programme Division. The project proposal review needs to consider the appropriate number of project partners and on-site activities as well as the timing and duration of the project activities. The review shall also check the theory of change – if project outcomes contribute to global environmental benefits.
Priority Level:	Critical recommendation
Responsibility:	UNEP
Proposed implementation time-frame:	Next twelve months

Recommendation #2:	**Diffuse Lessons Learnt for Private Sector Engagement in conservation projects with communities, for example, write a flyer with lessons learnt of the project and diffuse it to other GEF-projects like GEF-ID 10341 South Africa, GEF-ID 10192 Zambia, GEF:ID 10285 Panama.**
Context/comment:	See lessons learnt. The project showed different ways of supporting community-based enterprises and value chains. Experience from activities can be transferred to other projects with private sector engagement and community involvement like the selected projects from the GEF database.
Priority Level [26]:	Important
Responsibility:	UNEP /GEF
Proposed implementation time-frame:	Within next 12 months

Recommendation #3:	**Lessons learned about engaging communities in conservation, inclusion of gender and vulnerable / indigenous groups should be diffused to the wider public via UNEP or GEF website.**
Context/comment:	The Project applied an assertive mechanism to get a fair distribution of benefits and inclusion of women and men, young people and elders promoting social organization and community decision making. This approach shall be presented in an article and published on the UNEP or GEF-website.
Priority Level:	Critical recommendation
Responsibility:	Conservation Stewards Program of Conservation International, UNEP, GEF
Proposed implementation time-frame:	Within the next 12 months

[26] Select priority level from the three categories below:
Critical recommendation: address significant and/or pervasive deficiencies in governance, risk management or internal control processes, such that reasonable assurance cannot be provided regarding the achievement of programme objectives.
Important recommendation: address reportable deficiencies or weaknesses in governance, risk management or internal control processes, such that reasonable assurance might be at risk regarding the achievement of programme objectives. Important recommendations are followed up on an annual basis.
Opportunity for improvement: comprise suggestions that do not meet the criteria of either critical or important recommendations, and are only followed up as appropriate during subsequent oversight activities.

ANNEX I. RESPONSE TO STAKEHOLDER COMMENTS

Response to Stakeholder Comments Received but Not Fully Accepted by the Evaluators

Page Ref	Stakeholder comment	Evaluators Response	UNEP Evaluation Office Response
Rec. 1	The recommendation does not seem to be in line with the objective of the project. The nature of the project is similar to a small grants program, and you may not expect all sub-projects are known at the design phase. The purpose is to design a system that identifies potentials and then build capacity within the community to implement it. That is the nature of the project, and it would not require that the selection of sites should be addressed at the planning phase. Additional elements to consider include: CAPPP's origin with The World Bank before it was assigned with UNEP, and GEF funding approach for this type of project (i.e., funding is awarded based on objectives, not a fully designed project); and it was for the private sector partner to ultimately decide on sites that it would invest in in view of its portfolio.	In none of the project documents can the term small grants programme (SGP) be found. The SGP provides very small amounts of funds to local communities. the main aim is that communities have direct access to funds to learn how to handle them developing activities on Biodiversity Conservation or CC. In the case of CAPPP the funds were generally managed by NGOs. 2. The original SGP were indeed lump sums given to the country's SGP office, which had a community database to begin with. Nevertheless, the upgraded SGP is managed as a regular project cycle, meaning they receive a Project Preparation Grant (PPG) to design the project and they would select the participant communities during this phase. Meaning that if CAPPP and the upgraded SGP have a PPG, they could select the participant communities during the design phase. 3. The original SGP grants were US$25.000 per community; this amount could increase to US$50,000 for the upgraded SGP. CAPPP funds for each CA with community in most countries were higher. The project objective was knowledge generation for conservation agreements which produce environmental benefits.	The specific early background of CAPPP moving from the World Bank to UNEP is relevant to consider. Examples provided by the Evaluators based on information collected, support the recommendation that it is important to apply early on principles/ criteria for site selection and ensuring that site activities are implemented in a time frame that allows building of capacity and sustainability. The recommendation is adjusted to reflect the need for principles/ criteria to be applied, as appropriate.

Page Ref	Stakeholder comment	Evaluators Response	UNEP Evaluation Office Response
		The project used implementation sites to generate the knowledge. The aim of the GEF is to produce environmental benefits. In order to achieve significant and measurable environmental benefits, activities need to be implemented in sites for 3-4 years to be able to attribute the environmental changes to project activities. Before implementing activities, project staff needs to work with communities to establish the agreements. So, projects need to be well prepared. There are no sites were companies acted as investors and really choose to work with a specific community. Implementors reported that they were promised more funding before the project started and the funding was decreased because more sites were included in the project than planned. Reasons were not explained. A site – the Amazonas in Colombia- failed because it turned out that products from Brazil were already on the market. A simple market analysis could have been done before the site selection. The site selection was based to a lesser extent upon needs of companies and more on the needs of NGOs which needed project funding. In the case of Ethiopia, implementors clearly stated that they would have needed 4 years to implement the activities and link with the private sector properly.	

ANNEX II. PEOPLE CONSULTED DURING THE EVALUATION

Organization	Name	Position	Gender
UNEP	Susanne Bech	UNEP Senior Evaluation Manager	f
UNEP	Ersin Esen	UNEP GEF Task Manager	m
UNEP	George Sadimbah	UNEP Finance Manager	m
Conservation International	Zachary Wells	Managing Director	m
Conservation International	Amos Thiong'o Mwaura	Regional Manager for Africa	m
Conservation International	Alejandro Rosselli	Regional Manager for Latin America	m
Conservation International	Fitri Hasibuan	Former Regional Manager for Asia	f
Conservation International	Corle Jansen	Pro- nature Enterprise project manager	f
Conservation South Africa	Michael Grover	Kruger 2 Canyons Landscape Director	m
Conservation South Africa	Roland Newman	Namaqualand	m
Conservation South Africa	Malinda Gardiner	Namaqualand	f
Conservation Cambodia	Jackson Frechette	Project manager of Cardamons Project	m
Shan Shui Conservation Center China	Jie Feng	Giant Panda & Forest Conservation Director	m
Farm Africa	Nura Aman	Former Project manager	m
Farm Africa	Shewitt Emmanuel	Country director	m
Farm Africa	Tewodros Gehzahegn	Project Manager	m
Keystone Foundation	Anita Varghese	Project Manager	m
Keystone Foundation	Sumin George	Project Manager	f
WCS -Guatemala	Miriam Castillo	Coordinator	f
Parque Nacional Laguna del Tigre (PNLT) Guatemala	Ervin Ramírez Villalobos	Director since Feb 2019	m
COCODE - Paso Caballos - Guatemala	Andres Ical	President 2017 y 2018	
WCS – OYMC - Guatemala	Julio Zetina	Field Coordinator Uaxactun and Ex adm assistant OYMC (WCS)	m
WCS - Guatemala	América Rodríguez	Field Coordinator Paso Caballos	f
CI (ex CI Colombia currently CI- Washington)	María Claudia Diazgranados	Coordinator Program Development	f
CI - Colombia	Felipe Cabrales	Director Finances	m
Calidris	Patricia Falk	Coordinator Iscuande	f
NGO Esfuerzo Pescador	Jose Kennedy Castillo	President	m
FUVIPIA - Iscuande	María de Jesús Paz Quiñones	Mangaña	f
CI Colombia	Erwin Palacios	Field Coordinator Amaz	m
CI - Peru	Braulio Andrade	Coordinator Project	m
CI Peru	Carlos Bustamante:	CA Coordinador	m
Health Center Los Naranjos (for Alto Mayo Guasta y Vaires communities) Peru	Giovana Rivas	ex Director	f
Armonia Bolivia	Rodrigo Soria	Director	m

Organization	Name	Position	Gender
GIZ Bolivia	Soeren Rued	Project Manager	m
Fundación Natura Bolivia	Nigel Asquit	Director	m
Moro Moro Municipality-Boivia -Water Fund	Agustín Robles	President	m
Pasaropa Municipality - Bolivia	Ismael Rios Castro	Mayor	m
Pasaropa Municipality - Bolivia	Roman Pereira	beneficiary	m
TNC - Ecuador	Galo Medina	Coordinator	m
Greenlane Consultores	Jorge Leiva	MTR consultant	m
Welthungerhilfe India	Philippe Dresrüsse	Country manager	m

ANNEX III. KEY DOCUMENTS CONSULTED

Project planning and reporting document

- Conservation Agreements Private Partnership Platform (CAPPP). Project Document and twelve annexes
- Conservation Agreements Private Partnership Platform (CAPPP). PIF
- Conservation Agreements Private Partnership Platform (CAPPP) Amendment No. 1 Between Environmental Programme Ecosystems Division (UNEP) and Conservation International Foundation
- Conservation Agreements Private Partnership Platform (CAPPP) Amendment No. 2 Between Environmental Programme Ecosystems Division (UNEP) and Conservation International Foundation
- Conservation International Extension Request 2019, June 28th
- Conservation International Extension Request 2017, March 21st
- https://www.thegef.org/content/earth-fund

Project outputs – Overall

- CAPPP. Final Report Sept 2014 to June 2020. Appendix 12.
- UNEP PoW 2018-19, Sub-programme 3 on healthy and productive ecosystems.
- GEF Biodiversity Strategy - Focal Area
- Template Tracking Tool
- UNEP CAPPP Financial Report
- PIRS 2015 to 2020
- Half year July-December reports (2016, 2017,2018, 2019)
- Learning Network Meeting Final Survey
- CI – GEF – UNEP (2020) Can Conservation Agreements Catalyze Private Sector Support for Community-Led Conservation? Lessons learned and recommendations for replication.
- Template List of Stakeholders interviewed during the MTE
- CI. Conservation Agreements. Empowering people to choose nature (no year included).
- Conservation Stewards Program Conservation International. Conservation Agreement Private Partnership Platform. Operation Manual. Jan 2015.

Previous evaluations

- Mid-Term Review of UN Environment / GEF project "Conservation Agreements Private Partnership Platform" (CAPPP) Jorge Leiva Valenzuela. April 2019

Colombia - Project outputs

- CSP – CI Colombia. Sept 16, 2015 Internal Grant Agreement for Conservation Agreement Private Partnership Platform (CAPP).
- CAPPP – CSP. Call for proposals for site-based initiatives
- CAPPP PROPOSAL. CI Colombia. 2015
- CA CI Colombia- Camaritagua. (March 2016 – Feb 2017)
- CA CI Colombia- Curare Los Ingleses – Amazonia. (April 2016 – March 2017
- CA CI Colombia – Madroño Amazonian. (April 2016 – May 2017)
- CA CI Colombia- Puerto Ñumi (May 2016 – April 2017)
- CA Consejo Comunitario Esfuerzo Pescador – CALIDRIS. Renovación acuerdo de conservación para la protección de la piangua en el consejo comunitario esfuerzo pescador, santa bárbara de iscuandé, Nariño, Colombia. (Junio 2016 – May 2017)
- CA CI Colombia Acuerdo de Conservación para la protección de las poblaciones de tortugas marinas en el sector de Bahia Hondita, Municipio de Uribia, Alta Guajira Colombia. Temporada 2016. April 2016.
- Colombia Documents sent by ex-CI Coordinator of Conservation for Development Program (some documents are not by CAPPP)
- Conservation for Development Program. 2018 -2022 Strategy
- Rodríguez, C,A, Maldonado JH, Moreno RP (2017) Propuesta metodológica para el desarrollo de los monitoreos socioeconómicos de los Acuerdos de Conservación implementados por CI-Colombia.
- Rodríguez, C,A, Maldonado JH, Moreno RP (2018) Protocolo para el desarrollo del monitoreo socioeconómico de los Acuerdos de Conservación implementados por CI-Colombia.

- Biological Monitoring Arawana. Table Excel (2010 to 2015)
- Biological Monitoring Piangua Table Excel (2015 – 2017)
- Biological Monitoring Marine Turtles Table Excel (2010 – 2016)
- Summary Biological Monitoring 2010 to 2017 (Iscuande 2015- 2016-2017)

Colombia Reference documents of previous experiences

- Mora M (2014). CSP Sistematización de la experiencia del Programa Guardianes de la Conservación-Amazonía – Colombia.
- CI Colombia – USAID. 2015. Entendiendo la incidencia de los incentivos para la conservación en la protección y manejo del territorio de los resguardos indígenas y veredas en el bajo río Caquetá y Apaporis, Amazonia Colombiana. (MSE CI Colombia)

Guatemala

- CI – WCS. GRANT AGREEMENT Number: 6000272. Conservation Agreements in the Maya Biosphere Reserve, Petén, Guatemala. Grant - between Conservation International Foundation ('CI') and Wildlife Conservation Society
- Propuesta del Proyecto Conservation Agreements in the Maya Biosphere Reserve, Petén, Guatemala Jan 2015 – December 2017.

Factibility Studies

- Estudio de Factibilidad Paso Caballos. Enero 2015. Análisis de Factibilidad para la implementación de un Acuerdo de Conservación. Aldea Paso Caballos, San Andrés, Petén Parque Nacional Laguna del Tigre, Reserva de la Biosfera Maya Guatemala (ACTUALIZACION)
- Estudio de Factibilidad Uaxactu. Enero 2015. WCS Programa Guatemala Análisis de Factibilidad para la implementación de un Acuerdo de Conservación Uaxactún, Zona de Usos Múltiples, Reserva de Biósfera Maya Petén Guatemala. (ACTUALIZACION).
- Estudio de Factibilidad Corozal Bioitza. Oct 2014. Werner Paz (ProPetén) y Miriam Castillo (WCS)Análisis de factibilidad para la implementación de un Acuerdo de Conservación entre Caserío El Corozal, San José, Petén, Reserva Biotopo San Miguel La Palotada –El Zotz- y Reserva Comunitaria Indígena Bioltzá. Reserva de la Biosfera Maya, Petén Guatemala.. WCS, Darwin Initiative, DEFRA (Department for Environment, Food and Rural Affairs), ProPetén, CONAP.

Conservation Agreements

- Acuerdo de Cooperación entre CONAP – Asociación Biotza, Comunidad de Corozal, Fundación ProPetén, WCS y Facultad de Ciencias Químicas y Farmacia de la Universidad de San Carlos de Guatemala. Para la Implementación del AC en la Reserva Bioitza-Biotopo San Miguel La Paotada – El Zotz y la Comunidad Corozal, dentro de la Reserva de Biosfera Maya, Petén, Guatemala. (Enero 2015 – Marzo 2016).
- Acuerdo de Cooperación entre CONAP – Consejo Comunitario de Desarrollo y Alcaldía Auxiliar comunitaria de la Comunidad de Paso Caballos, la Municipalidad de San Andrés y WCS. Para la Implementación del Programa de Custodios de Conservación (AC) en la UMC Paso Caballos y su entorno. (Ag 2013 – May 2015)
- Convenio de Cooperación entre CONAP – la Sociedad Civil OMCY, el Consejo Comunitario de Desarrollo y WCS. (Jul 2014 – Jul 2016)

Monitoring & Final Informs

- Fundación ProPeten Abril 2015. Línea Base de Monitoreo Socioeconómico para el Acuerdo de Conservación (AC) en el Bloque Corozal – Bioitza - Zotz. Comunidad Bioitza
- Fundación ProPeten Abril 2015. Línea Base de Monitoreo Socioeconómico para el Acuerdo de Conservación (AC) en el Bloque Corozal – Bioitza - Zotz.. Fundación ProPeten. Comunidad Corozal.
- Informe sobre el conocimiento del Acuerdo de Conservación (AC) en el bloque corozal-bioitza-zotz. Caserío el corozal, San José, Petén 2015
- Informe sobre el conocimiento del Acuerdo de Conservación (AC) en el bloque corozal-bioitza-zotz. Caserío el corozal, San José, Petén 2015
- Project Performance Report June-August 2018 (FINAL REPORT) Excell template.
- Rodríguez A. y Chacón R. (Feb 2016) Evaluación del Impacto Socio- Económico del Acuerdo de Conservación (AC) en la comunidad de Paso Caballos, San Andrés, Petén. WCS, DI, DEFRA..
- Informe Final Prevención y Control de Incendios Forestales Quemas Agrícolas Temporada 2017 Aldea Paso Caballos, San Andrés, Petén. Parque Nacional Laguna del Tigre, Reserva de la Biosfera Maya.

- Informe Final Prevención y Control de Incendios Forestales Quemas Agrícola Temporada 2018 Aldea Paso Caballos, San Andrés, Petén. Parque Nacional Laguna del Tigre, Reserva de la Biosfera Maya.

Other Evaluations and Compilations (NO CAPPP)

- Ministerio de Ambiente de Guatemala. Sept 2017. Anexo 3. Diagnóstico y Plan de Manejo Forestal integral de la UMC Uaxactún
- CONAP. Anexo 4 Reglamento Agroforestal de Uaxactún.
- OMYC. Anexo 5. Plan para la prevención y control de incendios forestales. Unidad de Manejo Forestal Uaxactún. Zonas de usos múltiples de la Reserva de Biosfera Maya. Periodo 2017 -2018. Apoyos WCS, CONAP, BALAM, CI, RA, Gobernación Departamental y Municipalidad de Flores.
- OMYC. Anexo 6 Informe Prevención y control de incendios forestales. Unidad de Manejo Forestal Uaxactún. Zonas de usos múltiples de la Reserva de Biosfera Maya. Periodo 2017 -2018. Apoyos WCS, CONAP, BALAM, CI, RA, Gobernación Departamental y Municipalidad de Flores.
- CONAP y WCS, (2018) Monitoreo de la Gobernabilidad en la Reserva de la Biosfera Maya, actualización al año 2017. Apoyo financiero USAID, USDOI / ITAP, Con colaboración de Asociación BALAM, Foro de la Justicia.
- OMYC. UMC Uaxactún Informe técnico Anual 2018 elaborado por OMYC presentado a CONAP, WCS, CI. (periodo de reporte Sept 2017 a Agosto 2018).
- Rodríguez América (WCS), Castillo Miriam (WCS), CONAP, WCS. CI. (Sept 2018). Informe Técnico Final. Tercera fase acuerdo de conservación/ Septiembre 2016 a Agosto 2018. CONAP /PASO CABALLOS /WCS /CONSERVATION INTERNATIONAL. Testigos de honor: Asociación BALAM/AFISAP. (Fondos que apoyaron la tercera fase del Acuerdo de Conservación: Conservation International (CI) Asociación Balam. CAFTA-DR y fondos privados de la Familia Orozco)
- Roan Balas McNab, Miriam Castillo/ Abril 2017 Estrategia de escalamiento para acuerdos de conservación en Guatemala. WCS - Guatemala.
- CONAP, WCS Julio 2018. Evaluación de desempeño mediante sensores remotos 2016 y 2017. Acuerdo de conservación en la comunidad de Paso Caballos, Reserva de Biosfera Maya, Petén, Guatemala. Financiado por Conservación Internacional, USAID y Departamento del Interior de los EUA
- CONAP, WCS Julio 2018. Evaluación de desempeño mediante sensores remotos 2016 y 2017. Acuerdo de conservación en la comunidad de Uaxactún, Reserva de Biosfera Maya, Petén, Guatemala. CI, USAID, CNCG, Departamento del Interior de los EUA.
- CONAP, WCS, Oberbrook Foundation. Septiembre 2018. Evaluación de desempeño preliminar mediante sensores remotos 2018, Acuerdo de Conservación en la comunidad de San Miguel, Reserva de Biosfera Maya, Petén, Guatemala.
- CONAP – WCS. 2018 MOU – Carta de Entendimiento para la Implementación del Proyecto Conservación de la Biodiversidad en el Sur Este del Parque Nacional Laguna del Tigre (PNLT) de la Reserva de la Biosfera Maya (Convenio original Marco Diciembre 2011. Actualizado Mayo 2017. Presente Carta de entendimiento es para implementación especifica de proyecto en Paso Caballos)

Peru

- CI-Perú 2014. Plan de Vida comunidad nativa Sahmpuyacu – 2015-2020
- Call for Proposals (2015-04-01)
- 17 Marzo 2015 Convenio Marco de Cooperación interinstitucional entre la Federación Regional Indigena Awajun del Alto Mayo (FERIAAM) y CI-Peru
- Propuesta CI-Perú: Strengthening governance and capacities of Awajun indigenous communities to develop partnerships for sustainable product sourcing in the Alto Mayo basin. (April-2015 – Feb 2018)
- Internal Grant Agreement for conservation international programs. CONSERVATION AGREEMENT PRIVATE PARTNERSHIP PLATFORM (CAPPP). CSP – CI Peru (2015 April 1, to February 28, 2018)

Feasibility Studies

- CI – Perú 2011 Alto Mayo Conservation Initiative. Sustainability Strategy. Conservation Agreements in the Alto Mayo Protected Forest (Management Sustainability)
- CI – Perú 2011 Conservation Agreement Financing Plan Alto Mayo Protected Forest Conservation Initiative. San Martin – Peru (Financial Sustainability)
- Ecoyungas 2014. Análisis de Factibilidad de los Acuerdos de Conservación (AC) - comunidad nativa de SHAMPUYACU. Iniciativa de conservación en la zona de amortiguamiento del BPAM.
- CI – Perú Marzo 2016. Fase de Análisis de Factibilidad para la implementación de Acuerdos de Conservación (AC) en la comunidad nativa de alto mayo – anexo Huasta

Acuerdos de Conservación

- (2017 May 5 – Abr 2018). Acuerdo de Conservación Comunal entre la Comunidad Nativa Alto Mayo y Conservación Internacional Perú
- (2017 Sep 14 – Ag 2018). Acuerdo de Conservación Comunal entre la Comunidad Nativa Shampuyacu y Conservación Internacional Perú

Final Informs

- CI Peru 2019. Reporte Final para CSP (consolidado a Diciembre 2018)
- Café Vendido (2015 – 2019) Excell template.
- Annex 1. Mapa pérdida de Bosque Primario. Indice de deforestación
- Annex 2 Excell template a Dic 2018. Lista de beneficiarios y áreas plantadas (café, cacao, plátano, pijuayo)
- Annex 3 Horas de participación en mingas 2015- 2018
- Annex 5 Reporte cacao (plantas e injertadas)
- Annex 6 Lista de personas participantes café
- Annex 17. Variedades de yuca sembradas en 2018

Bolivia

Project Document and Conservation Agreements

- Fundación Natura Bolivia. CONSERVATION AGREEMENTS FEASIBILITY ANALYSIS. Jan 2017
- Fundación Natura Bolivia. CAPPP Proposal Annex 1: PROPOSAL FORM. Building a conservation corridor and sustainable development between Bolivia's Amboró and Iñao National Parks through biodiversity and water conservation agreements
- GRANT AGREEMENT. Project Title: Building a conservation and sustainable development corridor between Bolivia's Amboró and Iñao National Parks through biodiversity and water conservation agreements. Grant Number: 6002994. (01 January, 2017 - 31 December, 2019) 3 years
- Lessons Learned from CAPPP prepared by Nigel Asquith, Fundación Natura Bolivia
- CSP. 06/16/2020. Technical Report of the project Building a conservation and sustainable development corridor between Bolivia's Amboró and Iñao National Parks through biodiversity and water conservation agreements. Periodo Proyecto 01/01/2017 to 04/30/2020
- Fundación Natura. REPORTE DE IMPACTO 2020. Acuerdos de Conservation en Bolivia. Building a conservation and sustainable development corridor between Bolivia's Amboroand Iñao National Parks through biodiversity and water conservation agreements. Brochure
- Fundación Natura Bolivia. Workplan CAPPP.

Acuerdos de Conservación Examples

- AC Tayasurenda. (Diciembre 2019) FN, Capitania de Alto Isoso (CAI), Gobierno de AI (GAIC), Comunidad Tayasurenda (Proteccion Guanaco 9.696 ha).
- Acuerdo para la Conservación de bosques y Agua. Municipio de Moro Moro, FN y Aquiles Cruz propietario del predio "La Higuera". 24 Noviembre 2017. Ejemplo de CA individual por tres años.

Monitoring Base Line

- Base de datos monitoreo Áreas Reservas Agua (ARA). WA 2011 – 2017 – monitoreos 2012 – 2018. Excell template
- Tabla. Tomas calidad de Agua 2015
- Tabla información características households
- Template CSP CAPPP Key Performance Indicator Tracking (KPI) Conservation Agreement Name: Samaipata Water Fund and Agreements Fundación Natura. Year Established: 2009 Baseline 2015 a 2019 Region: Samaipata Municipality. Valles Interandinos (Santa Cruz Department). Country: Bolivia.
- FN (Marzo 2018). Resultados acumulados en ha por Municipio. Inversión directa en dólares.
- FN (Abril 2019). Resultados acumulados 2017 – 2018 en ha por Municipio. Inversión directa en dólares.

General

- Authelet, M. J. Subervie, P. Meyfroidt, N. M. Asquith and D. Ezzine de Blas. 2021. Economic, pro-social and pro-environmental factors influencing participation in an incentive-based conservation program in Bolivia. *World Development*
- Bauchet, J., N.M Asquith, Z. Ma, C.Radel, R. Godoy, L. Zanotti, D. Steele, B.M. Gramigg, A.E. Chong 2020. The practice of Payments for Ecosystem Services (PES) in the Tropical Andes: Evidence from program administrators. *Ecosystem Services*
- Asquith, N.M. 2020. Large-Scale Randomized Control Trials of Incentive-Based Conservation: What Have We Learned? *World Development*

- Wiik, E., J.P.G. Jones, N.M. Asquith, P. Bottazzi, J.M. Gibbons, A. Kontoleon & E.L. Pynegar. 2020. Exploring mechanisms and impacts of an incentive-based conservation program with evidence from a Randomized Control Trial. *Conservation Biology*
- Bottazzi, P., E. Wiik, D. Crespo, & J.P.G Jones 2018. Payment for environmental 'self-service': exploring the links between farmers' motivation and additionality in a conservation incentive programme in the Bolivian Andes. *Ecological Economics*
- Grillos, T., P. Bottazzi, D. Crespo, N.M. Asquith, & J.P.G. Jones. 2019. In-kind conservation payments crowd in environmental values and increase support for government intervention: A randomized trial in Bolivia. *Ecological Economics*
- Pynegar, E.L., J.M. Gibbons, N.M. Asquith & J.P.G. Jones. 2019. What role should randomized control trials play in providing the evidence base for conservation? Oryx
- Wiik, E., R. D'Annunzio, E.L. Pynegar, D. Crespo, N.M. Asquith & J.P.G. Jones. 2019. Experimental evaluation of the impact of a payment for environmental services program on deforestation. *Conservation Science and Practice*
- Pynegar, E.L., J.P.G. Jones, J.M., Gibbons & N.M. Asquith. 2018. The effectiveness of payments for ecosystem services at delivering improvements in water quality: lessons for experiments at the landscape scale. PeerJ
- Abell, R., N.M. Asquith, et al. 2017. Santa Cruz Valleys, Bolivia: promoting health through Water Funds in: Beyond the Source: The Environmental, Economic and Community Benefits of Source Water Protection. The Nature Conservancy, Arlington, VA, USA.
- Grillos, T. 2016. Economic vs. Non-Material Incentives for Participation in an In-Kind Payment for Ecosystem Services Program in Bolivia. *Ecological Economics*
- Asquith N.M. 2011. Reciprocal Agreements for Water: An Environmental Management Revolution in the Santa Cruz Valleys. Harvard Review of Latin America
- Vargas, M.T, M. Forno, S. Secomb & J. Torrico. 2010. Compensation for Hydrological Services in Bolivia: the Comarapa Municipal Water Fund. *Mountain Forum Bulletin*

Cambodia

Darwin Initiative: Final Report (2019) Conservation Agreement for Tatey Leu community

IBIS Organic Rice Contract

2016-05-12 socio economic data_final

A Feasibility Assessment Of Conservation Agreements Prey Lang, Cambodia A Report to Mitsui Corp. 14th , 2016

Conservation Stewardship Programme. Feasibility Assessment CA+ Model- Cambodia 2016

Monitoring and Evaluation matrix Cardamom_12122018

KPI_CCMNP_10012019

KPI_Prey Lang_10012019

CONSERVATION AGREEMENT PRIVATE PARTNERSHIP PLATFORM (CAPPP) INTERNAL GRANT AGREEMENT FOR CONSERVATION INTERNATIONAL PROGRAMS 2017

Theory of Change – Central Cardamom Mountain National Park (CCMNP)

Theory of Change – Prey Lang

Prey Lang post team review

Cardamoms post team review

Integrated Species, Livelihoods and Cultural Value Project – Endline Data Report
July 2019

Darwin Initiative: Final Report2019

Technical Final Report to Conservation International's Conservation Stewards Program
CSP Mission: Empowering people to choose nature2019

Report Project Title: Integrated Multi-Scale Conservation (IMaC): A CA + Project- CCMNP and PLWS.
Organisation: Conservation International, Cambodia
Application Code: 1001183 Month/ Year: March 2018

Project Performance Monitoring Report Project Title: Integrated Multi-scale Conservation (IMaC): A CA + Project-CCMNP and PLWS. Organisation: Conservation International, Cambodia Application Code: 1001183 Month/ Year: 1st January 2017 – May 31st 2017

Report Project Title: Integrated Multi-scale Conservation (IMaC): A CA + Project- CCMNP and PLWS.
Organisation: Conservation International, Cambodia
Application Code: 1001183 Month/ Year: 1st June 2017 – 31st August 2017

Report Project Title: Integrated Multi-Scale Conservation (IMaC): A CA + Project- CCMNP and PLWS.
Organisation: Conservation International, Cambodia
Application Code: 1001183 Month/ Year: 1st September 2017 – 30th November 2017

Report Project Title: Integrated Multi-Scale Conservation (IMaC): A CA + Project- CCMNP and PLWS.
Organisation: Conservation International, Cambodia Application Code: 1001183 Month/ Year: March 2018

ANNEX VII Project Performance Monitoring Report2018

ANNEX VII Project Performance Monitoring Report2018

ANNEX VII Project Performance Monitoring Report 2018

Proposed tour itinerary for ecotourism development “Siem Bok Community- based Ecotourism, Prey Lang Wildlife Sanctuary, Stung Treng Province.2019

Cambodia CAPPP Template-report 9 (Dec18-Feb 2019)

ANNEX VII Project Performance Monitoring Report2019

Report On Deforestation in Prey Lang Wildlife Sanctuary ,Stung Treng Province March 2018 – April 2019

Deforestation report from March 2018-April 2019

Final Report SMP with CI 15.03.19

Landscap_deforestation

Cambodia CAPPP Template-report 10 Mar-May 2019_v1

Cambodia Project Performance Monitoring Report - March-May'19

CSP KPIs_March-May'19

ANNEX VII Project Performance Monitoring Report2019

KPIs_CSP Oct 2019_fh

Cambodia CAPPP-report_Sept-Nov 2019_v1

Cambodia Project Performance Monitoring Report - Revised Q4 Y3
2019

Key Performance Indicators (KPIs) – Central Cardamom Mountain National Park

KPI_Prey Lang_10012019

Monitoring and Evaluation matrix Cardamom_12122018

CONSERVATION AGREEMENT PRIVATE PARTNERSHIP PLATFORM (CAPPP) INTERNAL GRANT AGREEMENTFOR CONSERVATION INTERNATIONAL PROGRAMS 2017

China

China_Guanba agreement_Signed

Conservation Agreement of Community Collective Forest of Liziba Administrative Village of Bikou of Wen County of Gansu Province

Community Collective Forest Management Project Agreement of Xiong'er Village
of Li County of Aba Minority Autonomous Prefecture of Tibetan and Qiang June of 2014-May of 2015

Xionger Village Collective Forest Project Constructive Analysis Report

THE 2014 BACKGROUND SURVEY REPORT OF GUANBA VILLAGE

Xionger Village Collective Forest Project Constructive Analysis Report

Conservation Steward Program for Southwest Mountains2017

CI-Shanshui CAPPP agreement

CAPPP question response

3+Year+Financial+Reporting+Shanshui20170930

Introductions to Guanba Watershed Community-based Protected Area

6000382 Closeout Letter2018

Guanba honey, Sichuan, China

Human-animal conflict project sites, Sichuan, China

Liziba tea, Gansu, China

Xiong’er honey and Tibetan sweet pig, Sichuan, China

Shanshui - Work plan + Reporting TemplateQ1,Q2

Shanshui - Work plan + Reporting TemplateQ3,Q4

Shanshui - Work plan + Reporting TemplateQ5

Shanshui - Work plan + Reporting TemplateQ6

Shanshui - Work plan + Reporting TemplateQ7

Shanshui - Work plan + Reporting TemplateQ8,Q9

Shanshui - Work plan + Reporting TemplateQ10

Ethiopia

Biodiversity Conservation Agreement (1)2017

Final Financial Report - July 2019

TERMINAL REPORT OF THE ‘PRIVATE SECTOR PARTICIPATION IN BIODIVERSITY CONSERVATION OF THE BALE ECO-REGION’ PROJECT2019

Project Financial Audit Report

PRIVATE SECTOR PARTNERSHIP IN BIODIVERSITY CONSERVATION OF THE BALE ECO- REGION IN OROMIA REGINAL STATE2018

Private sector partnership in Biodiversity conservation of the Bale eco-region in Oromia Reginal State at Bale zone, Delo mena and Harana Buluk Districts2017

TERMINAL EVALUATION OF THE 'PRIVATE SECTOR PARTICIPATION IN BIODIVERSITY CONSERVATION OF THE BALE ECO-REGION' PROJECT 2019

Private Sector Participation in Biodiversity Conservation of the Bale Eco-region 2017

Monitoring plan (1)

Organizational Capacity Assessment - Baseline report2017

6002669_CLOSEOUT_LETTER (1)2020

Private Sector Participation in Biodiversity Conservation of the Bale-Ecoregion

CAPPP Proposal Annex 1: PROPOSAL FORM

Farm Africa CAPPP agreement_signed (2)

April 2018 Financial Proposal

Private sector partnership in Biodiversity conservation of the Bale eco-region in Oromia Reginal State at Bale zone, Delo mena and Harana Buluk Districts2017

A Quick Guideline for Community-Based Monitoring

Project Performance Monitoring Report2018

MARKETING BALE'S WILD COFFEE 2017 - 2019 | BALE ECO-REGION, ETHIOPIA

Farm Africa- CI FINANCIAL REPORT (December 2018 to February 2019)-Final-Rev (2)

Dec 2017 Technical Report

Nov 2017 Finance report (1)

Project Performance Monitoring Report2017

Nov 2017 Finance report (1)

Project Performance Monitoring Report 2018

FINANCIAL REPORT Dec 2018 (3)

Financial Report July 2018

Project Performance Monitoring Report 2018

CI Interim FINANCIAL REPORT March - May.31 2019 final updated 13.08.2019 (1)

Project Performance Monitoring Report 2019

Project Performance Monitoring Report 2018

Farm Africa- CI FINANCIAL REPORT (JUNE- AUGUST 2018) Final (12)

India

cappp-factsheet_india

Project Title: People and Parks – Conservation in local innovative ways Grant Number: 6003639_Financial Report_Nov 2019-Dec 2019_Revised_24.03.2020

Technical Report to Conservation International's Conservation Stewards Program
CSP Mission: Empowering people to choose nature2019

Feasibility Analysis Report For Conservation Agreements at the Sathyamangalam Tiger Reserve, South India2017

Conservation Agreement Private Partnership Platform Call for proposals for site-based initiatives Feasibility Analysis Annexes

Barefoot Ecologist Monitoring Protocol_Data_Sheet_Tamil

Barefoot Ecologist Monitoring Protocol

A suggested protocol for community-based ecological monitoring (CBEM)2015 Period: Quarterly 1

Table showing the activities and the members that would comprise the monitoring, training and Evaluation Team as discussed with the communities

6003639_Conservation Agreement_Draft

6003639_Conservation Agreement_Tamil_Draft

Baseline Survey

GLOSSARY

Non Timber Forest Products – Protocols for Harvest and Monitoring

REGISTRY OF THE PROCUREMENT FOR NTFP

PROTOCOLS for HARVEST Fruit_Flower_Buds

PROTOCOLS for HARVEST General

PROTOCOLS for HARVEST Gums and Resins

PROTOCOLS for HARVEST Honey

PROTOCOLS for HARVEST Leaf

PGS organic certification systems India -It is an organic group certification system.

PGS OC India National level

PGS Manual - Version 2.0

Participatory Guarantee Systems (PGS)

WATER INVENTORY AND MONITORING PROTOCOL

Non Timber Forest Products – Protocols for Harvest and Monitoring

Monitoring Matrix_STR CA_Final

Theory of Change

Project Performance Monitoring Report 6003639_Q4_May- July 2018_Financial Report (2)

2016-11-28 Participant list short (1)

Project Performance Monitoring Report 2016

6003639 Q6_Feb 2019 to Apr 2019_Financial Report

Project Performance Monitoring Report 12017

6003639_ToC_Matrix_STR_V6 _AV edits_India

Annexure 1 - Table of Apis dorsata monitoring_edited

Project Performance Monitoring Report 2018

Keystone May 31 Fin Report - at review

6003639_Financial Report Q7_May-Jul19

Project Performance Monitoring Report2019

6003639_ToC_Matrix_STR_Q7_May-Jul19

6003639_ToC_Matrix_STR_Q7_May-Jul19 - Editable

Results of the monitoring of Apis dorsata colonies in Dhimbham villages

Soil Invertebrate Diversity in two farms of Kaalidhimbam Village

Project Performance Monitoring Report2018

6003639_Q4_Aug- Oct 2018_Financial Report (2)

Theory of change Matrix for STR Conservation Agreement

South Africa

The_working_for_water_programme_Evolution_of_a_payment for Ecosystem Services Project

Ahitiriheleni Cooperative (Dixie) Revised Conservation Agreement 2019 MG (2)

Mogapeng CA Final MG 04-09-2019

Nhlanganani Cooperative (Utah) Revised Conservation Agreement 2019 MG

Welverdiend B Coop CA Final MG

Final CAPPP report_CSA (1)

Monitoring and Evaluation matrix Final

PMF 1001320 Financial Report Y3Q2 Final Report 09.06.2020 (1)

Gantt Work planner CSP Sep Final 2017 (1)

K2C CSP Monitoring Methodology 30_03_2018 (1)

Project Monitoring Framework Conservation Stewards Programme CSA | 2 July 2018

Monitoring and Evaluation matrix Final

10001320_CLOSEOUT_LETTER

Conservation Agreement Private Partnership Platform Call for proposals for site-based initiatives 30 June 2017

Conservation Stewards Programme Feasibility Assessment 12 May 2017

Grant Contract PMF 1001320 Financial Report Y1Q3 (May18-Jul18) Donor Submission 26.09.2018 (2)

ANNEX VII Project Performance Monitoring Report2017
ANNEX VII Project Performance Monitoring Report2018
ANNEX VII Project Performance Monitoring Report2019
ANNEX VII Project Performance Monitoring Report2020

PMF 1001320 Financial Report Y2Q3 (May19-Jul19) Donor Submission 06.09.2019 (3) Q1 Financial Report

PMF 1001320 Financial Report Y2Q1 (Nov18-Jan19) Donor Submission 28.02.2019

PMF 1001320 Financial Report Y3Q1 (Nov19-Jan20) Donor Submission 04.03.2020 (Final)

PMF 1001320 Financial Report Y1Q2 (Feb18-Apr18) Donor Submission 31.05.2018 (2)

PMF 1001320 Financial Report Y2Q2 (Feb19-Apr19) Donor Submission 31.05.2019

PMF 1001320 Financial Report Y2Q4 (Aug19-Oct19) Donor Submission 24.10.2019 (1)

Project Performance Monitoring Report2019

Muller H, Hawkins H, Scorgie S- Feasibility study - Steinkopf2013

Gully erosion baseline

Socio Economic Survey report 2015 Leliefontein results

Muller H, Hawkins H, Scorgie Veld Condition Assessment Final report

A COMPARISON OF DEGRADED AND INTACT WETLAND IN THE KAMIESBERG UPLANDS IN TERMS OF HYDROLOGY AND VEGETATION 2015

THE MEAT NATURALLY INITIATIVE Stewardship Agreement

MEAT NATURALLY INITIATIVE PROMOTION OF SUSTAINABLE FARMING IN NAMAQUALAND

Meat Naturally Initiative, Namaqualand: A stewardship approach to support landscapes and livelihoods in the Succulent Karoo Hotspot2017

20201117_Post CSP Survey Report_updated

EVIDENCE-BASED POLICY AND DECISION MAKING FOR CONSERVATION AGREEMENT PROJECTS AS AN ECOSYSTEM - BASED ADAPTATION (EBA)
2021

Final Financial Report

Social and Env Indicators_Namaqualand

Meat Naturally Initiative, Namaqualand: A stewardship approach to support landscapes and livelihoods in the Succulent Karoo Hotspot2019

Conservation Agreement Private Partnership Platform Call for proposals for site-based initiatives DEA Letter of Recommendation.Khusel'indalo.2015

Grant Contract Namaqualand

CSA - Workplan Y1 Q1_Final_0630

Conservation Agreements Management Sustainability Strategy

Conservation Agreement Financing Plan Outline

CAPPP Earth Fund Y1Q2 CSA Reporting

2015.12.31_CSA_EarthFund_Report_Y1_Q3

CSA - Workplan Y1 Q3 final submission

2015-09-11 work plan Amos

2016.03.03_CSA_EarthFund_Report_Y1_Q4

CAPPP SA Report

Y1Q4 summary report - Amos input

2016.05.31_CSA_EarthFund_Report_Y2_Q1

2016.08.31_CSA_EarthFund_Report_Y2_Q2

BRC Training Register

2016.12.22_CSA_EarthFund_Report_Y2_Q4 The Meat Naturally Initiative

ANNEX IV. BRIEF CV OF THE EVALUATORS

Name Dr. Ines Freier

Profession	Independent consultant for project design and evaluation in the field of environment, biodiversity and climate change adaptation
Nationality	Germany
Country experience	• Europe: Germany, Georgia, Estonia, Poland, Czech Republic • Africa: South Africa, Mozambique, Tanzania, Uganda, Ethiopia, Zambia • Americas: Argentina, Bolivia, Costa Rica, Chile, Ecuador, Nicaragua, Panamá, Paraguay, Caribbean • Asia: India, Nepal, Bangladesh, Kazakhstan, Kyrgyzstan, Uzbekistan
Education	• PhD (Dr Phil) Environmental policy Vechta University Germany, Postgraduate Studies at German Development Institute Development Studies, Diplom (equivalent to Master) Latin American Studies / Development Economics and Policy

Short biography

Ms. Ines Freier is an independent consultant for NRM and biodiversity protection. Her strengths are strategic leadership and foresight. She works on interfaces between different topics and Agencies.

Since finishing a PhD in environmental policy, she has acquired a broad knowledge about environmental policy and management. She has more than 15 years of experience in desk studies, project design and evaluation as a consultant to UNEP, GIZ, German Ministries and Federal Agencies and the EU Commission.

Key specialties and capabilities cover:

- MSME promotion in the field of environment and biodiversity,
- Value chain development and sustainability standards, incentives for ecosystem services,
- Community based ecosystem management,
- Multi-level approaches for NRM

Selected assignments and experiences:

- **team member of the evaluation of private sector engagement in GEF projects conducted by GEF-IEO,**
- **Yearly evaluation report of German NGO MISEREOR synthesizing 37 project evaluation reports,**

Independent evaluations:

- Terminal Evaluation of GIZ projects (12.25 -38.6 Mio EUR) in the field of NRM and biodiversity protection

Name Clemencia Vela

Profession	International Independent Consultant for Design, Implementation and Evaluation for SDG, Sustainable Development, Biodiversity, CC (mitigation and adaptation), International Waters, POPs.
Nationality	Ecuador
Country experience	• Latin America: Mexico, Guatemala, Honduras, Nicaragua, Costa Rica, El Salvador, Panama, Venezuela, Colombia, Ecuador, Peru, Chile, Argentina • Caribbean: Cuba, Dominican Republic, Belize, St. Lucia • USA; • Europe: UK, Sweden • Europe Africa and Asia Short field visits: Denmark, Spain, China, Thailand, Kenya, Kazakhstan, Kyrgyzstan, Russia.
Education	• MSc Ecology Aberdeen University • Biology PUCE -Ecuador and University of Chile, Chile

Short biography
MS, Clemencia Vela has an educational background in Environmental Sciences and Ecology and more than 30 years of experience in planning, implementation and evaluation of environmental projects. About 20 of those years have been as an international independent evaluator for different Agencies such as GEF, AF, GCF, UNEP, UNDP, FAO, WB, IADB, CAF, in most countries of Latin America and the Caribbean.

She has been involved in different roles as both an evaluator leader and team member for different types of evaluations; individual national, regional and global evaluations projects, thematic evaluations, and country portfolio evaluations. She has applied multiple mixed-method analyses as well as results of evaluation impacts applying the theory of change methodology. This has been applied for both individual short-term projects, as well as for long term interventions implemented through a chain of projects along decades and reconstruction of TOC on projects finalized many years earlier. Environmental subjects evaluated involve climate change mitigation, adaptation and resilience, as well as early warning/ risk reduction caused by CC; biodiversity conservation under different approaches (specific objects of conservation, protected areas, as well as Ecosystem – based adaptation and landscape approaches); international waters and integrated management waters, and pollutants (Stockholm and Minamata Conventions as well as oil pollution). She has also carried out evaluations on prevention and post natural disaster evaluations. Her evaluations have included technical aspects as well as institutional and legal framework, implementation and financial arrangements, social and economic issues, as well as gender and human rights.

Key specialties and capabilities:

- Specialist in Ecology and Environmental Sciences, including sustainable management, protection, mitigation, adaptation, land degradation and drought, forestry, pollution control, infrastructure impacts.
- Legal- Political and Institutional evaluations links with environment management
- Socio-Economic evaluation of communities and their links to environment, including productive systems, value chains, and incentives for its protection
- Community based ecosystem management,
- Multi-level approaches for Results Based Management
- Risk Prevention, Rapid and long-term Response and Management
- Human Rights, National Security and Gender
- Environmental and Evaluation Education
- Evaluation Networks coordination
- Environmental certificates and green seals
- Environmental Impact Assessments and some experience on Environmental Management Systems.

ANNEX V. EVALUATION TORS (WITHOUT ANNEXES)

TERMS OF REFERENCE

Terminal Evaluation of the UNEP/GEF project

"The GEF Earth Fund: Conservation Agreements Private Partnership Platform"

(GEF ID/4259)

Section 1: PROJECT BACKGROUND AND OVERVIEW

1. Project General Information

Table 1. Project summary

GEF Project ID:	4259		
Implementing Agency:	UNEP	**Executing Agency:**	Conservation International
Relevant SDG(s) and indicator(s):	15.1 – 15.1.1, 15.1.2 15.2 – 15.2.1 15.3 – 15.3.1 15.5 – 15.5.1 1.1 – 1.1.1 1.2 – 1.2.1		
GEF Core Indicator Targets (identify these for projects approved prior to GEF-7)	GEF4 BD-SP5		
Sub-programme:	MTS 2014-2017: Ecosystem management MTS 2018-2021: Healthy and productive ecosystems	**Expected Accomplishment(s):**	MTS 2014-2018: EA (a) Production: Increased use is made of the ecosystem approach in countries, with a view to maintaining ecosystem services and the sustainable productivity of terrestrial and aquatic systems. MTS 2018-2021: EA (b) Policymakers in the public and private sectors test the inclusion of the health and productivity of ecosystems in economic decision-making.
UNEP approval date:	30 September 2014	**Programme of Work Output(s):**	PoW 2014-2015: SP3 Ecosystem Management: (a) Use

			of the ecosystem approach in countries to maintain ecosystem services and sustainable productivity of terrestrial and aquatic systems is increased. PoW 2016-2017: SP3 Ecosystem Management: (a) Use of the ecosystem approach in countries to maintain ecosystem services and sustainable productivity of terrestrial and aquatic systems is increased. PoW 2018-19: SP3 Healthy and productive ecosystems: a) The health and productivity of marine, freshwater and terrestrial ecosystems are institutionalized in education, monitoring and cross-sector and transboundary collaboration frameworks at the national and international levels.
GEF approval date:	3 April 2014	**Project type:**	Full-Size Project
GEF Operational Programme #:	SP 1: Promoting Sustainability of Protected Area Networks SP 2: Mainstreaming Biodiversity into Production Landscapes and Sectors	**Focal Area(s):**	Biodiversity
		GEF Strategic Priority:	BD-SP5 Fostering markets for biodiversity goods and services
***Expected* start date:**	30 September 2014	**Actual start date:**	30 September 2014

***Planned* completion date:**	February 2019	**Actual operational completion date:**	30 June 2020	
***Planned* project budget at approval:**	$20,000,000	**Actual total expenditures reported as of 30 June 2020:**	$20,929,616	
GEF grant allocation:	$5,000,000	**GEF grant expenditures reported as of 30 June 2020:**	$4,880,118	
Project Preparation Grant - GEF financing:	N/A	**Project Preparation Grant - co-financing:**	N/A	
***Expected* Full-Size Project co-financing:**	$15,000,000	**Secured Full-Size Project co-financing:**	$16,049,498	
Date of first disbursement:	17 November 2014	**Planned date of financial closure:**	31 December 2020	
No. of formal project revisions:	1	**Date of last approved project revision:**		
No. of Steering Committee meetings:		**Date of last/next Steering Committee meeting:**	Last:	Next:
Mid-term Review/ Evaluation *(planned date):*	2016 [29 March 2017 in MTR]	**Mid-term Review/ Evaluation:**	May 2017	
Terminal Evaluation *(planned date):*	31 December 2020	**Terminal Evaluation (actual date):**	May 2021	
Coverage - Country(ies):	Colombia, Peru, Guatemala, China, South Africa, Ecuador, Kenya, Cambodia, Mozambique, Uganda, Bolivia, Ethiopia, India	**Coverage - Region(s):**	Africa, Asia Pacific, Latin America and Caribbean	
Dates of previous project phases:	N/A	**Status of future project phases:**	N/A	

2. Project Rationale

1. More than one third of the world's population lives in areas that have been identified as critical for biodiversity conservation and that could provide key ecosystem services. Making conservation beneficial to local people would provide an opportunity to promote sound local development and investment strategies that compensate for the service of protecting global biodiversity. The private sector would have an important role in promoting these opportunities that would be financially advantageous and generate social and environmental benefits. For specific industries, there also would be the added value of traceable and transparent supply chains with improved product quality and enhanced marketing value.

2. The Conservation Agreement Private Partnership Platform (CAPPP) project rationale was that greater private sector participation in conservation could be catalyzed with a standardized, yet flexible, approach to structuring mutually beneficial relationships between private sector actors and communities in biodiversity-rich areas.

3. The CAPPP project was steered by Conservation International (CI). CI had through its Conservation Stewards Program (CSP), pioneered the use of conservation agreements to structure relationships between conservation investors and local communities. Conservation Agreements (CAs) offered direct economic benefits to resource users in exchange for commitments to changes in resource-use practices. Thus, CAs were a form of direct incentive for conservation that link conservation funders (governments, bilateral agencies, private sector companies, foundations, individuals, etc.) to resource owners whose decisions influence conservation outcomes. A key feature of CAs was that benefits were conditional on conservation performance, thus requiring effective monitoring.

4. CI had implemented the CA model since 2002 with projects in Africa, Asia, Latin America, and the Pacific. Examples of private sector engagement in this portfolio included corporate social responsibility expenditures, social and environmental offset investments, natural product purchasing relationships, and creation of conservation-linked community enterprises. Experiences and lessons learned, including site-based initiative selection, stakeholder engagement processes, and agreement design were contained in the CAPPP Operation Manual. A crucial lesson related to the importance of identifying potential financing solutions from the outset of an initiative and the premise of the CAPPP project was a response to this lesson by cultivating private sector partnerships.

5. In 2000, CI created the Center for Environmental Leadership in Business (CELB) to work with companies to minimize environmental impacts and to harness private sector ingenuity on behalf of healthy ecosystems and human well-being. CI has worked with corporations in key sectors to help ensure that natural capital is incorporated into business operations and supply chains by taking into consideration the economic value of ecosystem services. Several private sector partners have been represented on the Board of CI and supported continued efforts to expand collaboration with corporations. Thus, the institutional policy and practice of CI was well aligned with the CAPPP emphasis on the private sector.

6. The project was in line with UNEP's role in the GEF to catalyze the development of scientific and technical analysis for linking science to policy and advancing environmental management in GEF-financed activities. In particular, the project further complemented UNEP’s aim to promote specific methodologies and tools that could be replicated on a larger scale by other partners and its programmatic efforts to build capacity of stakeholders to conserve biodiversity and maintain ecosystem services through an ecosystem service approach. It was consistent with the Ecosystem Management and Resource Efficiency thematic priorities outlined in UNEP’s Medium-term Strategy 2014-2017. The project’s emphasis on lessons regarding private sector engagement in biodiversity conservation and ecosystem maintenance also aligned with UNEP’s Green Economy Initiative and UNEP’s role in the Natural Capital Coalition (formerly TEEB for Business).

3. Project Results Framework

7. The goal of the project was to catalyze private sector support for conservation of biodiversity and maintenance of ecosystem services in globally important sites, and with the objective to demonstrate the potential for achieving biodiversity conservation and ecosystem service maintenance with private sector support through the use of conservation agreements with local land- and resource-users. Table 2 provides an overview of results and planned activities based on information in the project document.

8. The impact of the project would be at both global and individual level. As a global program designed to address biodiversity loss in countries that have ratified the Convention on Biological Diversity (CBD), CAPPP activities would complement national priorities identified in environment strategies and Poverty Reduction Strategy Papers to promote sound natural resource management and sustainable development linked to protection of ecosystem goods and services. Individual initiatives supported by the platform would generate direct benefits in terms of habitat protected and human wellbeing improved in partners communities. The CAPPP would also leverage private sector financing and generate a dynamic of increasing private sector participation in global conservation.

Table. 2 Overview of results and activities

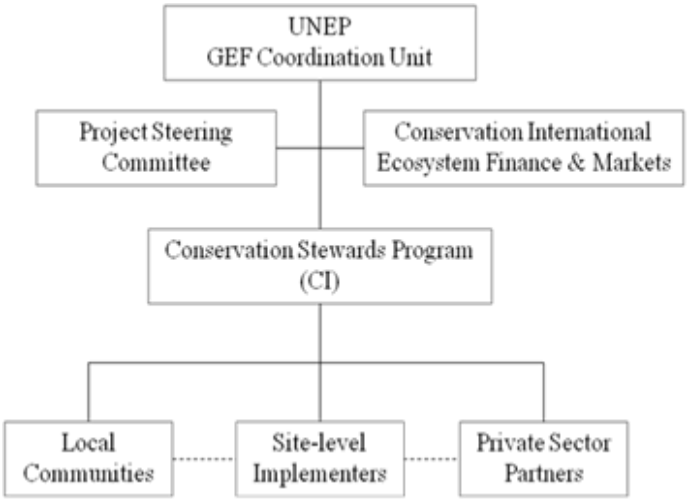
Components	Outcomes	Outputs	Activities

Component 1: Conservation agreements with communities under implementation with private sector support.	Outcome 1: Conservation agreements with communities under implementation with private sector support	Output 1: Conservation agreements with communities under implementation with private sector support	Activity 1: CAs in pre-selected sites renewed and under implementation Activity 2: CAs in new sites under implementation Activity 3: Private sector relationships cultivated and managed Activity 4: Training on CA design, implementation, monitoring and financing provided to site implementers Activity 5: Individual initiative progress tracked Activity 6: Mid-term and final portfolio evaluations performed
Component 2: Knowledge management: best practice for conservation agreements as private sector engagement tool documented and shared.	Outcome 2: Knowledge management: best practice for conservation agreements as private sector engagement tool documented and shared	Output 2: Knowledge Management: best practice for conservation agreements as private sector engagement tool documented and shared	Activity 7: Annual Learning Network Meeting convened Activity 8: Information on CAPPP portion of CSP disseminated Activity 9: Best practice publications prepared Activity 10: Publications on impacts of CA on conservation of diverse ecosystems and human wellbeing prepared
Component 3: Project Management: CAPPP effectively managed through sound implementation arrangements and processes.	Outcome 3: Project Management: CAPPP effectively managed through sound implementation arrangements and processes	Output 3: Project Management: CAPPP effectively managed through sound implementation arrangements and processes	Activity 11: All management and reporting activities ongoing throughout life of the project

4. Executing Arrangements

9. UNEP served as Implementing Agency (IA) for the CAPPP, working with Conservation International as the Executing Agency (EA). Within UNEP, the project was located in the GEF Biodiversity/Land Degradation/Biosafety Unit of the Ecosystems Division, formerly the Division of Environmental Policy Implementation. Figure 1 presents an overview of the organizational set-up.

Figure 1. Organizational set-up



10. Within CI, the CAPPP was to be executed by its Conservation Stewards Program (CSP). CSP would oversee site-based interventions in which site-level implementers would broker relationships between local communities and private sector partners. The CAPPP was to be overseen by a Project Steering Committee (PSC) initially comprised of representatives from UNEP, CI, and the Mulago Foundation (principal donor to CSP); private sector partners would be invited to appoint PSC members as they joined the CAPPP.

11. CSP sat within CI's Ecosystem Finance and Markets (EFM) unit, and would provide technical support and financial oversight to CI teams and other partners who received CSP funding. Under the CAPPP, CSP would issue sub-grants to on-the-ground implementers of individual conservation agreements, cultivate linkages between these initiatives and private sector partners, and spearhead knowledge management and learning activities. The CSP team would facilitate implementation of site-based initiatives by on-the-ground partners using the conservation agreement model. It was also responsible for tracking implementation of site-based initiatives, providing technical guidance as needed, and organizing efforts to document experiences and lessons.

12. The processes and procedures to be followed by the CSP were described in the CAPPP Operational Manual. The CSP team for CAPPP would be comprised of five positions: three Regional Manager positions, one each for the Americas, Asia, and Africa regions; a Private Sector Engagement Manager who would provide technical support to all teams implementing conservation agreements in efforts to build private sector partnerships; and overseen by a Senior Director who was responsible for program and budget management as well as technical oversight, and reported directly to the Executive Vice President in charge of CI's EFM unit. All CSP team members would contribute to fundraising, publications, and partner support and engagement. The Senior Director of CSP was responsible for ensuring that CSP effectively discharged its responsibilities and reported directly to the Executive Vice President of CI’s Ecosystem Finance and Markets unit.

13. Other project partners that would be involved in the implementation of the project included Fundación Natura Bolivia; Keystone Foundation; Wildlife Conservation Society; Shan Shui Conservation Centre; and Farm Africa.

5. Project Cost and Financing

14. The total cost of the project was to be US$20,000,000. The total co-finance committed to the project to be mobilized during the course of implementation was US$15,000,000 representing 80% of the total cost of the project. Total actual expenditures as of 30 June 2020 was $20,929,616 with GEF grant expenditures reported as $4,880,118. Table 3 indicates financing and co-financing by component.

Table 3. Component financing including co-financing

Components	GEF (US$)	Co-financing (US$)	Total (US$)
1. Conservation Agreements with Communities under implementation with Private Sector support	$4,046,120	$12,500,000	$16,546,120
2. Knowledge Management: best practices for conservation agreements as private sector engagement tool documented and shared	$652,759	$500,000	$1,152,759
3. Project Management	$301,121	$2,000,000	$2,301,121
Total	$5,000,000	$15,000,000	$20,000,000

6. Implementation Issues

15. The mid-term review conducted in 2019 found that the product document was weak and consequently recommended to 1) extend the project for one year to focus on monitoring biodiversity and social indicators; 2) organize a workshop with CI country offices and site implementers to discuss the project logframe and indicators for each CA with the aim to improve progress reporting; 3) develop a reporting and monitoring system for the project as a whole; and 4) prepare a final project report with lessons learned, replication and exit strategy.

16. In response to the recommendations, the CI requested an extension through June 30, 2020 in order to complete analysis of the project's environmental and social impacts, a monitoring tracker was completed and made available to the Steering Committee meeting in June 2019. Recommendation 2 was to be addressed as part of planned Learning Network Meetings in December 2019 and 2020. For recommendation 3, a project tracker was constructed capturing stage of implementation, conservation objectives, partners involved, and more. What was not captured, such as measurement of conservation objectives would be captured in a monitoring tracker which was being constructed and pull information from technical reports. The approved financial reporting templates did not demonstrate levels of finance/co-finance for key investments and benefits packages and while an ad-hoc exercise was undertaken by CI during the mid-term review and more rigorous accounting would be useful information to have, but would require a large effort to collect and partner engagement that was not originally outlined in sub-agreements. In order to capture the maximum level of results and learning, CI requested an extension through June 30, 2020.

17. During implementation, the Forest Rights Act in India was revised and could have had potential negative changes to community rights to access land and non-timber forest products in the India sub-project. CI and Keystone Foundation monitored the situation and adapted the project activities, specifically the incentive arrangements which were focused on marketing NTFPs. At the time of reporting in 2019, these changes had not affected compliance with the conservation agreement commitments.

18. The project document identified low risks of the project except for medium risks associated with communities that would not be able deliver consistent quantity/quality of natural product/environment services and local small- and medium sized enterprise development which could fail due to challenges facing business in remote geographies. These risks were mitigated during implementation and rated as low in the PIR 2019.

19. The sub-projects under the project were encouraged to include gender considerations during feasibility analysis, activity design, monitoring and evaluation and staffing and budgeting in order to ensure that differences across genders with regards to decision-making, use of the environment, and opportunities for economic development were understood and incorporated within the conservation agreement cycle.

20. Some activities planned during the extension period in 2020 were affected by the Covid-19 pandemic and global restrictions put in place to curtail the pandemic. For example, a 4-hr session was proposed for the International Union for Conservation of Nature (IUCN) World Conservation Congress was to have been held in Marseille, June 2020. The event was postponed due to the COVID-19 pandemic and rescheduled for 3 to 11 September 2021.

Section 2. OBJECTIVE AND SCOPE OF THE EVALUATION

7. Objective of the Evaluation

21. In line with the UNEP Evaluation Policy[27] and the UNEP Programme Manual[28], the Terminal Evaluation is undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP and Conservation International. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation, especially where a second phase of the project is being considered.

8. Key Evaluation Principles

22. Evaluation findings and judgements will be based on **sound evidence and analysis**, clearly documented in the evaluation report. Information will be triangulated (i.e., verified from different sources) as far as possible, and when verification is not possible, the single source will be mentioned (whilst anonymity is still protected). Analysis leading to evaluative judgements should always be clearly spelled out.

23. The "Why?" Question. As this is a terminal evaluation and similar interventions are envisaged for the future, particular attention will be given to learning from the experience. Therefore, the "*Why?*" question should be at the front of the consultants' minds all through the evaluation exercise and is supported by the use of a theory of change approach. This means that the consultant(s) needs to go beyond the assessment of "*what*" the project performance was and make a serious effort to provide a deeper understanding of "*why*" the performance was as it was. This should provide the basis for the lessons that can be drawn from the project.

24. Attribution, Contribution and Credible Association: In order to *attribute* any outcomes and impacts to a project intervention, one needs to consider the difference between what has happened with, and what would have happened without, the project (i.e., take account of changes over time and between contexts in order to isolate the effects of an intervention). This requires appropriate baseline data and the identification of a relevant counterfactual, both of which are frequently not available for evaluations. Establishing the *contribution* made by a project in a complex change process relies heavily on prior intentionality (e.g., approved project design documentation, logical framework) and the articulation of causality (e.g., narrative and/or illustration of the Theory of Change). Robust evidence that a project was delivered as designed and that the expected causal pathways developed supports claims of contribution and this is strengthened where an alternative theory of change can be excluded. A *credible association* between the implementation of a project and observed positive effects can be made where a strong causal narrative, although not explicitly articulated, can be inferred by the chronological sequence of events, active involvement of key actors and engagement in critical processes.

25. Communicating evaluation results. A key aim of the evaluation is to encourage reflection and learning by UNEP staff and key project stakeholders. The consultant(s) should consider how reflection and learning can be promoted, both through the evaluation process and in the communication of evaluation findings and key lessons. Clear and concise writing is required on all evaluation deliverables. Draft and final versions of the main evaluation report will be shared with key stakeholders by the Evaluation Manager. There may, however, be several intended audiences, each with different interests and needs regarding the report. The consultant(s) will plan with the Evaluation Manager which audiences to target and the easiest and clearest way to communicate the key evaluation findings and lessons to them. This may include some, or all, of the following; a webinar, conference calls with relevant stakeholders, the preparation of an evaluation brief or interactive presentation.

27 https://www.unenvironment.org/about-un-environment/evaluation-office/policies-and-strategies
28 https://wecollaborate.unep.org

9. Key Strategic Questions

26. In addition to the evaluation criteria outlined in Section 10 below, the evaluation will address the **strategic questions** listed below. These are questions of interest to UNEP and to which the project is believed to be able to make a substantive contribution. Also included below are five questions that are required when reporting in the GEF Portal and these must be addressed in the TE.

Q1: To what extent were the public-private partnership mechanisms adapted to the local context and do they remain effective and sustainable in the long-term?

Q2: How did the conservation agreements' approach promote sharing of benefits and what role did community level engagement play?

27. Address the questions required for the GEF Portal in the appropriate parts of the report and provide a summary of the findings in the Conclusions section of the report:

Under Monitoring and Reporting/Monitoring of Project Implementation:

What was the performance at the project's completion against Core Indicator Targets? (For projects approved prior to GEF-7, these indicators will be identified retrospectively and comments on performance provided).

Under Factors Affecting Performance/Stakeholder Participation and Cooperation:

What were the progress, challenges and outcomes regarding engagement of stakeholders in the project/program as evolved from the time of the MTR? ***(This should be based on the description included in the Stakeholder Engagement Plan or equivalent documentation submitted at CEO Endorsement/Approval)***

Under Factors Affecting Performance/Responsiveness to Human Rights and Gender Equality:

What were the completed gender-responsive measures and, if applicable, actual gender result areas? (This should be based on the documentation at CEO Endorsement/Approval, including gender-sensitive indicators contained in the project results framework or gender action plan or equivalent)

Under Factors Affecting Performance/Environmental and Social Safeguards:

What was the progress made in the implementation of the management measures against the Safeguards Plan submitted at CEO Approval? The risk classifications reported in the latest PIR report should be verified and the findings of the effectiveness of any measures or lessons learned taken to address identified risks assessed. ***(Any supporting documents gathered by the Consultant during this review should be shared with the Task Manager for uploading in the GEF Portal)***

Under Factors Affecting Performance/Communication and Public Awareness:

What were the challenges and outcomes regarding the project's completed Knowledge Management Approach, including: Knowledge and Learning Deliverables (e.g., website/platform development); Knowledge Products/Events; Communication Strategy; Lessons Learned and Good Practice; Adaptive Management Actions? ***(This should be based on the documentation approved at CEO Endorsement/Approval)***

10. Evaluation Criteria

28. All evaluation criteria will be rated on a six-point scale. Sections A-I below, outline the scope of the criteria and a link to a table for recording the ratings is provided in Annex 1). A weightings table will be provided in excel format (link provided in Annex 1) to support the determination of an overall project rating. The set of evaluation criteria are grouped in nine categories: (A) Strategic Relevance; (B) Quality of Project Design; (C) Nature of External Context; (D) Effectiveness, which comprises assessments of the availability of outputs, achievement of outcomes and likelihood of impact; (E) Financial Management; (F) Efficiency; (G) Monitoring and Reporting; (H) Sustainability; and (I) Factors Affecting Project Performance. The evaluation consultant(s) can propose other evaluation criteria as deemed appropriate.

A. Strategic Relevance

29. The evaluation will assess the extent to which the activity is suited to the priorities and policies of the donors, implementing regions/countries and the target beneficiaries. The evaluation will include an assessment of the project's relevance in relation to UNEP's mandate and its alignment with UNEP's policies and strategies at the time of project approval. Under strategic relevance an assessment of the complementarity of the project with other interventions addressing the needs of the same target groups will be made. This criterion comprises four elements:

i. Alignment to the UNEP Medium Term Strategy[29] (MTS), Programme of Work (POW) and Strategic Priorities

30. The evaluation should assess the project's alignment with the MTS and POW under which the project was approved and include, in its narrative, reflections on the scale and scope of any contributions made to the planned results reflected in the relevant MTS and POW. UNEP strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building[30] (BSP) and South-South Cooperation (S-SC). The BSP relates to the capacity of governments to: comply with international agreements and obligations at the national level; promote, facilitate and finance environmentally sound technologies and to strengthen frameworks for developing coherent international environmental policies. S-SC is regarded as the exchange of resources, technology and knowledge between developing countries.

ii. Alignment to Donor/GEF/Partner Strategic Priorities

31. Donor, including GEF, strategic priorities will vary across interventions. GEF priorities are specified in published programming priorities and focal area strategies. The Evaluation will assess the extent to which the project is suited to, or responding to, donor priorities. In some cases, alignment with donor priorities may be a fundamental part of project design and grant approval processes while in others, for example, instances of 'softly-earmarked' funding, such alignment may be more of an assumption that should be assessed.

iii. Relevance to Global, Regional, Sub-regional and National Environmental Priorities

32. The evaluation will assess the alignment of the project with global priorities such as the SDGs and Agenda 2030. The extent to which the intervention is suited, or responding to, the stated environmental concerns and needs of the countries, sub-regions or regions where it is being implemented will be considered. Examples may include: national or sub-national development plans, poverty reduction strategies or Nationally Appropriate Mitigation Action (NAMA) plans or regional agreements etc. Within this section consideration will be given to whether the needs of all beneficiary groups are being met and reflects the current policy priority to leave no one behind.

iv. Complementarity with Existing Interventions/Coherence[31]

33. An assessment will be made of how well the project, either at design stage or during the project inception or mobilization[32], took account of ongoing and planned initiatives (under the same sub-programme, other UNEP sub-programmes, or being implemented by other agencies within the same country, sector or institution) that address similar needs of the same target groups. The evaluation will consider if the project team, in collaboration with Regional Offices and Sub-Programme Coordinators, made efforts to ensure their own intervention was complementary to other interventions, optimized any synergies and avoided duplication of effort. Examples may include UN Development Assistance Frameworks or One UN programming. Linkages with other interventions should be described and instances where UNEP's comparative advantage has been particularly well applied should be highlighted.

Factors affecting this criterion may include:

- Stakeholders' participation and cooperation
- Responsiveness to human rights and gender equity
- Country ownership and driven-ness

[29] UNEP's Medium Term Strategy (MTS) is a document that guides UNEP's programme planning over a four-year period. It identifies UNEP's thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments (EAs), of the Sub-programmes. https://www.unenvironment.org/about-un-environment/evaluation-office/our-evaluation-approach/un-environment-documents

[30] http://www.unep.fr/ozonaction/about/bsp.htm

[31] This sub-category is consistent with the new criterion of 'Coherence' introduced by the OECD-DAC in 2019.

[32] A project's inception or mobilization period is understood as the time between project approval and first disbursement. Complementarity during project implementation is considered under Efficiency, see below.

B. Quality of Project Design

34. The quality of project design is assessed using an agreed template during the evaluation inception phase, ratings are attributed to identified criteria and an overall Project Design Quality rating is established (www.unenvironemnt.org/about-un-environment/our-evaluation-approach/templates-and-tools). This overall Project Design Quality rating is entered in the final evaluation ratings table as item B. In the Main Evaluation Report a summary of the project's strengths and weaknesses at design stage is included, while the complete Project Design Quality template is annexed in the Inception Report.

Factors affecting this criterion may include (at the design stage):

- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity

C. Nature of External Context

35. At evaluation inception stage a rating is established for the project's external operating context (considering the prevalence of conflict, natural disasters and political upheaval[33]). This rating is entered in the final evaluation ratings table as item C. Where a project has been rated as facing either an Unfavourable or Highly Unfavourable external operating context, and/or a negative external event has occurred during project implementation, the ratings for Effectiveness, Efficiency and/or Sustainability may be increased at the discretion of the evaluation consultant and Evaluation Manager together. A justification for such an increase must be given.

D. Effectiveness

i. Availability of Outputs[34]

36. The evaluation will assess the project's success in producing the programmed outputs and achieving milestones as per the project design document (ProDoc). Any *formal* modifications/revisions made during project implementation will be considered part of the project design. Where the project outputs are inappropriately or inaccurately stated in the ProDoc, reformulations may be necessary in the reconstruction of the TOC. In such cases a table should be provided showing the original and the reformulation of the outputs for transparency. The availability of outputs will be assessed in terms of both quantity and quality, and the assessment will consider their ownership by, and usefulness to, intended beneficiaries and the timeliness of their provision. It is noted that emphasis is placed on the performance of those outputs that are most important to achieve outcomes. The evaluation will briefly explain the reasons behind the success or shortcomings of the project in delivering its programmed outputs and meeting expected quality standards.

Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision[35]

ii. Achievement of Project Outcomes[36]

37. The achievement of project outcomes is assessed as performance against the project outcomes as defined in the reconstructed[37] Theory of Change. These are outcomes that are intended

[33] Note that 'political upheaval' does not include regular national election cycles, but unanticipated unrest or prolonged disruption. The potential delays or changes in political support that are often associated with the regular national election cycle should be part of the project's design and addressed through adaptive management by the project team.

[34] Outputs are the availability (for intended beneficiaries/users) of new products and services and/or gains in knowledge, abilities and awareness of individuals or within institutions (UNEP, 2019)

[35] In some cases 'project management and supervision' will refer to the supervision and guidance provided by UNEP to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UNEP.

[36] Outcomes are the use (i.e., uptake, adoption, application) of an output by intended beneficiaries, observed as changes in institutions or behavior, attitude or condition (UNEP, 2019)

[37] All submitted UNEP project documents are required to present a Theory of Change with all submitted project designs. The level of 'reconstruction' needed during an evaluation will depend on the quality of this initial TOC, the time that has lapsed between project design and implementation (which may be related to securing and disbursing funds) and the level of any formal changes made to the project design.

to be achieved by the end of the project timeframe and within the project's resource envelope. Emphasis is placed on the achievement of project outcomes that are most important for attaining intermediate states. As with outputs, a table can be used where substantive amendments to the formulation of project outcomes is necessary. The evaluation should report evidence of attribution between UNEP's intervention and the project outcomes. In cases of normative work or where several actors are collaborating to achieve common outcomes, evidence of the nature and magnitude of UNEP's 'substantive contribution' should be included and/or 'credible association' established between project efforts and the project outcomes realised.

Factors affecting this criterion may include:

- Quality of project management and supervision
- Stakeholders' participation and cooperation
- Responsiveness to human rights and gender equity
- Communication and public awareness

iii. Likelihood of Impact

38. Based on the articulation of long-lasting effects in the reconstructed TOC *(i.e., from project outcomes, via intermediate states, to impact),* the evaluation will assess the likelihood of the intended, positive impacts becoming a reality. Project objectives or goals should be incorporated in the TOC, possibly as intermediate states or long-lasting impacts. The Evaluation Office's approach to the use of TOC in project evaluations is outlined in a guidance note available on the Evaluation Office website, https://www.unenvironment.org/about-un-environment/evaluation and is supported by an excel-based flow chart, 'Likelihood of Impact Assessment Decision Tree'. Essentially the approach follows a 'likelihood tree' from project outcomes to impacts, taking account of whether the assumptions and drivers identified in the reconstructed TOC held. Any unintended positive effects should also be identified and their causal linkages to the intended impact described.

39. The evaluation will also consider the likelihood that the intervention may lead, or contribute to, unintended negative effects (e.g., will vulnerable groups such as those living with disabilities and/or women and children, be disproportionally affected by the project?). Some of these potential negative effects may have been identified in the project design as risks or as part of the analysis of Environmental and Social Safeguards.

40. The evaluation will consider the extent to which the project has played a catalytic[38] role or has promoted scaling up and/or replication as part of its Theory of Change and as factors that are likely to contribute to longer term impact.

41. Ultimately UNEP and all its partners aim to bring about benefits to the environment and human well-being. Few projects are likely to have impact statements that reflect such long-term or broad-based changes. However, the evaluation will assess the likelihood of the project to make a substantive contribution to the long-lasting changes represented by the Sustainable Development Goals and/or the intermediate-level results reflected in UNEP's Expected Accomplishments and the strategic priorities of funding partners.

Factors affecting this criterion may include:

- Quality of Project Management and Supervision (including adaptive management)
- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity
- Country ownership and driven-ness
- Communication and public awareness

E. Financial Management

[38] A catalytic effect is one in which desired changes take place beyond the initial scope of a project (i.e., the take up of change is faster than initially expected or change is taken up in areas/sectors or by groups, outside the project's initial design). Scaling up refers to an initiative, or one of its components, being adopted on a much larger scale, but in a very similar context (e.g., a small scale, localized, pilot being adopted at a larger, perhaps national, scale). Replication refers more to approaches being repeated or lessons being explicitly applied in new/different contexts e.g., other geographic areas, different target groups etc. Effective replication typically requires some form of revision or adaptation to the new context. It is possible to replicate at either the same or a different scale.

42. Financial management will be assessed under three themes: *adherence* to UNEP's financial policies and procedures, *completeness* of financial information and *communication* between financial and project management staff. The evaluation will establish the actual spend across the life of the project of funds secured from all donors. This expenditure will be reported, where possible, at output level and will be compared with the approved budget. The evaluation will verify the application of proper financial management standards and adherence to UNEP's financial management policies. Any financial management issues that have affected the timely delivery of the project or the quality of its performance will be highlighted. The evaluation will record where standard financial documentation is missing, inaccurate, incomplete or unavailable in a timely manner. The evaluation will assess the level of communication between the Project/Task Manager and the Fund Management Officer as it relates to the effective delivery of the planned project and the needs of a responsive, adaptive management approach.

Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision

F. Efficiency

43. The evaluation will assess the extent to which the project delivered maximum results from the given resources. This will include an assessment of the cost-effectiveness and timeliness of project execution. Focusing on the translation of inputs into outputs, cost-effectiveness is the extent to which an intervention has achieved, or is expected to achieve, its results at the lowest possible cost. Timeliness refers to whether planned activities were delivered according to expected timeframes as well as whether events were sequenced efficiently. The evaluation will also assess to what extent any project extension could have been avoided through stronger project management and identify any negative impacts caused by project delays or extensions. The evaluation will describe any cost or time-saving measures put in place to maximise results within the secured budget and agreed project timeframe and consider whether the project was implemented in the most efficient way compared to alternative interventions or approaches.

44. The evaluation will give special attention to efforts made by the project teams during project implementation to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities[39] with other initiatives, programmes and projects etc. to increase project efficiency.

45. The factors underpinning the need for any project extensions will also be explored and discussed. As management or project support costs cannot be increased in cases of 'no cost extensions', such extensions represent an increase in unstated costs to implementing parties.

Factors affecting this criterion may include:

- Preparation and readiness (e.g.. timeliness)
- Quality of project management and supervision
- Stakeholders participation and cooperation

G. Monitoring and Reporting

46. The evaluation will assess monitoring and reporting across three sub-categories: monitoring design and budgeting, monitoring implementation and project reporting.

i. Monitoring Design and Budgeting

47. Each project should be supported by a sound monitoring plan that is designed to track progress against SMART[40] results towards the provision of the project's outputs and achievement of project outcomes, including at a level disaggregated by gender, marginalisation or vulnerability, including those living with disabilities. In particular, the evaluation will assess the relevance and appropriateness of the project indicators as well as the methods used for tracking progress against them as part of conscious results-based management. The evaluation will assess the quality of the

[39] Complementarity with other interventions during project design, inception or mobilization is considered under Strategic Relevance above.

[40] SMART refers to results that are specific, measurable, achievable, relevant and time-oriented. Indicators help to make results measurable.

design of the monitoring plan as well as the funds allocated for its implementation. The adequacy of resources for mid-term and terminal evaluation/review should be discussed if applicable.

ii. Monitoring of Project Implementation

48. The evaluation will assess whether the monitoring system was operational and facilitated the timely tracking of results and progress towards projects objectives throughout the project implementation period. This assessment will include consideration of whether the project gathered relevant and good quality baseline data that is accurately and appropriately documented. This should include monitoring the representation and participation of disaggregated groups (including gendered, marginalised or vulnerable groups, such as those living with disabilities) in project activities. It will also consider the quality of the information generated by the monitoring system during project implementation and how it was used to adapt and improve project execution, achievement of outcomes and ensure sustainability. The evaluation should confirm that funds allocated for monitoring were used to support this activity.

49. The performance at project completion against Core Indicator Targets should be reviewed. For projects approved prior to GEF-7, these indicators will be identified retrospectively and comments on performance provided.

iii. Project Reporting

50. UNEP has a centralised project information management system (Anubis) in which project managers upload six-monthly progress reports against agreed project milestones. This information will be provided to the Evaluation Consultant(s) by the Evaluation Manager. Some projects have additional requirements to report regularly to funding partners, which will be supplied by the project team (e.g., the Project Implementation Reviews and Tracking Tool for GEF-funded projects). The evaluation will assess the extent to which both UNEP and donor reporting commitments have been fulfilled. Consideration will be given as to whether reporting has been carried out with respect to the effects of the initiative on disaggregated groups.

Factors affecting this criterion may include:

- Quality of project management and supervision
- Responsiveness to human rights and gender equity (e.g., disaggregated indicators and data)

H. Sustainability

51. Sustainability[41] is understood as the probability of project outcomes being maintained and developed after the close of the intervention. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the endurance of achieved project outcomes (i.e., 'assumptions' and 'drivers'). Some factors of sustainability may be embedded in the project design and implementation approaches while others may be contextual circumstances or conditions that evolve over the life of the intervention. Where applicable an assessment of bio-physical factors that may affect the sustainability of project outcomes may also be included.

i. Socio-political Sustainability

52. The evaluation will assess the extent to which social or political factors support the continuation and further development of project outcomes. It will consider the level of ownership, interest and commitment among government and other stakeholders to take the project achievements forwards. In particular the evaluation will consider whether individual capacity development efforts are likely to be sustained.

ii. Financial Sustainability

53. Some project outcomes, once achieved, do not require further financial inputs, e.g., the adoption of a revised policy. However, in order to derive a benefit from this outcome further management action may still be needed e.g., to undertake actions to enforce the policy. Other project outcomes may be dependent on a continuous flow of action that needs to be resourced for them to

[41] As used here, 'sustainability' means the long-term maintenance of outcomes and consequent impacts, whether environmental or not. This is distinct from the concept of sustainability in the terms 'environmental sustainability' or 'sustainable development', which imply 'not living beyond our means' or 'not diminishing global environmental benefits' (GEF STAP Paper, 2019, Achieving More Enduring Outcomes from GEF Investment)

be maintained, e.g., continuation of a new resource management approach. The evaluation will assess the extent to which project outcomes are dependent on future funding for the benefits they bring to be sustained. Secured future funding is only relevant to financial sustainability where the project's outcomes have been extended into a future project phase. Even where future funding has been secured, the question still remains as to whether the project outcomes are financially sustainable.

iii. Institutional Sustainability

54. The evaluation will assess the extent to which the sustainability of project outcomes (especially those relating to policies and laws) is dependent on issues relating to institutional frameworks and governance. It will consider whether institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. are robust enough to continue delivering the benefits associated with the project outcomes after project closure. In particular, the evaluation will consider whether institutional capacity development efforts are likely to be sustained.

Factors affecting this criterion may include:

- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity (e.g., where interventions are not inclusive, their sustainability may be undermined)
- Communication and public awareness
- Country ownership and driven-ness

I. Factors Affecting Project Performance and Cross-Cutting Issues

(These factors are rated in the ratings table but are discussed within the Main Evaluation Report as cross-cutting themes as appropriate under the other evaluation criteria, above. Where the issues have not been addressed under other evaluation criteria, the consultant(s) will provide summary sections under the following headings.)

i. Preparation and Readiness

55. This criterion focuses on the inception or mobilisation stage of the project (i.e., the time between project approval and first disbursement). The evaluation will assess whether appropriate measures were taken to either address weaknesses in the project design or respond to changes that took place between project approval, the securing of funds and project mobilisation. In particular the evaluation will consider the nature and quality of engagement with stakeholder groups by the project team, the confirmation of partner capacity and development of partnership agreements as well as initial staffing and financing arrangements. *(Project preparation is included in the template for the assessment of Project Design Quality).*

ii. Quality of Project Management and Supervision

56. In some cases 'project management and supervision' will refer to the supervision and guidance provided by UNEP to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping and supervision provided by UNEP.

57. The evaluation will assess the effectiveness of project management with regard to: providing leadership towards achieving the planned outcomes; managing team structures; maintaining productive partner relationships (including Steering Groups etc.); maintaining project relevance within changing external and strategic contexts; communication and collaboration with UNEP colleagues; risk management; use of problem-solving; project adaptation and overall project execution. Evidence of adaptive management should be highlighted.

iii. Stakeholder Participation and Cooperation

58. Here the term 'stakeholder' should be considered in a broad sense, encompassing all project partners, duty bearers with a role in delivering project outputs and target users of project outputs and any other collaborating agents external to UNEP and the Executing Agency. The assessment will consider the quality and effectiveness of all forms of communication and consultation with stakeholders throughout the project life and the support given to maximise collaboration and

coherence between various stakeholders, including sharing plans, pooling resources and exchanging learning and expertise. The inclusion and participation of all differentiated groups, including gender groups should be considered.

59. The progress, challenges and outcomes regarding engagement of stakeholders in the project/program occurring since the MTR should be reviewed. *(This should be based on the description included in the Stakeholder Engagement Plan or equivalent documentation submitted at CEO Endorsement/Approval).*

iv. Responsiveness to Human Rights and Gender Equity

60. The evaluation will ascertain to what extent the project has applied the UN Common Understanding on the human rights-based approach (HRBA) and the UN Declaration on the Rights of Indigenous People. Within this human rights context the evaluation will assess to what extent the intervention adheres to UNEP's Policy and Strategy for Gender Equality and the Environment[42].

61. In particular the evaluation will consider to what extent project-implementation and monitoring have taken into consideration: (i) possible inequalities (especially those related to gender) in access to, and the control over, natural resources; (ii) specific vulnerabilities of disadvantaged groups (especially women, youth and children and those living with disabilities) to environmental degradation or disasters; and (iii) the role of disadvantaged groups (especially those related to gender) in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation.

62. The completed gender-responsive measures and, if applicable, actual gender result areas should be reviewed. (This should be based on the documentation at CEO Endorsement/Approval, including gender-sensitive indicators contained in the project results framework or gender action plan or equivalent).

v. Environmental and Social Safeguards

63. UNEP projects address environmental and social safeguards primarily through the process of environmental and social screening at the project approval stage, risk assessment and management (avoidance, minimization, mitigation or, in exceptional cases, offsetting) of potential environmental and social risks and impacts associated with project and programme activities. The evaluation will confirm whether UNEP requirements[43] were met to: *review* risk ratings on a regular basis; *monitor* project implementation for possible safeguard issues; *respond* (where relevant) to safeguard issues through risk avoidance, minimization, mitigation or offsetting and r*eport* on the implementation of safeguard management measures taken. UNEP requirements for proposed projects to be screened for any safeguarding issues; for sound environmental and social risk assessments to be conducted and initial risk ratings to be assigned are evaluated above under Quality of Project Design).

64. The evaluation will also consider the extent to which the management of the project minimised UNEP's environmental footprint.

65. Implementation of the management measures against the Safeguards Plan submitted at CEO Approval should be reviewed, the risk classifications verified and the findings of the effectiveness of any measures or lessons learned taken to address identified risks assessed. Any supporting documents gathered by the Consultant should be shared with the Task Manager.

vi. Country Ownership and Driven-ness

66. The evaluation will assess the quality and degree of engagement of government / public sector agencies in the project. While there is some overlap between Country Ownership and Institutional Sustainability, this criterion focuses primarily on the forward momentum of the intended projects results, ie. either a) moving forwards from outputs to project outcomes or b) moving forward

---

[42] The Evaluation Office notes that Gender Equality was first introduced in the UNEP Project Review Committee Checklist in 2010 and, therefore, provides a criterion rating on gender for projects approved from 2010 onwards. Equally, it is noted that policy documents, operational guidelines and other capacity building efforts have only been developed since then and have evolved over time. https://wedocs.unep.org/bitstream/handle/20.500.11822/7655/-Gender_equality_and_the_environment_Policy_and_strategy-2015Gender_equality_and_the_environment_policy_and_strategy.pdf.pdf?sequence=3&isAllowed=y

[43] For the review of project concepts and proposals, the Safeguard Risk Identification Form (SRIF) was introduced in 2019 and replaced the Environmental, Social and Economic Review note (ESERN), which had been in place since 2016. In GEF projects safeguards have been considered in project designs since 2011.

from project outcomes towards intermediate states. The evaluation will consider the involvement not only of those directly involved in project execution and those participating in technical or leadership groups, but also those official representatives whose cooperation is needed for change to be embedded in their respective institutions and offices (e.g., representatives from multiple sectors or relevant ministries beyond Ministry of Environment). This factor is concerned with the level of ownership generated by the project over outputs and outcomes and that is necessary for long term impact to be realised. Ownership should extend to all gendered and marginalised groups.

vii. Communication and Public Awareness

67. The evaluation will assess the effectiveness of: a) communication of learning and experience sharing between project partners and interested groups arising from the project during its life and b) public awareness activities that were undertaken during the implementation of the project to influence attitudes or shape behaviour among wider communities and civil society at large. The evaluation should consider whether existing communication channels and networks were used effectively, including meeting the differentiated needs of gendered or marginalised groups, and whether any feedback channels were established. Where knowledge sharing platforms have been established under a project the evaluation will comment on the sustainability of the communication channel under either socio-political, institutional or financial sustainability, as appropriate.

68. The project's completed Knowledge Management Approach, including: Knowledge and Learning Deliverables (e.g., website/platform development); Knowledge Products/Events; Communication Strategy; Lessons Learned and Good Practice; Adaptive Management Actions should be reviewed. This should be based on the documentation approved at CEO Endorsement/Approval.

Section 3. EVALUATION APPROACH, METHODS AND DELIVERABLES

69. The Terminal Evaluation will be an in-depth evaluation using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used as appropriate to determine project achievements against the expected outputs, outcomes and impacts. It is highly recommended that the consultant(s) maintains close communication with the project team and promotes information exchange throughout the evaluation implementation phase in order to increase their (and other stakeholder) ownership of the evaluation findings. Where applicable, the consultant(s) will provide a geo-referenced map that demarcates the area covered by the project and, where possible, provide geo-reference photographs of key intervention sites (e.g., sites of habitat rehabilitation and protection, pollution treatment infrastructure, etc.)

70. The findings of the evaluation will be based on the following:

A desk review of:

- Relevant background documentation;
- Project design documents (including minutes of the project design review meeting at approval); Annual Work Plans and Budgets or equivalent, revisions to the project (Project Document Supplement), the logical framework and its budget;
- Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence and including the Project Implementation Reviews and Tracking Tool etc.;
- Project outputs: Conservation agreements signed with communities and agreements signed with individuals/families, lesson papers and sub-project fact sheets available on CI's website;
- Mid-Term Review of the project;
- Evaluations/reviews of similar projects.

Interviews (individual or in group) with:

- UNEP Task Manager (TM);
- Project management team, including the Project Manager within Conservation International;
- UNEP Fund Management Officer (FMO);
- Portfolio Manager and Sub-Programme Coordinator, where appropriate;

- Project partners, including Fundacion Natura Bolivia, Keystone Foundation, Wildlife Conservation Society Guatemala, Asociación Calidris, Shanshui Nature Conservation Center, Farm Africa, Conservation South Africa, Conservation International Peru, Conservation International Cambodia and Conservation International Colombia.
- Relevant resource persons, including company representatives;
- Representatives from communities and specialist groups (such as women's, farmers and trade associations, etc.).

Surveys, with CI country offices and implementing partners, as appropriate.

Field visits are not deemed likely due to Covid-19 related travel restrictions.

Other data collection tools.

11. Evaluation Deliverables and Review Procedures

71. The Evaluation Team will prepare:

- **Inception Report:** (see Annex 1 for links to all templates, tables and guidance notes) containing an assessment of project design quality, a draft reconstructed Theory of Change of the project, project stakeholder analysis, evaluation framework and a tentative evaluation schedule.
- **Preliminary Findings Note:** typically in the form of a PowerPoint presentation, the sharing of preliminary findings is intended to support the participation of the project team, act as a means to ensure all information sources have been accessed and provide an opportunity to verify emerging findings. In the case of highly strategic project/portfolio evaluations or evaluations with an Evaluation Reference Group, the preliminary findings may be presented as a word document for review and comment.
- **Draft and Final Evaluation Report:** (see links in Annex 1) containing an executive summary that can act as a stand-alone document; detailed analysis of the evaluation findings organised by evaluation criteria and supported with evidence; lessons learned and recommendations and an annotated ratings table.

72. An **Evaluation Brief,** (a 2-page overview of the evaluand and key evaluation findings) for wider dissemination through the UNEP website may be required. This will be discussed with the Evaluation Manager no later than during the finalization of the Inception Report.

73. Review of the draft evaluation report. The Evaluation Team will submit a draft report to the Evaluation Manager and revise the draft in response to their comments and suggestions. Once a draft of adequate quality has been peer-reviewed and accepted, the Evaluation Manager will share the cleared draft report with the Task Manager and Project Manager, who will alert the Evaluation Manager in case the report contains any blatant factual errors. The Evaluation Manager will then forward revised draft report (corrected by the evaluation consultant(s) where necessary) to other project stakeholders, for their review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions as well as providing feedback on the proposed recommendations and lessons. Any comments or responses to draft reports will be sent to the Evaluation Manager for consolidation. The Evaluation Manager will provide all comments to the evaluation consultant(s) for consideration in preparing the final report, along with guidance on areas of contradiction or issues requiring an institutional response.

74. Based on a careful review of the evidence collated by the evaluation consultants and the internal consistency of the report, the Evaluation Manager will provide an assessment of the ratings in the final evaluation report. Where there are differences of opinion between the evaluator and the Evaluation Manager on project ratings, both viewpoints will be clearly presented in the final report. The Evaluation Office ratings will be considered the final ratings for the project.

75. The Evaluation Manager will prepare a **quality assessment** of the first draft of the main evaluation report, which acts as a tool for providing structured feedback to the evaluation consultants. The quality of the final report will be assessed and rated against the criteria specified in template listed in Annex 1 and this assessment will be appended to the Final Evaluation Report.

76. At the end of the evaluation process, the Evaluation Office will prepare a **Recommendations Implementation Plan** in the format of a table, to be completed and updated at regular intervals by the

Task Manager. The Evaluation Office will track compliance against this plan on a six-monthly basis for a maximum of 18 months.

12. The Evaluation Team

77. For this evaluation, the Evaluation Team will consist of a Principal Evaluator and one Evaluation Specialist who will work under the overall responsibility of the Evaluation Office represented by an Evaluation Manager (Susanne Bech), in consultation with the UNEP Task Manager (Ersin Esen), Fund Management Officer (George Saddimbah) and the Ecosystem Sub-programme Coordinator (Marieta Sakalian). The consultants will liaise with the Evaluation Manager on any procedural and methodological matters related to the evaluation. It is, however, each consultant's individual responsibility to arrange for their visas and immunizations as well as to plan meetings with stakeholders, organize online surveys, obtain documentary evidence and any other logistical matters related to the assignment. The UNEP Task Manager and project team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultants to conduct the evaluation as efficiently and independently as possible.

78. The Principal Evaluator will be hired over a period of 7 months from 01 July 2021 to 31 Janury 2022 and should have the following: a university degree in environmental sciences, international development or other relevant political or social sciences area is required and an advanced degree in the same areas is desirable; a minimum of 7 years of technical / evaluation experience is required, preferably including evaluating large, regional or global programmes and using a Theory of Change approach; and a good/broad understanding of biodiversity conservation and private sector partnership is desired. English and French are the working languages of the United Nations Secretariat. For this consultancy, fluency in oral and written English is a requirement and proficiency in Spanish is desirable. Working knowledge of the UN system and specifically the work of UNEP is an added advantage. The work will be home-based.

79. The Evaluation Specialist will be hired over a period of 7 months from 01 July 2021 to 31 January 2022 and should have the following: an undergraduate university degree in environmental sciences, international development or other relevant political or social sciences area is required; a minimum of 7 years of technical/monitoring/evaluation experience is required and a broad understanding of biodiversity conservation and private sector partnership is required. English and French are the working languages of the United Nations Secretariat. For this consultancy fluency in oral and written English is a requirement and proficiency in Spanish is desirable. Working knowledge of the UN system and specifically the work of UNEP is an added advantage. The work will be home-based.

80. The Principal Evaluator will be responsible, in close consultation with the Evaluation Office of UNEP for overall management of the evaluation and timely provision of its outputs, described above in Section 11 Evaluation Deliverables, above. The Evaluation Specialist will make substantive and high-quality contributions to the evaluation process and outputs. Both consultants will ensure together that all evaluation criteria and questions are adequately covered.

81. Specifically, Evaluation Team members will undertake the following:

Inception phase of the evaluation, including:

- preliminary desk review and introductory interviews with project staff;
- draft the reconstructed Theory of Change of the project;
- prepare the evaluation framework;
- develop the desk review and interview protocols;
- draft the survey protocols (if relevant);
- develop and present criteria for country and/or site selection for the evaluation mission;
- plan the evaluation schedule;
- prepare the Inception Report, incorporating comments until approved by the Evaluation Manager

Data collection and analysis phase of the evaluation, including:

- conduct further desk review and in-depth interviews with project implementing and executing agencies, project partners and project stakeholders;

- (where appropriate and agreed) conduct survey(s). Ensure independence of the evaluation and confidentiality of evaluation interviews and surveys.
- regularly report back to the Evaluation Manager on progress and inform of any possible problems or issues encountered and;
- keep the Project/Task Manager informed of the evaluation progress.

Reporting phase, including:

- draft the Main Evaluation Report, ensuring that the evaluation report is complete, coherent and consistent with the Evaluation Manager guidelines both in substance and style;
- liaise with the Evaluation Manager on comments received and finalize the Main Evaluation Report, ensuring that comments are taken into account until approved by the Evaluation Manager
- prepare a Response to Comments annex for the main report, listing those comments not accepted by the evaluation consultant and indicating the reason for the rejection; and
- (where agreed with the Evaluation Manager) prepare an Evaluation Brief (2-page summary of the evaluand and the key evaluation findings and lessons)

Managing relations, including:

- maintain a positive relationship with evaluation stakeholders, ensuring that the evaluation process is as participatory as possible but at the same time maintains its independence;
- communicate in a timely manner with the Evaluation Manager on any issues requiring its attention and intervention.

13. Schedule of the evaluation

82. The table below presents the schedule for the evaluation.

Table 5. Tentative schedule for the evaluation

Milestone	Dates
Evaluation Initiation Meeting	July 2021
Inception Report	July 2021
E-based interviews, surveys etc.	August/ September 2021
PowerPoint/presentation on preliminary findings and recommendations	September 2021
Draft report to Evaluation Manager (and Peer Reviewer)	October 2021
Draft Report shared with UNEP Project Manager and team	November 2021
Draft Report shared with wider group of stakeholders	December 2021
Final Report	January 2022
Final Report shared with all respondents	January 2022

14. Contractual Arrangements

83. Evaluation consultants will be selected and recruited by the Evaluation Office of UNEP under an individual Special Service Agreement (SSA) on a “fees only” basis (see below). By signing the service contract with UNEP /UNON, the consultant(s) certify that they have not been associated with the design and implementation of the project in any way which may jeopardize their independence and impartiality towards project achievements and project partner performance. In addition, they will not have any future interests (within six months after completion of the contract) with the project’s executing or implementing units. All consultants are required to sigh the Code of Conduct Agreement Form.

84. Fees will be paid on an instalment basis, paid on acceptance by the Evaluation Manager of expected key deliverables. The schedule of payment is as follows:

Schedule of Payment for the Principal Evaluator:

Deliverable	**Percentage Payment**
Approved Inception Report (as per annex document 9)	30%
Approved Draft Main Evaluation Report (as per annex document 16)	30%
Approved Final Main Evaluation Report	40%

Schedule of Payment for the Evaluation Specialist:

Deliverable	**Percentage Payment**
Approved Inception Report (as per annex document 9)	30%
Approved Draft Main Evaluation Report (as per annex document 16)	30%
Approved Final Main Evaluation Report	40%

85. Fees only contracts: Note that during the COVID-19 pandemic travel remains unlikely and therefore purchase of air tickets and Daily Subsistence Allowance for authorized travel mission are not applied.

86. The consultants may be provided with access to a shared folder in Sharepoint with project information and evaluation tools. If such access is granted, the consultants agree not to disclose information from that system to third parties beyond information required for, and included in, the evaluation report.

87. In case the consultants are not able to provide the deliverables in accordance with these guidelines, and in line with the expected quality standards by the UNEP Evaluation Office, payment may be withheld at the discretion of the Director of the Evaluation Office until the consultants have improved the deliverables to meet UNEP's quality standards.

88. If the consultants fail to submit a satisfactory final product to UNEP in a timely manner, i.e., before the end date of their contract, the Evaluation Office reserves the right to employ additional human resources to finalize the report, and to reduce the consultants' fees by an amount equal to the additional costs borne by the Evaluation Office to bring the report up to standard.

ANNEX VI. QUALITY ASSESSMENT OF THE EVALUATION REPORT

Evaluand Title:

Conservation Agreement Private Partnership Platform (GEF ID 4259)

All UNEP evaluations are subject to a quality assessment by the Evaluation Office. This is an assessment of the quality of the evaluation product (i.e., evaluation report) and is dependent on more than just the consultant's efforts and skills.

	UNEP Evaluation Office Comments	Final Report Rating
Substantive Report Quality Criteria		
Quality of the Executive Summary: The Summary should be able to stand alone as an accurate summary of the main evaluation product. It should include a concise overview of the evaluation object; clear summary of the evaluation objectives and scope; overall evaluation rating of the project and key features of performance (strengths and weaknesses) against exceptional criteria (plus reference to where the evaluation ratings table can be found within the report); summary of the main findings of the exercise, including a synthesis of main conclusions (which include a summary response to key strategic evaluation questions), lessons learned and recommendations.	Final report: Good and detailed description of complex global project with achievements by outcome, main conclusions, four lessons and four recommendations. Description of strategic question and cross-reference to responses provided.	6
I. Introduction A brief introduction should be given identifying, where possible and relevant, the following: institutional context of the project (sub-programme, Division, regions/countries where implemented) and coverage of the evaluation; date of PRC approval and project document signature); results frameworks to which it contributes (e.g., Expected Accomplishment in POW); project duration and start/end dates; number of project phases (where appropriate); implementing partners; total secured budget and whether the project has been evaluated in the past (e.g. mid-term, part of a synthesis evaluation, evaluated by another agency, etc.) Consider the extent to which the introduction includes a concise statement of the purpose of the evaluation and the key intended audience for the findings?	Final report: Concise and well-structured introduction in line with guidance	6
II. Evaluation Methods A data collection section should include: a description of evaluation methods and information sources used, including the number and type of respondents; justification for methods used (e.g., qualitative/ quantitative; electronic/face-to-face); any selection criteria used to identify respondents, case studies or sites/countries visited; strategies used to increase stakeholder engagement and consultation; details of how data were verified (e.g. triangulation, review by stakeholders etc.). Methods to ensure that potentially excluded groups (excluded by gender, vulnerability or marginalisation) are reached and their experiences captured effectively, should be made explicit in this section. The methods used to analyse data (e.g., scoring; coding; thematic analysis etc.) should be described. It should also address evaluation limitations such as: low or imbalanced response rates across different groups; gaps in documentation; extent to which findings can be either generalised to wider evaluation questions or constraints on	Final report: Concise description of evaluation methods and limitations. Prepared in-line with guidelines of the Evaluation Office at the time.	5

aggregation/disaggregation; any potential or apparent biases; language barriers and ways they were overcome. Ethics and human rights issues should be highlighted including: how anonymity and confidentiality were protected and strategies used to include the views of marginalised or potentially disadvantaged groups and/or divergent views. Is there an ethics statement?		
III. The Project This section should include: • *Context:* Overview of the main issue that the project is trying to address, its root causes and consequences on the environment and human well-being (i.e., synopsis of the problem and situational analyses). • *Results framework*: Summary of the project's results hierarchy as stated in the ProDoc (or as officially revised) • *Stakeholders:* Description of groups of targeted stakeholders organised according to relevant common characteristics • *Project implementation structure and partners:* A description of the implementation structure with diagram and a list of key project partners • *Changes in design during implementation:* Any key events that affected the project's scope or parameters should be described in brief in chronological order • *Project financing:* Completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing	Final report: Short well-structured section outlining results framework and stakeholders, and project implementation structure. Key financial data included.	6
IV. Theory of Change The *TOC at Evaluation* should be presented clearly in both diagrammatic and narrative forms. Clear articulation of each major causal pathway is expected, (starting from outputs to long term impact), including explanations of all drivers and assumptions as well as the expected roles of key actors. This section should include a description of how the *TOC at Evaluation*[44] was designed (who was involved etc.) and applied to the context of the project? Where the project results as stated in the project design documents (or formal revisions of the project design) are not an accurate reflection of the project's intentions or do not follow UNEP's definitions of different results levels, project results may need to be re-phrased or reformulated. In such cases, a summary of the project's results hierarchy should be presented for: a) the results as stated in the approved/revised Prodoc logframe/TOC and b) as formulated in the *TOC at Evaluation*. *The two results hierarchies should be presented as a two-column table to show clearly that, although wording and placement may have changed, the results 'goal posts' have not been 'moved'.* Check that the project's effect on equality (i.e., promoting human rights, gender equality and inclusion of those living with disabilities and/or belonging to marginalised/vulnerable groups) has been included within the TOC as a general driver or assumption where there was no dedicated result within the results framework. If an explicit commitment on this topic was made within the project document then the driver/assumption should also be specific to the described intentions.	Final report: Analysis of ToC with table for justification for reformulation of results statements, figure and hypothesis.	6

[44] During the Inception Phase of the evaluation process a *TOC at Evaluation Inception* is created based on the information contained in the approved project documents (these may include either logical framework or a TOC or narrative descriptions), formal revisions and annual reports etc. During the evaluation process this TOC is revised based on changes made during project intervention and becomes the *TOC at Evaluation*.

V. Key Findings **A. Strategic relevance:** This section should include an assessment of the project's relevance in relation to UNEP's mandate and its alignment with UNEP's policies and strategies at the time of project approval. An assessment of the complementarity of the project at design (or during inception/mobilisation[45]), with other interventions addressing the needs of the same target groups should be included. Consider the extent to which all four elements have been addressed: i. Alignment to the UNEP Medium Term Strategy (MTS) and Programme of Work (POW) ii. Alignment to Donor/GEF Strategic Priorities iii. Relevance to Regional, Sub-regional and National Environmental Priorities iv. Complementarity with Existing Interventions	Final report: All relevance elements assessed according to guidelines.	5
B. Quality of Project Design To what extent are the strength and weaknesses of the project design effectively summarized?	Final report: Quality of project design with table assessed well.	6
C. Nature of the External Context For projects where this is appropriate, key external features of the project's implementing context that limited the project's performance (e.g. conflict, natural disaster, political upheaval[46]), and how they affected performance, should be described.	Final report: Assessed according to guidelines.	5
D. Effectiveness **(i) Outputs and Project Outcomes:** How well does the report present a well-reasoned, complete and evidence-based assessment of the a) availability of outputs, and b) achievement of project outcomes? How convincing is the discussion of attribution and contribution, as well as the constraints to attributing effects to the intervention. The effects of the intervention on differentiated groups, including those with specific needs due to gender, vulnerability or marginalisation, should be discussed explicitly.	Final report: Effectiveness analysis supported by rich and useful data tables of Cas and tables with CAs per all project countries.	6
(ii) Likelihood of Impact: How well does the report present an integrated analysis, guided by the causal pathways represented by the TOC, of all evidence relating to likelihood of impact? How well are change processes explained and the roles of key actors, as well as drivers and assumptions, explicitly discussed? Any unintended negative effects of the project should be discussed under Effectiveness, especially negative effects on disadvantaged groups.	Final report: Analysis provided of likelihood of impact with indication of SDG contributions.	5
E. Financial Management This section should contain an integrated analysis of all dimensions evaluated under financial management and include a completed 'financial management' table. Consider how well the report addresses the following: • *Adherence* to UNEP's financial policies and procedures	Final report: Analysis of financial management in line with guidelines and required financial information, including audit reports.	5

[45] A project's inception or mobilization period is understood as the time between project approval and first disbursement. Complementarity during project implementation is considered under Efficiency, see below.

[46] Note that 'political upheaval' does not include regular national election cycles, but unanticipated unrest or prolonged disruption. The potential delays or changes in political support that are often associated with the regular national election cycle should be part of the project's design and addressed through adaptive management of the project team.

• *completeness* of financial information, including the actual project costs (total and per activity) and actual co-financing used • *communication* between financial and project management staff		
F. Efficiency To what extent, and how well, does the report present a well-reasoned, complete and evidence-based assessment of efficiency under the primary categories of cost-effectiveness and timeliness including: • Implications of delays and no cost extensions • Time-saving measures put in place to maximise results within the secured budget and agreed project timeframe • Discussion of making use during project implementation of/building on pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. • The extent to which the management of the project minimised UNEP's environmental footprint.	Final report: Concise analysis in line with guidelines.	5
G. Monitoring and Reporting How well does the report assess: • Monitoring design and budgeting *(including SMART results with measurable indicators, resources for MTE/R, etc.)* • Monitoring of project implementation *(including use of monitoring data for adaptive management)* • Project reporting *(e.g., PIMS and donor reports)*	Final report: Concise analysis based on TE and MTR findings, reference to GEF indicator with note that indicator was not set when the project was formulated but it was requested in the report, therefore included.	6
H. Sustainability How well does the evaluation identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved project outcomes including: • Socio-political Sustainability • Financial Sustainability • Institutional Sustainability	Final report: Well-structured and concise analysis of the elements of sustainability.	5
I. Factors Affecting Performance These factors are <u>not</u> discussed in stand-alone sections but are **integrated in criteria A-H as appropriate**. Note that these are described in the Evaluation Criteria Ratings Matrix. To what extent, and how well, does the evaluation report cover the following cross-cutting themes: • Preparation and readiness • Quality of project management and supervision[47] • Stakeholder participation and co-operation • Responsiveness to human rights and gender equity • Environmental and social safeguards • Country ownership and driven-ness • Communication and public awareness	Final report: Concise analysis of sub-criteria in line with guidelines.	5
VI. Conclusions and Recommendations **i. Quality of the conclusions:** The key strategic questions should be clearly and succinctly addressed within the conclusions section. It is expected that the conclusions will highlight the main strengths and weaknesses of the project and connect them in a compelling story line. Human rights and gender dimensions of the intervention	Final report: Section with key findings and responses to strategic questions, indicator target (GEF), stakeholder participation, human rights and gender, safeguards and	5

[47] In some cases 'project management and supervision' will refer to the supervision and guidance provided by UNEP to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UNEP.

(e.g. how these dimensions were considered, addressed or impacted on) should be discussed explicitly. Conclusions, as well as lessons and recommendations, should be consistent with the evidence presented in the main body of the report.	communication, and summary table of ratings with assessments.	
ii) Quality and utility of the lessons: Both positive and negative lessons are expected and duplication with recommendations should be avoided. Based on explicit evaluation findings, lessons should be rooted in real project experiences or derived from problems encountered and mistakes made that should be avoided in the future. Lessons are intended to be adopted any time they are deemed to be relevant in the future and must have the potential for wider application (replication and generalization) and use and should briefly describe the context from which they are derived and those contexts in which they may be useful.	Final report: Lessons are well-formulated and comments to the findings of the report.	5
iii) Quality and utility of the recommendations: To what extent are the recommendations proposals for specific action to be taken by identified people/position-holders to resolve concrete problems affecting the project or the sustainability of its results? They should be feasible to implement within the timeframe and resources available (including local capacities) and specific in terms of who would do what and when. At least one recommendation relating to strengthening the human rights and gender dimensions of UNEP interventions, should be given. Recommendations should represent a measurable performance target in order that the Evaluation Office can monitor and assess compliance with the recommendations. In cases where the recommendation is addressed to a third party, compliance can only be monitored and assessed where a contractual/legal agreement remains in place. Without such an agreement, the recommendation should be formulated to say that UNEP project staff should pass on the recommendation to the relevant third party in an effective or substantive manner. The effective transmission by UNEP of the recommendation will then be monitored for compliance. Where a new project phase is already under discussion or in preparation with the same third party, a recommendation can be made to address the issue in the next phase.	Final report: Specific recommendations with due consideration of UNEP's responsibility.	5
VII. Report Structure and Presentation Quality		
i) Structure and completeness of the report: To what extent does the report follow the Evaluation Office guidelines? Are all requested Annexes included and complete?	Final report: Well-structured report with use of large data sets and extensive documentation available.	6
ii) **Quality of writing and formatting:** Consider whether the report is well written (clear English language and grammar) with language that is adequate in quality and tone for an official document? Do visual aids, such as maps and graphs convey key information? Does the report follow Evaluation Office formatting guidelines?	Final report: Concisely written. Good use of tables.	5
OVERALL REPORT QUALITY RATING		**5.4**

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1. The overall quality of the evaluation report is calculated by taking the mean score of all rated quality criteria.

ANNEX VII. EVALUATION MATRIX

	Evaluation questions	**CI Project Team**	**Implementing Actors CA**	**Beneficiaries, private sector, local authorities**	**UNEP Task Manager**	**UNEP finance manager**	**Other actors / Stakeholders**	**Indicators**	**Data Source**
A	**Strategic relevance**								
	Alignment to the UNEP Medium Term Strategy (MTS), Programme of Work (POW) and Strategic Priorities								
1	Are the project objective and set-up consistent with 1) UNEP´s mandate and policies PoW Healthy and productive ecosystems 2) GEF strategic priorities and operational programme?	x			x			Fit of objectives with policy documents	ProDoc, interviews, UNEP programme
	Alignment to Donor/Partner Strategic Priorities								
	To what extend the project objectives are consistent with Environmental policy objectives and strategies in CA countries and adapted to the local context?	x		x			x	Fit of objectives with policy documents	ProDoc, interviews, UNEP programme
	Relevance to Global, Regional, Sub-regional and National Environmental Priorities	x		x	x		x	Fit of objectives with policy documents	ProDoc, interviews, UNEP programmes
3	To what extend the project objectives are consistent with the global needs related to Biodiversity and private sector?	x		x	x		x	perceptions of interview partners	ProDoc, interviews, project reports
4	**To what extent the project objectives are realistic regarding the set-up of the project and the project environment?**	x	x	x	x		x	perceptions of interview partners, project performance	ProDoc, interviews, project reports

	Evaluation questions	CI Project Team	Implementing Actors CA	Beneficiaries, private sector, local authorities	UNEP Task Manager	UNEP finance manager	Other actors / Stakeholders	Indicators	Data Source
5	**Complementarity with Existing Interventions/Coherence of UNEP and other donors / GEF**	x	x	x			x	perceptions of interview partners	interviews,
6	Complementarity / Coherence with UNEP and other GEF projects in the region	x	x	x	x		x	perceptions of interview partners	interviews,
10	Is the stakeholder analysis still appropriate and adequate to support the project's ambitions?	x					x	perceptions of interview partners	interviews, project reports
11	To what extend stakeholders have been involved in project design, implementation, monitoring and reporting?	x	x	x	x		x	perceptions of interview partners	interviews,
B	**Effectiveness: achievements of objectives?**								
	How successful is the project so far in achieving its planned outputs?	x	x	x	x		x	perceptions of interview partners, monitoring data and reports	interviews, project reports
	quantity								
	quality								
	timeline								
	sequence of activities								
	usefulness								
	What have been main external and internal drivers for pushing/ hampering achieving the project output ?	x		x	x			perceptions of interview partners	interviews, project reports
	Has the project structure influenced the achievement of objectives? To what extent the project implementation structure with project implementors, calls for implementing CA and 9 countries contribute to a	x	x	x	x			perceptions of interview partners	interviews, project reports

	Evaluation questions	CI Project Team	Implementing Actors CA	Beneficiaries, private sector, local authorities	UNEP Task Manager	UNEP finance manager	Other actors / Stakeholders	Indicators	Data Source
	relevant project implementation arrangement?								
	To what extends the project achieved its outputs?	x	x	x	x			perceptions of interview partners	interviews, project reports
	quantity								
	quality								
	timeline								
	Project outcomes								
	What evidence is available that the project activities are helping to set up and sustain CA in the communities, build capacities of communities for benefits sharing and beyond like building capacities with local administration?	x	x	x			x	perceptions of interview partners	interviews, project reports
	What evidence is present to suggest that the project builds capacity for dealing with the private sector in communities / builds local SMEs ?	x	x	x			x	perceptions of interview partners	interviews, project reports
	What evidence is available that the Project supports communities to apply biodiversity friendly practices?	x	x	x			x	perceptions of interview partners, ha covered by project interventions	interviews, project reports, site visit
	CA 1: Bolivia		x	x			x	perceptions of interview partners	interviews, project reports
	CA 2 Cambodia		x	x			x	perceptions of interview partners	interviews, project reports

	Evaluation questions	CI Project Team	Implementing Actors CA	Beneficiaries, private sector, local authorities	UNEP Task Manager	UNEP finance manager	Other actors / Stakeholders	Indicators	Data Source
	CA 3 China		x	x			x	perceptions of interview partners	interviews, project reports
	CA 4 Colombia		x	x			x	perceptions of interview partners	interviews, project reports
	CA 5 Ethiopia								
	CA 6 Guatemala								
	CA 7 India								
	CA 8 Peru								
	CA 9 / 10 South Africa								
	Otter CA								
	How have the experiences from the pilot sites so far discussed and exchanged?	x	x	x	x		x	perceptions of interview partners	interviews, project reports
	To what extent and in what ways is the Project providing knowledge about CA to whom? How have the outreach activities been implemented? How have they reached their target group?	x		x				perceptions of interview partners	interviews, project reports
	Where and when have the project results already be shared?	x		x	x		x	perceptions of interview partners	interviews, project reports
	Impact								
	Likelihood of intended, positive impacts like sharing of benefits from natural resources via CA and role of community	x	x	x				perceptions of interview partners	interviews, project reports

	Evaluation questions	**CI Project Team**	**Implementing Actors CA**	**Beneficiaries, private sector, local authorities**	**UNEP Task Manager**	**UNEP finance manager**	**Other actors / Stakeholders**	**Indicators**	**Data Source**
	contribution to SDG and Aichi targets								
	Likelihood of un-intended or impacts on vulnerable groups							perceptions of interview partners	interviews, project reports
	catalytic role, diffusion / replication and scaling up of each CA, at level of CI in regions and international level, beyond CA in conservation community							perceptions of interview partners	interviews, project reports
C	**Financial Management**								
	Sound financial management	x			x	x		perceptions of interview partners	interviews, project reports
	Are financial reporting requirements are being met consistently and to adequate standards by all parties. assessment of whether UNEP's financial management policies and the GEF's fiduciary standards are met	x			x	x		perceptions of interview partners	interviews, project reports
D	**Efficiency**								
	Cost efficiency								
	How would you consider management financial resources in the project?	x	x	x	x			perceptions of interview partners	Interviews and financial project reports
	Are the financial resources sufficient for project execution	x	x	x				perceptions of interview partners	interviews, project reports
	Reasons for delays / time saving measures	x			x			perceptions of interview partners	interviews, project reports
	Management of project extension	x			x	x		perceptions of interview partners	interviews, project reports

	Evaluation questions	CI Project Team	Implementing Actors CA	Beneficiaries, private sector, local authorities	UNEP Task Manager	UNEP finance manager	Other actors / Stakeholders	Indicators	Data Source
E	**Monitoring and reporting**								
	Monitoring of project implementation								
	What is the performance against Core Indicator Targets? (For projects approved prior to GEF-7, these indicators will be identified retrospectively and comments on performance provided). ha covered and number of direct beneficiaries,	x			x			perceptions of interview partners	interviews, project reports
	Quality of baseline data, assessment of project indictors,	x		x			x	perceptions of interview partners	interviews, project reports
	Methods for tracking progress : timely tracking of results and progress towards project milestones and targets throughout the project implementation period.	x		x				perceptions of interview partners	interviews, project reports
	Assessment of monitoring system: Has the project an M&E plan and system? Is there an effective monitoring mechanism for the project's implementation (this is separate from, and supports, reporting in the annual PIR)?	x		x				perceptions of interview partners	interviews, project reports
	funds allocated for monitoring are being used					x		perceptions of interview partners	interviews, project reports
	Have monitoring findings influenced project implementation?	x	x	x				perceptions of interview partners	interviews, project reports
	Project reporting					x		perceptions of interview partners	interviews, project reports
	verifying documentation and reporting i.e. the Project Implementation Reviews, Tracking Tool and CEO Endorsement template and corrective action in PIR					x		perceptions of interview partners	interviews, project reports

	Evaluation questions	CI Project Team	Implementing Actors CA	Beneficiaries, private sector, local authorities	UNEP Task Manager	UNEP finance manager	Other actors / Stakeholders	Indicators	Data Source
F	**Sustainability**								
	To what extent CI and UNEP / GEF and all actors in the project are engaged in participation in the project and implementing / sustaining its results in their own work? knowledge generation and diffusion	x		x			x	perceptions of interview partners, project is mentioned in project partners documents	interviews, project reports, publications of project partners
	Is there sufficient stakeholder engagement in CA implementation in communities? Is there sufficient engagement of implementers for sustaining the results?	x	x	x	x		x	perceptions of interview partners, project is mentioned in documents	interviews, project reports, publications
	Key factors for sustaining the outcomes								
	Has the exit strategy been working and are the elements needed for the project's benefits to be sustained after the project end, being incorporated in the project implementation?	x	x	x			x	perceptions of interview partners	interviews, project reports,
	Financial: To what extend further support is needed to implement the results of the CA in communities how are resources mobilised by private sector and other donors?	x	x	x	x		x	perceptions of interview partners	interviews, project reports,
	Institutional: to what extend the communities and the private sectors will continue the existing CA the pilot regions or extend CA?	x	x	x			x	Number of legislations and institutions	interviews, project reports,
	What are other factors influencing the sustainability of the results?	x	x	x			x	perceptions of interview partners	interviews and other documents
G	**Project performance**								

	Evaluation questions	CI Project Team	Implementing Actors CA	Beneficiaries, private sector, local authorities	UNEP Task Manager	UNEP finance manager	Other actors / Stakeholders	Indicators	Data Source
	Preparation and readiness What factors influenced the project set-up like project design, choice of project partners, allocation of financial resources?	x			x				interviews and other documents, ProDoc
	Are the project´s objectives clear, measurable and feasible within this timeframe?	x			x			perceptions of interview partners	ProDoc and interviews
	Is the project design clear and consistent?	x			x			perceptions of interview partners	ProDoc and interviews
	Were roles of all project actors / partners clearly identified and negotiated prior to project implementation ? Were project partner co-financing and other resources assured? Are roles and responsibilities commonly understood and playing out effectively	x	x	x	x			perceptions of interview partners	ProDoc and interviews
	Project Management and Implementation Are adequate project management arrangements in place?	x	x	x	x			perceptions of interview partners	ProDoc and interviews
	How effective were project implementation arrangements in delivering project outputs and outcomes?	x	x	x	x			perceptions of interview partners	ProDoc and interviews
	How effective was project management by CI International and implementors?	x		x	x			perceptions of interview partners	interviews
	to what extend the steering committee provided guidance and contributes to effective implementation of the project?	x	x	x	x			perceptions of interview partners	interviews, project reports
	Collaboration with UNEP	x						perceptions of interview partners	interviews, project reports

	Evaluation questions	CI Project Team	Implementing Actors CA	Beneficiaries, private sector, local authorities	UNEP Task Manager	UNEP finance manager	Other actors / Stakeholders	Indicators	Data Source
	What were the main operational factors that influence implementation and how project partners and management could influence them?	x	x	x				perceptions of interview partners	interviews, project reports
	Stakeholder participation What approaches were used to identify and engage stakeholder other than project partners in project design and implementation? How effective is collaboration? (especially at project sites) , support given to maximise collaboration and coherence between various stakeholders, including sharing plans, pooling resources and exchanging learning and expertise. The inclusion and participation of all differentiated groups, including gender groups, What has been the progress, challenges and outcomes regarding engagement of stakeholders in the project/program?	x	x	x			x	perceptions of interview partners	interviews, project reports
	Country ownership Ownership: How effective have all project partners been in executing the project?	x			x			perceptions of interview partners	interviews, project reports
	How have human rights and gender equality been take into account (gender sensitive indicators and actions) , access to resources								
	Have plans for inclusivity (human rights, gender considerations, disability inclusion, etc.) been implemented as planned, What has been the progress, challenges and outcomes regarding gender-responsive measures and any intermediate gender result areas?	x	x	x			x	perceptions of interview partners	ProDoc and interviews , documents and products of the project

	Evaluation questions	CI Project Team	Implementing Actors CA	Beneficiaries, private sector, local authorities	UNEP Task Manager	UNEP finance manager	Other actors / Stakeholders	Indicators	Data Source
	Communication and Public Awareness What has been the progress, challenges and outcomes regarding the implementation of the project's Knowledge Management Approach, including: Knowledge and Learning Deliverables (e.g., website/platform development); Knowledge Products/Events; Communication Strategy; Lessons Learned and Good Practice; Adaptive Management Actions.)	x		x			x	perceptions of interview partners	ProDoc and interviews
	ESG Are safeguard identification and mitigation plans being monitored and steps taken to minimize negative effects? What has been the experience at the project's mid-point against the Safeguards Plan submitted at CEO Approval? The risk classifications reported in the latest PIR report should be verified and any measures taken	x			x			perceptions of interview partners	interviews, project reports
	What changes were made to adapt to the effects of COVID-19?							perceptions of interview partners	interviews, project reports