



United Nations Environment Programme

**Terminal Evaluation of the
UNEP/GEF project GF/CP/2010-05-04 (4879) Indigenous
Peoples' Network for Change**

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June 2010

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I. EXECUTIVE SUMMARY

This terminal evaluation assesses the effectiveness and impact of the Project: *Indigenous Peoples Network for Change* – a project aimed at advancing the conservation and sustainable use of biodiversity by strengthening the capacity and knowledge of indigenous peoples to participate in processes surrounding the Convention on Biological Diversity (CBD) and other relevant international instruments, including the Global Environment Facility GEF.

The evaluation was conducted a year after the completion of the project and suffered from limited access to the project staff who all now have new posts – although several were able to help from their new positions. However, despite this limitation, the evaluation has managed to yield useful insights. The evaluation was mainly based on evaluating the opinions of some key stakeholders, an analysis of the documentation produced during the project, and some documentation relating to activities. Based on the evidence gathered the project is rated as Moderately Unsatisfactory. Although the formal rating will disappoint some in the project it should not be taken as failure - rather a stimulus to better formulation in the future.

Primary reasons for that rating include the poor development and sustainability of the Information Management System, no evidence that the acknowledged increased IP attendance at CBD meetings was due to the project, that too few people were funded to directly attend meetings of CBD & GEF, the coverage of less than half of the countries originally envisaged to be in the project, and poor initial project design. The projects sustainability is not assured, although some key players have ensured successful continuation of some work elements. Weak links with national focal points for CBD and GEF, leading to lack of awareness of the project in these offices also contributed.

Despite these somewhat negative aspects of performance Community radio programs in East Africa and Central America proved very successful and some still continue, publications in local and in some cases indigenous languages have helped convey the messages of the project to the broader Indigenous community, and all involved in the project continue to be enthusiastic about it. The key issue that kept emerging in the evaluation was the clash between the worldviews of the Indigenous Peoples (Cosmovision in their terms) and the worldviews of governments and international organisations. A legacy of the project will be to ensure that better cross-cultural dialogues continue connecting indigenous wisdom in biodiversity conservation and management to that already enshrined in the Multilateral Environmental Agreements.

II. INTRODUCTION AND BACKGROUND

The Convention on Biological Diversity (CBD), through section (j) of Article 8 on *in-situ* conservation¹ remains one of the few Multilateral Environmental Agreements (MEAs) which explicitly recognise the knowledge of Indigenous Peoples (IPs) concerning the Environment; explicitly, conservation, sustainable management and sharing of benefits of biological diversity.

In the preambular text to the CBD (done at Rio de Janeiro 5 June 1992) we read:

Recognizing the close and traditional dependence of many indigenous and local communities embodying traditional lifestyles on biological resources, and the desirability of sharing equitably benefits arising from the use of traditional knowledge, innovations and practices relevant to the conservation of biological diversity and the sustainable use of its components.

Recognizing also the vital role that women play in the conservation and sustainable use of biological diversity and affirming the need for the full participation of women at all levels of policy-making and implementation for biological diversity conservation,

Recognizing the close and traditional dependence of many indigenous and local communities embodying traditional lifestyles on biological resources, and the desirability of sharing equitably benefits arising from the use of traditional knowledge, innovations and practices relevant to the conservation of biological diversity and the sustainable use of its components.

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These paragraphs explicitly identify the role that Indigenous Peoples, especially women, have to play in global stewardship of Biological diversity. Accordingly, in the GEF's Operational Programs on biodiversity, sustainable use and strengthening participation of indigenous and local communities is emphasized. Article 8(j) and related provisions of the CBD dealing with traditional knowledge commit Governments and Contracting Parties to:

- establish mechanisms to ensure the effective participation of indigenous and local communities in decision-making and policy planning;

¹ Subject to its national legislation, respect, preserve and maintain knowledge, innovations and practices of indigenous and local communities embodying traditional lifestyles relevant for the conservation and sustainable use of biological diversity and promote their wider application with the approval and involvement of the holders of such knowledge, innovations and practices and encourage the equitable sharing of the benefits arising from the utilization of such knowledge, innovations and practices.

- respect, preserve and maintain traditional knowledge relevant to the conservation and sustainable use of biological diversity;
- promote wider application of traditional knowledge concerning biological diversity with the approval and involvement of the indigenous and local communities concerned; and
- encourage the equitable sharing of the benefits arising from the utilization of such traditional knowledge.

An International Indigenous Forum on Biodiversity (IIFB) was established in 1996 during CBD COP 3 to represent indigenous people in different CBD and GEF fora as a key NGO providing advice to the Parties and other CBD Actors in the implementation of the Article 8(j) and related provisions. Despite this explicit article, and the existence of IIFB there still remains considerable ignorance of the role of the CBD and GEF among Indigenous peoples, particularly the key role the Convention accords Indigenous peoples.

The Project “**Indigenous Peoples’ Network for Change**”² was a global indigenous peoples’ initiative developed to change this situation. The project was a collaborative exercise between key indigenous leaders, Indigenous Peoples’ organizations on a national and regional level, with the International Alliance of Indigenous and Tribal Peoples of the Tropical Forests (IAITPTF) playing a key role.

Recognising that true participation can come only from better understanding and engagement, the IAITPTF worked with the UNEP and the GEF, for project development and funding to promote increased participation by indigenous peoples in the CBD processes.

The project relates to a number of priorities in GEF-3 Biodiversity Directions and Targets. Furthermore, the project if implemented fully would support OP #1-4 that supports “capacity building efforts that promote the preservation and maintenance of indigenous and local communities knowledge, innovation, and practices relevant to conservation of biological diversity conservation, with their prior informed consent and participation”. “And, with respect to OP #13, under creating new incentives: “particular attention to indigenous groups and rural communities who maintain agricultural biodiversity of global importance through their farming practices”.

The project document notes four key outcomes to be achieved:

1. Increased awareness and capacity of indigenous peoples, with particular focus on indigenous women, with respect to the CBD and the GEF and their processes.
2. Increased contribution to and participation in CBD and GEF processes at national, regional and international levels by Indigenous peoples, particularly women.
3. Effective regional and international coordination of indigenous peoples’ interaction with the CBD and the GEF

² Project Number GF/CP/2010-05-0404(4879)

4. Establish strategic partnerships and improved existing partnerships leading to a greater participation and emphasis on Indigenous Peoples' role in conservation and sustainable management of biodiversity resources.

Point 4 above, and the Logical Framework of the project makes it clear that the goal (i.e. the Global Environmental Benefit - GEB) of the project was to *advance the conservation and sustainable use of biodiversity through effective participation and strengthened communications capacity of indigenous peoples*. This was of course a highly ambitious outcome and appears not to have been fully understood as the proposed end result in further designing and managing the project through its life. To achieve such an outcome would need greater engagement by national authorities in all participating countries.

The project began with a total of 61 CBD Party states³ in which International Alliance of Indigenous and Tribal Peoples of the Tropical Forest (IAITPTF) members reside. Russia was included as a Party state in which the project was active, by links between the Russian Association of the Indigenous Peoples of the North (RAIPON) and IAITPTF, but at the outset the number of participating countries was expected to change following new membership. The project document clearly stated that: *this project is driven fundamentally by the stated needs of indigenous peoples in a total of 61 countries*. Thus there is already an issue of relationship between the national authorities for the CBD/GEF and Indigenous organisations.

GEF approved the *Indigenous Peoples' Network for Change* project (IPNC) in August 2005.

The project duration was three years (36 months), from October 2005 – September 2008. The project was funded by GEF, the Norwegian Agency for Development Cooperation (NORAD) and the Dutch Organization for International Development Cooperation (NOVIB), and in-kind contributions. The total budget of the project was: USD 1,444,436; GEF contribution is: USD 938,844 (including USD25K as PDF A) with USD 505,592 as co-financing. There was a proposal that GTZ would also support through co-financing activities in Latin America, but these funds were not, in the end, committed.

III. SCOPE, OBJECTIVE AND METHODS

³ East Africa: Kenya, Tanzania, Uganda, Ethiopia, Somalia and southern Sudan; Central Africa: Rwanda, the Democratic Republic of the Congo, Burundi, Congo Brazzaville, the Central African Republic, Gabon and Cameroon; West Africa: Nigeria, Togo, Ghana, Benin, Sierra Leone, Niger, Gambia, Senegal, Liberia; South Asia: India, Nepal, Bangladesh, Bhutan, Sri Lanka, Pakistan; Southeast Asia: Cambodia, Lao PDR, Thailand, Burma and Viet Nam; Pacific: Fiji, Vanuatu, Solomon Islands, Papua New Guinea, New Caledonia; Central America: Mexico, Costa Rica, Guatemala, El Salvador, Belize, Honduras, Nicaragua and Panama; South America: Brazil, Surinam, Guyana, French Guyana, Colombia, Venezuela, Ecuador, Paraguay, Argentina, Peru, Bolivia; East Asia : Philippines, Malaysia and Indonesia; Russia

The project document specifies that a Mid-term Evaluation of the UNEP/GEF project *Indigenous Peoples' Network for Change* (IPNC) shall be undertaken. In accordance with this, UNEP/GEF commissioned an independent Mid-term Evaluation. This was carried out during the period of November 2007 – January 2008.

This Terminal Evaluation took place between January 4 and March 17 2010, against the Terms of Reference at ANNEXE 8. UNEP-Evaluation Office had decided that the evaluation should be based on a review of project documents and field visits. Accordingly, the evaluation methods included:

Initial consultations and communications with UNEP-Evaluation Office (Nairobi);

Field visits to:

- The UNEP-GEF office, Bangkok Thailand, 18 -19 January, for discussions with the UNEP-GEF Task Manager and to review published materials
- Chaing Mai, Thailand January 20, to interview key members of the project team (a full list of persons interviewed is at ANNEXE 1); Interviews focused on identifying achieved project outcomes and believed impacts
- Nairobi (January 26/27) for discussions with UNEP- Evaluation Office, and the IIN, a regional partner for East Africa.

Desk review of documents, including:

- 📖 UNEP/GEF Project Documentation
- 📖 Terms of Reference
- 📖 Monitoring reports
- 📖 Narrative and Financial Reports submitted to UNEP
- 📖 The Memorandum of Understanding with GEF-SGP (UNDP)
- 📖 Financial Reports; and
- 📖 Other Project-Related Material Produced by the Project or Partners.

Desktop RoTI Analysis (see attached document)

This analysis helped inform the evaluation and the writing of this report, including identifying lessons learned.

Follow up work:

- Phone Conversations were held with the former Project Officer (now in the Philippines) and the Regional Coordinator for Central America in Panama.
- Advice was also sought from the former desk officer at NOVIB, a key co-financing institution.
- Short e-questionnaires (see ANNEXE 2) were sent to GEF Operational focal points and CBD focal points of sub-set of the countries⁴.

⁴ East Africa: Kenya, Tanzania, Uganda, Somalia; Central Africa: the Democratic Republic of the Congo, Burundi, the Central African Republic, Gabon and Cameroon; West Africa: Ghana, Benin, Niger, Gambia,;

- Phone Interviews and e-mail exchanges were also held with members of the GEF-SGP secretariat at UNDP in New York.

The objective of this terminal evaluation was to examine the extent and magnitude of any project impacts to date and determine the likelihood of future impacts. The evaluation also examined project performance and the implementation of planned project activities and planned outputs against actual results. The evaluation focussed on the following main questions:

- To what extent has the project increased awareness and capacity of indigenous peoples (with particular focus on indigenous women) with respect to the CBD and the GEF and their processes?
- To what extent has the project increased contribution to and participation in CBD and GEF processes at national, regional and international levels by Indigenous peoples, particularly women?
- What measures has the project put in place for effective on-going regional and international coordination of indigenous peoples' interaction with the CBD and the GEF?
- To what extent has the project established strategic partnerships and improved existing partnerships to promote greater participation and emphasis on Indigenous Peoples' role in the conservation and sustainable management of biodiversity (so-called Global Environmental Benefit)?

IV. PROJECT PERFORMANCE AND IMPACT

This has been quite a difficult project to evaluate for a number of reasons. The most important was the time since the project finished, during which time much of the visible footprint of the project (websites) had disappeared, and many of the key actors, especially the Project Coordinator had moved on. But these are normal evaluation issues – what is most striking about this project is what I will call “cultural mismatch”

The project document has a description of the project as follows:

Project activities will catalyze increased sustainability for conservation and sustainable use of areas with globally significant biodiversity. The project will effect the removal of barriers to participation of indigenous groups with respect to ongoing dialogue, management efforts and project development affecting globally significant areas. The project will also provide support for the sharing of knowledge and replication of success stories amongst indigenous groups, improving dissemination tools and strengthening a burgeoning indigenous peoples knowledge network for biodiversity. The past 10 years have highlighted the vital role and contributions of indigenous peoples to sustainable development. Indigenous peoples

South Asia: India, Nepal, Bangladesh,; Southeast Asia: Cambodia, Lao PDR, Thailand,; Pacific: Fiji, Vanuatu, Papua New Guinea, New Caledonia; Central America: Mexico, Costa Rica, Guatemala, Belize, Panama; South America: Brazil, Guyana, Ecuador,; East Asia : Philippines, Malaysia and Indonesia

*comprise five per cent of the world's population but embody 80 per cent of the world's cultural diversity. They are estimated to occupy 20% of the world's land surface but nurture 80% of the world's biodiversity on ancestral lands and territories. Rainforests of the Amazon, Central Africa, Asia and Melanesia are home to over half of the total global spectrum of indigenous peoples and at the same time contain some of the highest species biodiversity in the world. Likewise, the traditional use of natural resources within vast areas Russian boreal forest and tundra support more than two third wildlife resources of Eurasia. **The project will assist in maintaining a good balance between social, cultural and ecological interests within these areas by ensuring the effective participation of indigenous peoples in planning of future biodiversity management strategies.***

It is clear from this description that at inception the project envisaged greater involvement of indigenous peoples in conservation and sustainable use of areas with globally significant biodiversity; something really needed in the task of improving global performance in biodiversity conservation, management and benefit sharing. The problem is this expectation was difficult to realise in the project as actually funded. There are several reasons for this, including normal issues of project management and agency interaction. But I am of the view that a primary issue, which needs to be made clear at the outset, is the one of cultural mismatch. And it should be understood that this is not a question of blame or even failure, but lack of recognition of the very different expectations and aspirations of all the actors, reading from different scripts.

I quote again from the project document:

Indigenous peoples have a special, distinct and holistic relationship with nature and have developed, protected and conserved the diversity of biological species throughout the centuries. Diversity is just as natural to indigenous peoples as nature itself; it is a way of living, a condition as well as a consequence for indigenous peoples' traditional lifestyles. Biodiversity cannot thrive without the peoples that cared for it and the other way around; biodiversity cannot exist outside its natural context nor without its caretakers. Nature, biodiversity, indigenous peoples and lands are inseparable.

This cosmovision has not been understood by Western science and technology. Indigenous peoples have not been consulted in the negotiations leading to environmental (and other) international instruments, nor been given the opportunity to participate in the discussions and negotiations regarding the implementation of these instruments. To the contrary, the implementation of these conventions, including the Convention on Biological Diversity (CBD), has in many instances led to violation of indigenous peoples' rights, further marginalizing indigenous peoples in national and international discussions and decision-taking, displacement of indigenous peoples' from their traditional territories, destruction of norms and values, corrupting indigenous peoples' cultures, weakening and fragmentation of traditional knowledge systems and practices, commercialization and misappropriation of knowledge and even military violence against 'non-cooperative' indigenous peoples.

At the outset it rapidly became clear that expectation and achievement by the Executing Agency (International Alliance of Indigenous and Tribal Peoples of the Tropical Forests - IAITPTF) were rather necessarily different from that of the IA (UNEP-GEF) and the

many other international institutions and agencies with which the project had to engage. This is a common complaint among Indigenous peoples (IPs) and a feature of their interactions with international agencies, or national agencies with a largely western or western-oriented culture.

Just one example will suffice to illustrate at this stage – an exchange recorded in the draft January – July 2006 report between project coordinator and Task manager at the time:

Project Coordinator:

The other regions are progressing in their work and more can be reported at the end of the year. It should be recognized that the Project is still in its initial stages and it will take some time for it to be fully operational. Additionally, the complexity of the situation faced by indigenous communities on a daily level necessitates a more flexible approach in terms of deadlines and formats.

Task Manager:

Completely understand -- but regions must likewise understand the demands of international funding reporting and provide substantively more details and accountability for transferred GEF funds.

While this seems to represent some level of understanding of each other's positions in fact these issues continue in many ways throughout the projects life, despite also many productive interactions when needed. But this, in the end, has coloured how the project has evolved, its successes and failures. The problem in evaluating the project is also that while the evaluation criteria are clear, they do not allow for easy evaluation of a project with such different cultural bases. This explains why the project is very clearly moderately unsuccessful on objective grounds; yet the many Indigenous participants feel it has been a success, and they have made considerable achievements – sentiments which I can understand, even agree, but not within the framework of the current evaluation process.

A. Attainment of objectives and planned results:

The key actors see the project as having been successful, possibly with some reservations. Yet the objective analysis will show that with a few exceptions the project did not deliver its outcomes, and certainly did not, and now is unlikely to, deliver its promised GEB.

According to the project document, Sixty-one (61) Countries were to have formed part of this project, with more added as the project wore on. In fact around 33 countries at most were featured in the end, and apparently none from the viewpoint of national focal points for CBD or GEF. The IA did not see this as an issue since the project had only a relatively low level of funding, and there was anyway contribution of voluntary labour in many cases – but the fact remains that the project was *defined* as involving at least 61 countries. In fact even the 33 who could be counted, as being involved in some way do not represent where the true effort came from – a much smaller group.

A key issue for this evaluation is the lack of baseline data. In the January – June 2006 report to UNEP the following exchanges can be seen:

Project report:

This objective (Increased awareness of Indigenous Peoples, with particular focus on Indigenous Women, regarding CBD and GEF processes) has broadly been met through various means at the on-set of the Project, a project brochure has been printed and widely disseminated among Indigenous organizations. The regional focal points have also disseminated information on the CBD and related processes to their network members. The regional coordinators, as well as the secretariat members have utilized all possible for a, such as participation in seminars and conferences, to disseminate information about the project and the CBD in general.

Task manager comment:

This is not correct. There are mountains of work to be done before measurable changes in awareness of indigenous peoples globally, in the context of this project, can be measured. And, in order to measure, the IPNC project first needs a baseline. It might be more realistic to say that this has been initiated, “not broadly met...” and then in the sections below detail the products and how many persons (in real #s) have been reached...

And later when looking at the specific actions undertaken:

Action:

Survey questionnaire prepared and translated into the three project languages along with some regional languages.

Result:

Questionnaire was disseminated among different organizations in the regions but feedback has been very little.

Task manager's comments:

This is disastrous. *If the questionnaire constitutes the baseline of this project and the means to measure its impact and success, regions should be VERY pro-active in collecting as many responses as possible from their current and expanded memberships. UNEP requests an interim updated report on the status of this item from individual Regions by September 21 2006.*

This matter is taken up again in the mid-term evaluation with the following conclusions (italicised emphases mine):

In January 2006, the Project Secretariat developed and distributed a questionnaire to all participating regions, aimed at gauging the level of awareness by indigenous individuals and organizations on CBD and GEF processes. The deadline for responding to the survey was set 27 March (sic) 2006.

According to the survey summary, 76 responses were received, from 14 countries in 8 regions. Responses were only received from 14 out of 61 participating countries; there were no responses from Central America and Russia.

The existing baseline data *provides inadequate information on baseline conditions about the level of awareness by indigenous individuals and organizations on CBD and GEF processes prior to the commencement of the IPNC project, in particular due to the following reasons:*

- The aim of the questionnaire/survey was to determine the level of knowledge and awareness about CBD and GEF among indigenous individuals and organizations. *However, the survey findings do not specify whether the received responses are from indigenous individuals or organizations;*
- Responses to the survey were received from 8 out of 10 participating regions (80%);
- *Responses to the survey were received from only 14 out of 61 participating countries (23%); AND*
- *The IPNC has not conducted any form of mid-term survey to determine whether the IPNC has contributed with increased knowledge and awareness about CBD and GEF processes.*

The UNEP TM brought this to the attention of IPNC repeatedly and agreement was reached during SC meetings to conduct a midterm survey. When this was not done it was agreed and modified into the targeted end-of-project impact survey. This was not conducted by the project secretariat either).

We are left thus with only a “feel-good” factor that something good has happened, with no possibility to measure it.

The Mid-term Evaluation concluded at the time (late 2007) that there were inadequate baseline data, and the fact that no mid-term survey has been undertaken, made it difficult to use baseline data in the mid-term evaluation of the project; but that although the existing baseline data were inadequate they **did** support the fundamental assumption and justification for the project; i.e. that indigenous peoples’ knowledge and awareness of the CBD and the GEF is weak.

Thus the project started from an unquantified and unmeasured assumption that all felt was justified, but any results can also only be judged therefore in the most qualitative terms.

With that important background, four outcomes of the project are examined *seriatim* and their success or failure evaluated.

Outcome 1

Increased awareness of indigenous peoples, with particular focus on indigenous women, with respect to the CBD and the GEF and their processes

This was a key element of the project, designed to provide materials and experiences to the broader Indigenous community about the CBD and the GEF, with a view to making their daily contributions to biodiversity conservation and sustainable use relevant in the global context of the Convention and GEF programmes.

Chief among the mechanisms chosen to promote this awareness was a global web-site, production of simplified materials on the convention, use of community radio programmes (including provision of equipment) and the holding of regional capacity building workshops.

1.1 Global website.

This was little short of a disaster. The original intent was to develop a global website that would be used by all the regions as a means of sharing information and communicating different concerns – as well as presumably advertising the project more widely; in short an Information Management System (IMS). Accordingly, during the first year of the project, the Information Officer based in Russia developed a website www.ipnc.org which was also intended to serve as the main information management system. Apparently, this did not work out because of language issues and the cost of hosting a website in Russia.

The problems in dealing with the Russian organisation RAIPON are documented in the reports to UNEP, and highlighted in the mid-term evaluation.

That evaluation reported:

- 1) The IPNC IMS has not been developed as envisaged in the project document, and this has a negative impact on the project's ability to increase awareness and capacity of Indigenous Peoples with regard to CBD and GEF processes;
- 2) However, the reorganization of the information management system through the use of continental websites mitigates the problem to a certain degree;
- 3) In light of the fact that the centralized information management system for the project is not working, the corrective action through which website management funds were reallocated from RAIPON to regionalized websites seems justified;
- 4) An unforeseen – and indirect positive impact - of steps taken to resolve this situation has resulted in the development of information management systems in the three regions/continents in order to maintain and strengthen the information management system of the project.
- 5) However, this decentralized information management system makes it more difficult to coordinate information activities and exercise control on the quality of information outputs. This problem should be addressed by the Project Management Committee as soon as possible with the aim to provide the Project Secretariat with guidance on how to ensure effective coordination and quality control.

After months of delays, lack of follow up by RAIPON to requests made by the secretariat, and a general reluctance of RAIPON to serve the needs of the global IP community, the PMC suggested the development of continental websites would better address the specific needs and situation of the regions. The Task manager at UNEP-GEF apparently also suggested considering different scenarios of running the regional websites including cost recovery, but this choice was not accepted by the project secretariat.

Thus, instead of just one website, four were eventually developed – www.ipnc-asiapacific.org, www.ipnc-africa.org, www.rpic.org and www.ipnc.org which was to function for the Russian region. The website of the International Alliance (www.international-alliance.org/network_for_change.htm) was utilized as the global website for sharing information amongst all the network members. This latter web site has not been updated since 2007 (checked March 16 2010). The RAIPON site (www.raipon.org) currently makes no mention of IPNC.

However these websites were not very much utilized largely because, according to the Project manager “Internet communication is not very common among indigenous communities. Access to Internet and computers is limited to those in the urban areas and consequently the websites were under-utilized.” Prior recognition and understanding of

this issue in designing the project would have saved considerably on chasing will-o'-the-wisps and wasting scarce resources over at least half the project timeframe.

Currently if you click on;

www.ipnc.org you are directed to the website of the International Pinot Noir Celebration, 2010; www.ipnc-asiapacific.org returns *server not found*; www.ipnc-africa.org is still under construction, but has advanced slightly between a draft of this report and its finalisation, www.rpic.org is a commercial site for digital imagery.

This aspect of the project has been thus quite ineffective, with little benefits for the Indigenous communities. It was potentially one aspect where the IPNC could have been sustainable, potentially attracting further funding, but the lapse of the domain names (which are really not expensive to maintain) has simply been a waste of resources. Funding supplied to RAIPON was clearly not well managed, and the product simply unusable. The mid-term evaluator's view that the proliferation of sites was a potential benefit was too hasty, as the current situation shows.

If proper thought had been given during project design to the penetration of the Internet in the target communities then this element would not have been embarked upon – and certainly not using an organization whose attitudes, culture, methodology and language seem vastly different from those of the IA. In terms of effectiveness, relevance and efficiency this key aspect of the project is unsatisfactory.

1.2 Simplification and translation of relevant materials for regional dissemination including indigenous publications with CBD and GEF related information, e-mail lists and e-groups, number of other information exchange activities.

A booklet on simplifying the CBD (*From Text to Action*,) was prepared and published during the first year of the project. It is a pity that the opportunity for using “plain language” to convey the complicated messages of the CBD was not used more extensively. This publication was available for the regional seminars on the CBD and was subsequently translated into Bahasa, Nepali, Spanish, French, Thai, and Kiswahili. There are no available metrics to evaluate the use and acceptability of the publication among the target audience, although sufficient copies in English are available for continued use. The work was reprinted in 2009 English only.

A separate tool kit on the CBD was also prepared and published in Russian – although the evaluator has not been able to sight this, or any other putative Russian materials.

In Nepal, Bangladesh, Thailand and the Philippines, various posters and flyers were published and used on several separate occasions where indigenous issues were discussed. These materials are in the local languages. Materials were explained in various local languages in Thailand, and in East Africa materials were (and continue to be) made available in a number of local languages {Turkana, Burana, Somali (Somalia), Masai

(Kenya, Tanzania) Rendille (Ethiopia) Batwa (Uganda), Karalojong (Uganda)}. This also links to Radio programmes described below.

A set of papers used in various ways (see table below) was published in 2008 as *Enhancing Indigenous Participation in the Convention on Biological Diversity*. The contents are:

| Theme | Author | Used In |
|---------------------------------------|-------------------------------|---|
| Access and Benefit Sharing (2 papers) | Lourdes Amos, Le'ah Kanehe | Working Group meetings and CoP9 |
| Protected Areas | Jannie Lasimbang | Working Group meeting on Protected Areas and CoP9 |
| Climate Change and Biodiversity | Johnson Cerda | SBSTTA12 CBD CoP9 UNFCCC CoP13 |
| Traditional Knowledge | Estebancio Castro-Diaz | Working Group meetings |

Here we see an unexplained issue – the introduction of climate change and meetings associated with UNFCCC as part of this process. This was not in the original project proposal and appears to have happened in response to the REDD discussions in UNFCCC.

This is further discussed under section 2.4. This situation is also reflected further in the draft education module on “*climate change, biodiversity and indigenous peoples*” produced and apparently pilot tested in Asia and was subsequently distributed to the other regions for further enrichment. This module is still awaiting funding for further development, but is of potentially high quality. However it is outside the boundaries of the original GEF proposal.

In addition there are two collected volumes of papers on issues of Indigenous peoples and Biodiversity published as *Custodians of Biodiversity*. These were published in 2009, after the project had finished, but the materials were used beforehand in various regional meetings. The publications represent a token of the work achieved under this element of the project and are:

Volume 1.

CBD in Nepal
Forest resources in Modhupur forest Bangladesh
Assessing IP participation in CBD.

Volume 2.

Saving trees, saving knowledge
Marine issues
Oil exploration and CBD
Shrinking customary forests
Erasing native lands
Ruined lands and livelihoods.

An additional **unpublished** document for the ASEAN region on human rights issues and Indigenous peoples (UN-DRIP) was prepared, but its links to the project are not clear.

Other **unpublished** work included *Case studies*;

In Thai – Joint management of Protected Areas in Thailand
Indigenous peoples and Protected Areas in Kenya, Tanzania and Uganda
Indigenous peoples and Inland waters in Kenya, Tanzania and Uganda
Nicaragua: Traditional Knowledge & biodiversity conservation

and

Reports from regional workshops:

Pacific
Nusantara
W Africa
RAIPON
SE Asia
South America
Central America

and 2 CDs

Tamang folktunes (Nepali)
Bang's Jabitchim (folksongs, Bangladesh)

The published works do show achievement under this aim, and it seems that much informal work was also achieved in some areas using local (often unwritten) languages to convey the messages of the project. The problem is that most of the work is inaccessible now, and is not being updated.

1.3 Community radio programs established in Central America, and two other pilot areas for new media materials selected.

Radio programmes have been used very effectively in East Africa. Based on this success, the project re-aligned additional funds to this activity during 2007 and 2008. The Kenya Broadcasting Corporation has presented a weekly program on biodiversity-indigenous issues, broadcast widely in eastern African with reception in Ethiopia, Somalia, Uganda and Tanzania as well. These broadcasts were in English, Kiswahili and sometimes in local languages.

There seems some ambiguity whether the Radio station was paid for the transmissions. In any event, these transmissions appeared to be successful. Women's groups in villages, who do not always get to hear the broadcast when it is made, were provided with cassette recorders, and cassette recordings made of the broadcasts and distributed so village woman could listen and discuss the issues when meeting. In this way the success of the immediate broadcast was made specifically available to women, one of the target groups.

In Panama and Guatemala there were also radio programmes held, talking weekly about biodiversity issues. The project helped in the early stages with these programmes, and in Panama they still continue with no further support. The Final project report has a quote that illustrates the value of this exercise:

"Our community does not have television, we only have the radio. Every Sunday we listen to the radio program of the Alliance "Sendero de la Biodiversidad" We have learned that it is not just us Kuna who live with the land. It is good to know others also live like us."

---comments from a Kuna elder made during the visit of the project coordinator in Panama in 2007

Radio broadcasting was also done in Philippines and Thailand. In South Asia tapes and CDs of traditional folklore were produced and disseminated to schools to increase interest in conserving Traditional Knowledge, although how much this relates to outcomes of the project remains unclear

This does seem to be an effective way to get the messages across, especially so in East Africa and Central America.

1.4 Eight continental / regional capacity building workshops held in year 2 and 3, rotating in continental groupings

Fifteen such meetings, thus exceeding the target, were held during the course of the project, as detailed in ANNEXE 4.

A number of these meetings were held as preparatory for CBD COP9. The RAIPON meeting does not seem to be in context with the rest of these meetings. A clear factor emerging from the meetings was the need to engage Youth. Meetings focussing on youth issues and with young participants were held in Asia and in Central America.

The target number of meetings was clearly achieved, but the heterogeneity of the topics discussed does not allow a clear evaluation of the success of all of them. The fact that four of the meetings were focussed on COP9 was useful and no doubt helpful to those attending. Some other meetings seemed to blur discussions in the framework of the project with organisational matters for the sponsoring organisation – while little damage

overall flows from such actions it is not a desirable practice to mix issues in this way. More explicit focus on current activities of the CBD, and certainly more on GEF would have made these meetings consonant with the project aims.

Outcome 2.

Increased contribution to and participation in CBD and GEF processes at national, regional and international levels by Indigenous peoples, particularly women.

2.1 Establishment and functioning of a gender-balanced multidisciplinary indigenous advisory expert group.

According to the Project Document, the particular role of the Advisory Expert Group was to provide the IPNC with a multi-disciplinary indigenous advisory/expert body to support its work.

The Advisory Expert Group was not established however, following a decision of the PMC meeting in 2007 to suspend this task, as it was expected that other bodies, experts and networks would carry out this function. It was not especially clear however, how this would happen, and such a group could have helped the project significantly by bringing relevant technical and substantive experience to project implementation. The project document clearly shows a role for this group in the management of the project.

The Mid term Evaluation also noted this non-establishment was a retrograde step, but by then it was too late to reverse the decision.

2.2 Consistent and regular attendance in all IIFB meetings, CBD related meetings and GEF meetings (as appropriate) by member organizations in the project

It has been difficult to find quantitative data on these issues, although the interviewees suggested that this was a successful activity. The interviews and the final report also note the problems associated with travel, acquisition of visas etc. One especially difficult issue was stated in the final report as follows:

Another limiting factor is the unstable political situation in many of the countries where the indigenous peoples are originating from. In end 2008, the entire SEA contingent for the CoP14 of the UNFCCC were stranded in Bangkok, Thailand due to the seizure of the international airport by protestors. This was not the only incident where indigenous representatives were denied the opportunity to participate in meetings, it also happened in Indonesia and in Nigeria.

But it seems that at least some participation did ensue eventually. Apart from emphasising the difficulties with travel, it also highlights the questionable need to attend UNFCCC meetings, rather than CBD/GEF related meetings.

One other issue was that the participation of women was not at a high level in many cases. Far from placing the emphasis on women, it seems for most activities, including this one; women were often below 50% of participants.

The final report notes that there was a larger number of IPs than ever attending COP9 but it's not clear this is a direct result of this project, and there is of course no way to measure this as a potential effect of the project. This comment refers to the general statement of IPs attending COP9, not the specific persons sponsored by the project, which are detailed later in the report. It is also clear that many IPs attending are actually becoming disenchanted with the whole CBD process.

This is borne out in a quote in the Final project report:

***“Lack of organization:** even though the IIFB has periodic meetings and there are key people following different processes, there seems to be a lack of organization which causes the IIFB to be weak in certain areas. This can cause in the mid and long term, the IIFB to lose credibility within Indigenous Peoples and also to outside organizations and/or states.*

Certain people seem to be overloaded with work, whilst others don't seem to have any responsibility whatsoever. “

Observation by an indigenous youth representative during CoP9, Bonn, May 2008

Not only does this validate the observation above, it indicates a worrying trend, that it is the Young participants who are observing this tendency. It also shows that dependence of IPs on the IIFB may not, in the end, be the way to achieve the aims and objectives of IPs globally. Simply reading statements to the assembled delegates at a COP does not itself change much. Other comments in the report and from the interviews show frustration that IIFB remarks are ignored in subsequent decisions – particularly in the case of the debates on Protected Areas.

While regional capacity building seminars were helpful in preparing new representatives, there is so much more that needs to be done.

The final report has another comment from an Indigenous youth representative:

“There are young indigenous people that are fighting against mining and logging companies which don't know the Convention which could be of use for their struggles. They are keen on learning more about it and use it as a tool for their struggles.”

observation from the Indigenous Youth Seminar.

This comment is important as it shows how quickly participants can be disenfranchised.

Taken together these points illustrate a weakness in the project design, in that more attention might have been given to working alongside member governments of the CBD who would be prepared to transmit IP concerns into subsequent decisions, in the way the Final Project Report indicates that:

A notable development in indigenous participation in the CBD process is the very visible and organized efforts by indigenous representatives from Africa to dialogue with their governments at these international meetings. In CoP9 as well as in the WG on ABS meetings, indigenous representatives had almost daily meetings with the Africa government's bloc. This was very positive as it provided new avenues for influencing the decision-making processes. This is a good indication of the increased level of awareness in lobby work among African indigenous peoples.

Despite those remarks, again this is a cultural issue where many IPs feel that dealing with national governments will not yield rewards – yet in the end that is the only way Convention processes can be influenced. Although I received only 4 responses from my questionnaires to focal points, none had heard of the project. That there were only four responses is testimony to the project's lack of visibility among national focal points, an especially weak result. This poor response could be because GEF OFP are certainly not yet up to speed to see project monitoring and review as their task and as such may be reluctant to respond to an independent TE reviewer. This is targeted to change under GEF V through clearer roles of GEF focal points, and should help further reviews. CBD focal points, on the other hand should have been very aware of the project and its actual and potential effects on their activities.

One disappointing aspect of the project is the lack of engagement with GEF processes and meetings, specifically at national level. Just 2 persons attended global GEF meetings, one from the Pacific and one from West Africa (both women), and one person attended another unspecified GEF meeting. However two African IP representatives regularly attended their national GEF meetings, and presented the IPNC project. Although the project participated in the GEF-NGO Council that does not really help change the dynamic. It does, however, characterise how the GEF has been working over recent times. The project could have made better efforts at the national level towards better engagement with the GEF in countries, although this was hampered by the IPNC regional coordinators, who were not able to engage with national based GEF focal points simply because they are situated in different countries. This represents another design failure of the project.

2.3 Invitation to, and provision of, written contributions to consultation-based meetings outside of the formal CBD and GEF processes.

2.4 At least six indigenous participants (3 men, 3 women) regularly participating in IIFB and related meetings that have not previously been consulted in, contributed to, or participated in IIFB and related meetings.

A total of 65 delegates attended CBD and related meetings, as shown in the table below. The ratio of female to male, at 38% is far to low for the aims of the project. Although the word delegate is used in project reporting in fact 11 of these delegates attended 2 or more meetings to a total of 30 attendances, so it is better expressed as 65 attendances.

| Year | Male | Female | Total |
|-------|------|--------|-------|
| 2006 | 19 | 6 | 25 |
| 2007 | 11 | 12 | 23 |
| 2008 | 10 | 7 | 17 |
| Total | 40 | 25 | 65 |

Table 1. Attendances by year and gender.

Further analysis show that several people attended events in the same or adjacent years, including project management staff (17 attendances over 3 years, or 26% of all attendances). This figure seems too high, and does not indicate widespread involvement of the global indigenous community. While I understand the stress and strains of working in these organisations it does not, look as though the funds were well spread throughout the Indigenous community, but rather concentrated in too few hands.

The final report does note this in an oblique way, and highlights another relationship issue dealt with earlier in the report:

In many instances, the ICC members were pulled to participate in international meetings (having developed their expertise in various fields) and were unable to fully supervise or meet the requirements of the IPNC project. Additionally, the ICC members were also used to working with Alliance members only and there was some difficulty, for some, to transcend this and involve new people in the processes.

| | Male | Female | Total |
|----------------------|------|--------|-------|
| Single attendance | 18 | 17 | 35 |
| Multiple attendances | 20 | 10 | 30 |
| Total | 38 | 27 | 65 |

Table 2. Multiple attendances at CBD/GEF meeting, by gender.

Furthermore an analysis of the meetings attended shows that there were attendances of:

- 3 for global GEF meetings;
- 44 for CBD COP, SBSTTA, WG and other biodiversity-related meetings;
- 18 for SBSTA and COP meetings of the UNFCCC.

Interviewees argued that UNFCCC was important in a biodiversity project because of REDD discussions. Given the scarcity of funding in the project itself, having nearly 30% of the supported persons attend FCCC meetings does not seem the best way to achieve the goals of the project. The Implementing Agency did feel this was a good use of time and showed adaptation. Perhaps one or two attendances of the total would have been useful to tag this developing theme – yet that 30% of attendances for this project on CBD/GEF were diverted to FCCC meetings does not seem a good use of the resources available.

Given the interest expressed during the project on the relationship between Biodiversity, Climate Change and Indigenous Peoples there would seem scope for a properly constructed project to examine these issues.

There is some evidence of institutional change among IP organisations, and a stronger focus on the IIFB – and flowing from that a greater awareness of the importance of biodiversity issues in the UNFCCC context (i.e. REDD) and linkages between IIFB and IIFCC, as reported by some interlocutors. Good though that is, it was, as mentioned above, not something included in the original project design – perhaps a new and different project, in line with the lessons learned, should be developed along these lines.

2.5 Creation of an indigenous experts roster or addition of indigenous experts to existing rosters (e.g. STAP Roster of Experts) to provide expert advice to the relevant bodies on request

This was apparently seen as a substitute for the Advisory Group. (see also p. 19)

The Final Project Report has the following comment:

All the regions were able to send in their lists for inclusion in the expert roster. To date the list includes some 50 indigenous experts in different fields. This expert roster has been used by members of the advisory board of the CBD fund for ILC participation in meetings. It has also been used to identify potential nominees to various bodies within the CBD when the secretariat was approached for suggestions. There is still a need to systematize the list and to include more names from the Arctic region.

With 12 experts out of 55 from Russia it is not clear why more are needed. There is in fact considerable regional disparity, with Africa represented by only 1 person!! Also around 10% of the experts are also from the project management team. It would have been preferable not to have the PMT involved in this capacity as well. The impression left is that very few actors are involved in nearly all aspects of the project planning and delivery, which runs counter to its stated aim to spread awareness throughout the global Indigenous peoples community.

2.6 Ten regional case studies produced over the course of the project, detailing regionally specific experience

Fifteen case studies were produced over the life of the project, some being published in the *Custodians of Biodiversity* series noted above. This activity was therefore well achieved by number. The quality of the contributions is variable, but most are useful contributions. Even if all were likely to be ephemeral, it would have been useful if a mechanism had been established during the project to ensure the outputs produced by the project were easily available during the post-project period.

Outcome 3.

Effective regional and international coordination of indigenous peoples' interaction with the CBD and the GEF

There were 6 identified activities in this outcome, viz:

3.1 Fully established and effectively functioning project secretariat working as the communication hub within three months

3.2 Information management system tested and functioning as required

3.3 Project sub-contracts and detailed regional work plans in place

3.4 All International Alliance member organizations (approximately 160), RAIPON member organizations and other interested indigenous persons and organizations receive information on CBD and GEF processes.

3.5 Baseline data regarding levels of knowledge and understanding of the CBD and GEF in regions collected

3.6 Evaluation of project activities through a mid-term survey of change in levels of understanding and knowledge throughout the project areas.

These activities all relate to project management and delivery, but 3.2 also overlaps with the website which has been treated under outcome 1, activity 1.1, and activity 3.5 has been dealt with *ab initio*.

The project secretariat was put in place early in 2006 and seemed to be effective. The IMS, as has been described earlier, was a major failing, and the mid-term decision to create part-time Information Officers in the regions had only limited success in regaining the initiative.

The general management of project suffered from inexperience in dealing with a highly decentralised global project which none-the-less required proper supervision and management systems.

The Final Project Report has the following observations (italics my emphases):

The fact that the regional coordinators were already very busy in their own local and national work and the burden of coordinating regional activities *made it difficult for them to fully function as managers at the global level.* The responsibility of overseeing the global activities had to fall on the shoulders of the project secretariat and the two members of the PMC.

In hindsight, there are lessons to be learned from this arrangement. While it was prudent not to set up new structures and utilize existing ones, *the fact is that there are very few indigenous leaders capable of engaging in the international processes and at the same time be fully involved at national and local activities.*

While the last paragraph is a direct quote and a little opaque, the understanding gained from it was that the resources of the Indigenous community are so stretched that it is difficult to find competent and committed people to work on local, national and international issues at the same time. One consequence of this for the project was that the original idea of annual meetings and six-month teleconferences was not entirely adhered to, and mostly concerned one annual meeting in person of the PMC in 2006, 2007. In 2008 there were only incomplete meetings of the Project Secretariat with a number of regional coordinators during joint attendance at global meetings such as COPs, SBSSTA etc.

The project final report wrongly mentions:

.....the PMC was unable to meet and instead only Mr. Zieren (UNEP-GEF, Bangkok) and Mr. Rattanakrangsri (IAITPTF, Chiang Mai) were able to effectively supervise the project staff.

In fact this applies to the period post project completion (Dec 2008), as the project secretariat was in place and managing on a day-to-day basis the project until technical completion. Yet the finalization of administrative requirements indeed was taken care of by IAITPTF, Chiang Mai with support from UNEP (both Bangkok and Nairobi), but this was not in any sense acting on behalf of the PMC. Again, however this is an example of poor initial design, somewhat rescued by an ability to manage adaptively when circumstances dictated.

On the acquisition and use of baseline data the Final project report's conclusions are clear:

It can be said that there is now an increase in the number of indigenous peoples aware of the CBD and how it works; there has been an increase in the number of organizations directly participating in the CBD meetings; the number of women actively involved in the CBD processes has also increased.

However, hard figures on all these is hard to establish considering the lack of a baseline data to compare it with.

The assertions cannot be tested in a quantitative way; only the strength of assertion of the various interviewees who independently believe this to be true is available for examination.

Outcome 4.

Established and improved partnerships on a national and international level between indigenous peoples organizations, and other agencies involved in biodiversity conservation. Complimentary international partnerships formed with GEF, CBD and other related international agencies. These partnerships lead to greater participation of indigenous people's roles in conservation and sustainable management of biodiversity resources.

4.1 Participation of indigenous peoples organizations in the review, implementation and monitoring of the NBSAP's through partnership with relevant government agencies.

This activity was not achieved. It was clear from the interviews and published materials that there was a failure to engage with national governments, and indeed it is clearly expressed in the Final Project Report that:

It is not surprising that many indigenous peoples organizations are wary of sitting down with national governments at the national level. IPOs often say that discussions with government representatives is often easier when conducted outside their countries rather than within. Some indigenous organizations who were involved in the IPNC project stated that it was not a very productive exercise to dialogue with national agencies tasked with overseeing the implementation of the CBD as these are the same agencies that are promoting biodiversity loss. In other words there is great cynicism amongst indigenous peoples organizations to engage at the national level.

This activity therefore did not succeed, but perhaps could have if national circumstances enabled these interactions more easily. In any event, the lack of linkage with national authorities remains a weak point in the delivery of the project.

4.2 Number of new proposals developed and funded led by indigenous groups (indigenous groups in recognition of innovation and/or sustainable use of biodiversity).

4.3 At least three projects in each region gain funding through the GEF SGP Programme.

Much was made of a MoU to be drafted and signed with GEF-SGP, managed by UNDP in New York. Considerable effort was clearly devoted to creating a MoU, which GEF-SGP then responded to (ANNEXE 5).), Including suggested general fields of IP beneficial programs. Just two SGP funded projects were developed under the project. However, it is

clear that the Project Managers were not fully aware that SGP issues are largely decided at Country level and a MoU of this kind would have very little influence on securing the desired outcome.

UNDP staff were clearly of the view that not concluding a MoU or even a Joint Communiqué, with SGP was not a “killer” issue for the project, as the Alliance members at the country level could approach SGP National Coordinators for support, with possibly better effect – which has, and will continue to happen.

The UNDP host for GEF-SGP communicated that the Global Forest Coalition was quite supportive of the IPNC project in terms of building the capacity of the IP Alliance towards international advocacy and engagement of IPs regarding climate change - in particular the role of IPs as part of the Reducing Emissions from Deforestation and Degradation (REDD) negotiations.

Regarding some other IP-SGP partnerships, SGP have been actively collaborating with the Kuna Yala in Panama as part of the International Consortium on Indigenous and Community Conserved Areas (ICCAs) which they helped form at the October 2008 IUCN World Conservation Congress. In particular, I understand the lead person on protected Areas and IPs was involved in that exercise.

All SGP country programs are required to increase access by IPs to funding and thus one of the key results area for which National Co-ordinators performance is rated is on how successful he/she is on increasing this access. So there was potential (and there remains potential) for more IP involvement in the SGP but it seems to need more targeted approaches at country level than could be achieved through this project.

Further, travel support, even support for training and information/knowledge management – which seems to be what the Alliance needed – are ineligible for SGP grants. The end result was a lot of time lost trying to achieve a MOU at International level that would appear to have little direct impact on the desired outcome.

The Final Project Report notes that despite this failure,

.....it is good to note that there has been an increase in the number of SGP-funded projects with indigenous organizations.

But there is no evidence on which to base this assertion, and even if true, to relate it to the activities of the project.

It is clear that there is still a belief that a global MOU and supportive mechanisms could somehow make a difference. This is an issue, which perhaps the Implementing Agencies should address to avoid hopes being raised and dashed, and time, and resources being

wasted. While it may be strong to say there appear to have been “dialogues of the deaf”, there would appear scope for better results in future.

Finally there are two indicators that relate to better links with GEF.

4.4 Number of interactive contacts with GEF structures, including contribution to STAP; Council meetings; consultations of indigenous organizations before taking decisions by the GEF policy formulation; consultative mechanisms with IAs strengthened through increased consultations and participation.

4.5 Working relationships established between GEF National Focal Points and the relevant IA Regional Secretariats. Participation of regional secretariats in GEF-SGP consultations.

Ability to relate to GEF was a feature of the project proposal but it is one of the least successful aspects of the project. While GEF has its own way of dealing with issues, it was unrealistic to assume that the range of activities covered under 4.4 could possibly be achieved given the design and resources of the project. No attempt seems to have been made, for example, to contact GEF-STAP, and interactions with GEF were limited to the NGO council in 2007.

It appears from the PIR reports (2007&2008) and response to the e-questionnaire, that just few contacts were made at the national level with GEF operational focal points. But this reportedly was seriously hampered by the institutional design that lacked national-based project staff, and only few regional coordinators were willing or able to initiate contacts with GEF focal points.

Interactions with national SGP committees seemed patchy, and difficult to decipher from the documentation. The Pacific, East and West African regions were exceptions where in Nigeria and Samoa and Kenya there were some contacts.

B. Sustainability:

Financial resources.

There are no financial resources left to enable the project to continue. Radio programmes in East Africa continue, as well as tapes programs remain available for use, but need funding to be fully effective, and in Panama the radio programmes appear to be continuing without the need for further support. In general the project has no aspects that are formally able to continue, save for the radio programmes in East Africa and Panama. In an informal sense there are apparently many new networks being developed, and potential opportunities are being considered through the membership network of IAITPTF. That is a positive result, but only if these informal networks and activities are able to continue to attract funding.

What is left (and is unquantifiable) is the feeling that much was achieved on engagement and understanding of IPs with CBD processes. In the long- term it will be impossible to see, in a measurable way, the results of this project because of the lack of baseline data lack of and on-going funding.

The Final Project Report notes (my emphasis):

As part of the internal evaluation exercise conducted by the Alliance of the project in September 2008, it was decided that a new proposal focusing on the youth be prepared. This project would then serve as the continuation of this project. Additionally, the project secretariat developed a proposal for education activities for indigenous peoples and climate change linked to biodiversity conservation. This was a common concern for the regions – the fast paced discussions on climate change issues – and yet indigenous peoples were not cognizant of the details. *As yet there is no long-term strategy to ensure continued participation by indigenous peoples in the CBD processes.*

It is therefore clear that there is no long-term financial plan.

Socio-political

Much comment is made of the problems of visibility and acceptance of IP issues at the national level. Yet, only by governments fully embracing these issues will they get true exposure and serious consideration at the COP, and thus become more visible in the GEF context. In general, little new ground was broken with national governments. However, in interviews and from the paragraph below from the Final Project Report, it seems there were very few exceptions;

However, it must be noted that in Thailand, the IPNC opened the doors for indigenous peoples and government to dialogue. The national focal point of Thailand has been in constant touch with the indigenous organizations, and has invited them to national consultations. This was a breakthrough that resulted from contacts established in various international meetings, where IPNC funded participants from Thailand were able to initiate contacts with the national focal points.

So, while these socio-political concerns are clearly known to the project team, the fact the project made no apparent progress globally in changing the dynamics at national level remains a serious fault.

Institutional framework and governance.

This point links to the previous. Only if there is a change in attitude by state parties to the CBD to have indigenous issues fully and transparently debated will the outcomes of the project be able to be translated into long-term action. The IIFB is strongly supported as a mechanism to have IP issues brought to the COP, but paradoxically, while the IIFB

remains as an advisory body to the COP it is easy for parties to avoid this issue being treated seriously in COP formal discussions.

Environmental.

Although the goal for the project was to: *advance the conservation and sustainable use of biodiversity through effective participation and strengthened communications capacity of indigenous peoples*, as it was implemented this project was not directly concerned with the physical environment. This issue, apparently, does not therefore arise.

While the project almost exclusively focussed on improving communications between, and accessibility of, the global indigenous community to CBD and GEF Biodiversity matters, the key point of the goal, that this was to advance the conservation and sustainable use of biodiversity, was not achieved, and as this represents the Global Environmental Benefit of the project is a key failing of the project in the context of sustainability.

C. Achievement of outputs and activities:

This has been covered in the first section, as the key outputs were the Web site, Radio programmes, the Publications and the Regional Workshops. All were delivered as forecast in the project proposal, but the publication perhaps later in the piece than was useful for the project.

The problems with the web site have been fully documented above. The site should have been available to be used as means for wider access to publications. Only one is still available in English and only through the site (www.international-alliance.org/network_for_change.htm). That publication is the guide *From Text to Action*. Other documents are listed on this site but do not return any publications when clicked.

As for the publications, these vary in quality and usefulness, some already being dated. There does not seem to be pro-active approach to ensuring the remaining stock of publications will be distributed to keep awareness of the project high in the Indigenous Community. Certainly after October of 2010, when CBD COP10 would have been held these publications will be largely of historical interest only.

While the project was off to a strong start in 2006, the problems associated with the website (as a key management and information access tool) and other factors such as the breakdown of the lead organisation in the South American region (COICA) led to a slowing of delivery and activity in 2007 (reflected in the spending of that year). 2008 saw a catch-up but as this was the last year the momentum was inevitably a little lost, and some products were available only at the end of the year, or as reprints in 2009.

D. Catalytic Role

This project could perhaps be seen as one that incentivized action as a result of its activities. But it was always going to be a project that was aimed more at sensitizing, and, to some extent, energizing the target (Indigenous) community. There is some evidence of institutional change among IP organisations, and a stronger focus on the IIFB – and flowing from that a greater awareness of the importance of biodiversity issues in the UNFCCC context (i.e. REDD) and linkages between IIFB and IIFCC, as reported by some interlocutors. Good though that is, it was, as mentioned above, not something included in the original project design – perhaps a new and different project

The role of IPs in discussions at the CBD continues, and will likely increase, but there are no changes evident or easily measurable in policy at national, CBD or GEF council level resulting from the project. Similarly there is no new catalytic financing evident to help drive forward IP issues, including some good ideas on funding projects around Youth. Most of the activities of the project, focusing on the organization of regional workshops and case studies from different regions were obviously replicated, using a basic model, informed by regional specificities. In that sense the whole project is built up from replicated elements.

One disappointing element in this evaluation is the number of people who have changed posts, and so the evaluator was unable to get clear views on the feeling in NORAD of their feeling on the achievements or otherwise of the project, and if they would be prepared, or consider further investments in projects of this kind.

The former desk officer at NOVIB was contacted. The response received was that in 2004, at the project development stage, the IPNC Steering Committee was told the planning and design were weak and unconvincing, with little clear view of how to achieve the end results, and that further funding couldn't continue. It seems that the further planning did improve the acceptability to some extent, and NOVIB retained partnership in the project as agreed. It does indicate however many of the previously documented difficulties in design of the project were apparent even at that stage.

Despite many of the negatives touched on in the evaluation, this project is a classic one where a few tireless champions have carried it through, and there is no doubt that without the drive of the group in Chiang Mai, the actions of IIB in Kenya and the IATPTF in Panama, the project would have achieved nothing. This is not atypical in activities undertaken by indigenous peoples organizations, and touches again upon key finding that project success or failure, and even the definition of those terms, is conditioned by culture forms and particular world views.

E. Assessment of monitoring and evaluation systems.

The M&E approach in this project was not strong. The Final Project Report notes that:

The project secretariat was able to conduct regional office visits to all the regions, with the exception of South Asia, to help in the regional capacity building seminars and to assist develop work-plans and to generally discuss issues. These office visits were combined with some field visits as well. These were very helpful in building a better understanding of the specific concerns and situations in the regions. It also strengthened the cooperation between the regional offices and the ITS based in Chiang Mai.

An internal evaluation, within the IAITPTF, of the project was also conducted last September 2008 in Panama with ICC members in attendance. This evaluation gave the ICC members an opportunity to review the project and what the Alliance has achieved through it. Unfortunately, RAIPON and East Africa were unable to attend the said meeting.

This does not constitute a well-developed approach to M&E, and, if M&E had been well developed and used, many of the final shortcomings may not have developed the fatal conditions of non-delivery or lack of sustainability, although some attempts to correct those happened despite a lack of a strong M&E system. Although not part of the projects formal M&E approach, the Mid-term Evaluation, which had made a number of valuable observations, was simply not available in enough time to change the course of events. In fact the Mid-term Evaluation had the following conclusion with respect to M&E:

The Project Management Committee should adopt a budgeted M&E.

In the project document the Advisory Board was to play an important role in M&E – but of course this Board was not established, and there was no substitute for its role. This Board was, for example to:

- Advise Project Secretariat on implementation problems that emerge, and on desirable modifications to the work plan for the succeeding year;
- Monitor progress in the capacity-building aspects of the project, and advise the Project Secretariat on steps to enhance this aspect of the project.

In the end much of the M&E seemed to consist of regional office visits, which were budgeted for to the tune of \$22.5K.

The Final report has a logframe for M&E including indicators and midterm and end-of-project targets. The project secretariat did not follow up on the need for and recommendation of the UNEP TMs to improve the M&E system and reporting, e.g. through a restricted number of SMART indicators. The UNEP Task Manager in his mission report of Feb. 2007 wrote e.g.:

- The LTF would only report on progress made at Objectives and Outcomes level, and based on a reduced set of indicators. E.g. 1-2 indicators should be adequate per outcome. The PS to work with the TM on the consolidation.
- Progress on components and outputs needs to be reported in percentage, in addition to the usual annotated reporting;

- PS to prepare a summary table of key/consolidated outputs & deliverables and focus semi-annual reporting to these;
- Include a section of lessons/best practices;
- Expand the section on 'Issues/problems, how, when, by who' table

And the February 2008 mission report of the TM mentions, with regard to the urgent need for impact surveys and M&E:

- M&E: PS to strengthen the 2008 work-plans with a minimum set of indicators and to approach the local University to design an end-of-project impact survey on awareness levels;

In sum, M&E was at best minimal, and quite unsatisfactory in terms of keeping the projects direction and focus.

F. Preparation and Readiness

The project was presented at a side event at CBD COP in 2004, where the aims and objectives were placed before a CBD audience, so presumably there had been quite some planning involved.

However, as has been detailed *in extenso* above, the implementation suffered from some key flaws, nearly all centring around issues of cultural misunderstanding between the key organisations involved themselves, and between some of them and external organisations and their world views. Changes in the way key elements of the project were conceived, as a result of these flaws, made for a weak and largely ineffective implementation – yet with some strongly performing areas, as exceptions to prove the rule! This view was challenged in comments on this draft report, instead the problems being seen as simply related to a weak institutional framework (e.g. working with regional voluntary staff), assuming much in kind contributions from IAITPTF partners, as well as inadequate funding made available for regional and national project activities. But these are actually symptoms, not the problem itself.

Promised counterpart resources were made available and were certainly helpful in ensuring good programme implementation. The GTZ funding did not happen, but this was already seen only as extra assistance to Latin America so did not destabilise project implementation. Collapse of regional organisations in South America in 2006 meant a poor level of interaction with that region for much of the project.

An issue touched on later is the late arrival of initial funding support, which delayed the project effectively until the beginning of 2006, instead of late 2005.

G. Country ownership/driveness:

Country ownership by national authorities was very weak. This project was conceived and driven by Indigenous organisations (essentially NGO's) and while in the project proposal 61 countries were said to be involved, with more anticipated to join as the project evolved, the reality, based on the figures and data provided suggest that at most 33 countries were actually involved, but (almost) none of them by focal points for CBD or GEF, only by Indigenous organisations.

For there to be any on-going success from this project it will be important to have at least the 33 countries where activities occurred made more aware of the results of the project.

H. Stakeholder participation / public awareness:

There was good linkage with some of the key stakeholders in this project, but a fault discussed earlier was that “those who knew, knew; those who didn't, didn't”. In other words the outreach of the project should have been better, and more inclusive.

A major failing, touched on earlier, was the lack of better involvement of women. The project proposal noted that:

Despite the fact that indigenous women play a vital role, in biodiversity conservation and sustainable use, there is clear evidence that they have not been sufficiently involved in relevant policy formulation. Their participation in decision making forums is extremely low compared to men. The Alliance has taken this issue seriously and is already developing a “Balance Relations” project which will create awareness on the need for women's participation on an equal basis with men. Specific emphasis is given to the rights, role and interests of indigenous women in the process of conservation and sustainable use of biodiversity. Women are the most important links in the maintenance and development of indigenous knowledge systems and must be involved in discussions and decisions pertaining to these knowledge systems and the actual knowledge.

Despite this clear statement women did not achieve particular emphasis in the project, with the exception of the East African region, where special focus was given to providing women in villages the opportunity to listen on cassette to the Radio programmes broadcast earlier. Village Women in Africa do not have always the chance to listen during broadcast time, and this activity represented a unique and innovative way to reach them.

Despite not being able to reach women as effectively as hoped in the project proposal, the regional meetings identified a real need to connect with Indigenous youth. Two meetings were devoted to youth, and several youth were able to attend CBD meetings. The lack of sustainability for the project is a pity, as this group (still with women) needs better and broader involvement with international processes.

Although the project was focussed on countries covered by IAITPTF and Russia, Indigenous peoples in Australia, Canada, USA and Denmark did not seem to be included. They could have both benefited from, as well as contributed to the project. However this was not included in the original project design so should not be taken as criticism.

I. Financial Planning

Financial planning and daily management was undertaken by the Project Secretariat through its Finance Officer of the ITS, with quarterly reporting to UNEP-GEF in Nairobi as well as Bangkok. The initial financial planning during project design failed to appreciate the degree to which activities in the regions could be achieved with small allocations – and fewer regions involved would have been a better result, albeit reducing the number of project counties even further. Late arrival of the initial funding support delayed the project by 3 months. This is apparently “normal” but unacceptable none-the-less. If funding is normally delayed by this amount of time, then projects should be timed to start accordingly.

Adjustment was needed mid-way to take account of the Information Management System being transferred from Russia and decentralised, as well as to speed up completion of the various case studies and other commissioned work in the countries. This resulted in considerable under expenditure in 2007, meaning more activity was needed in 2008 to complete project activities. The project continued with limited remaining financial activity on tidying up projects into 2009, with the agreement of the Task Manager. As planned in 2010 there are just sufficient funds to discharge the responsibility for this final evaluation. A summary of planned against actual expenditure is included in ANNEXE 7, which shows the considerable under spend in 2007, recovering largely in 2008, and by allowing the project to continue to finalise products in the first half of 2009.

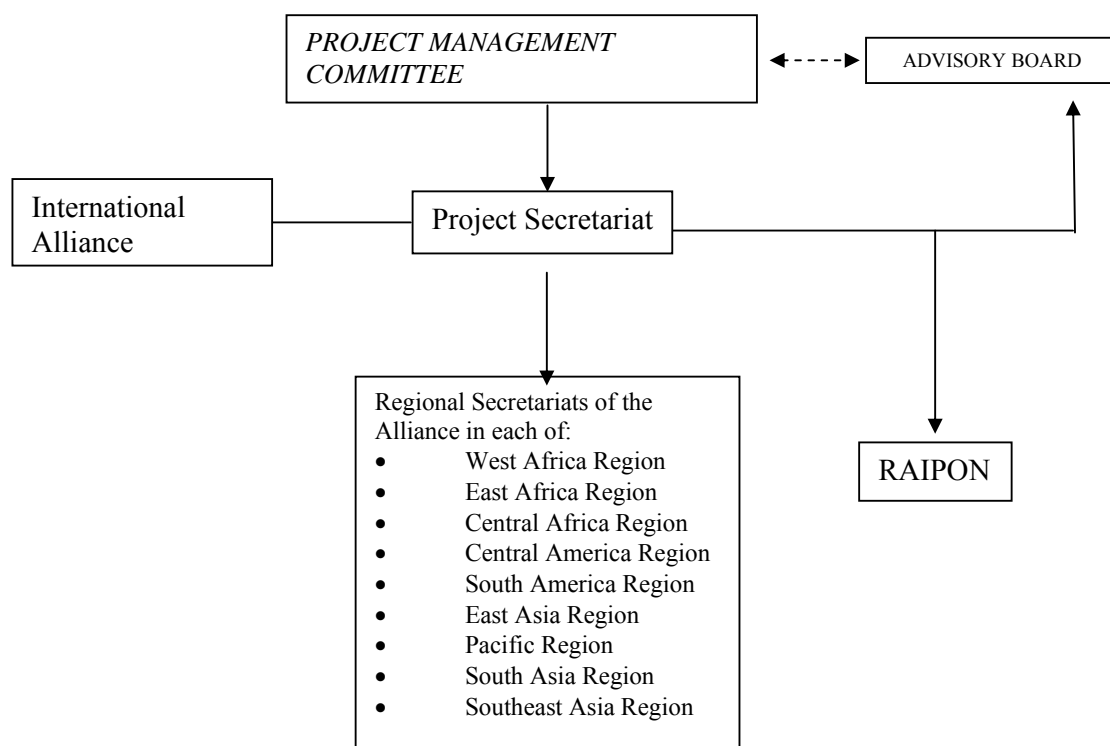
The financial management was done in a professional way, and the accounts are clear and understandable, undertaken with due diligence and appropriate caution. The Co-financing achieved the predicted levels, even slightly exceeding from one co-financier and some additional in kind support resources from the EA and supporting agencies. ANNEXE 6 shows the Co-finance support

ANNEXE 7 shows the GEF funds tabulated as required. It is clear from these accounts that the project lost some momentum in the middle year, as discussed earlier in the text, and the project spilled into 2009 to finalise some aspects. It is also clear the project did not make an effective start until 2006, even though a start was foreseen for an October 2005.

J. Implementation approach:

As noted previously the project management deviated from that described in the project document in particular the Advisory Board. The diagram below, adapted from the project document shows the assumed relationship between the management bodies. However, clearly, the decision to not have an advisory board changed the dynamic somewhat. As the project wore on the PMC became less able to meet formally. The PMC did meet in its entirety in 2006 and 2007, but in 2008 only through side meetings during COPs, SBSTTA meetings attended by most of the PMC members. UNEP TM conducted an extra supervision meeting in Feb. 2008 to support the project in speeding up delivery as well as improving M&E and reporting.

While this shows adaptability it was also a weakness of the project not to have an effectively functioning PMC throughout the projects life. This diagram also shows the isolation of RAIPON, which may be based on their request for independence. This separation increased further after the removal of the website administration and their reluctance to act upon instructions of the Project Secretariat, e.g. on shortening and translating their case study into English.



It is also clear that the regional secretariats had little funding available and so there was little incentive to follow a fully corporate line, a feature which became more obvious as

the project entered its third year. In the end the Southeast Asian, East African and Central American regions were the only ones with any degree of effectiveness in project delivery.

The project document notes that

Close collaborative ties between the Project Secretariat and the IIFB will be maintained throughout the project, as the work of the Secretariat on an international level will be supportive of, and closely tied to, the work of the IIFB.

This aspect could also have been better managed during the project, bringing in non-participating regions to help with advice and understanding.

The project document further states that:

Close ties will be established between each of the regional secretariats and the local GEF focal points in the relevant countries to ensure sustained and long-term supportive relationships between the SGP of the GEF and local indigenous peoples organizations are established and maintained.

This apparently did not really happen, except for a few unusual cases (Thailand, for example). Overall the project implementation had a number of failings, which the mid-term evaluation identified, but were not able to be corrected, even in the final year, mainly due to the weak institutional structure, capacity and funding with regions.

K. UNEP Supervision and Backstopping

The project suffered a change of Task Manager in 2007, never an easy situation but one that I believe was handled effectively by UNEP-GEF. The initial project management by UNEP-GEF was from Washington and the usual problems with a project start-up as well as distance on top of cultural differences made this a somewhat constrained interaction. I find the candour evident in the exchanges professional and good, but the annual visit(s) conducted by the TM, as well as extensive e-mails exchanges made lacked perhaps the incentive to follow up or to hold telephone conversations in “real time”.

From 2007 the project was task managed from the Bangkok office and this obviated some of the problems. A field visit to the PMC at the start of 2007 by the Task Manager highlighted a number of issues, and sought to use the MTR as a means to try and correct these. By this time however some of the difficulties were already evident and probably not easily correctable due to lack of project funds as well as very weak institutional capacity with regional partners.

It is possible that more personal intervention and timely follow-up from UNEP could have improved results for some of the outcomes that were missed or badly delivered, but I suspect many of the seeds of failure were sown early in project conception, although not necessarily evident until implementation began.

L. Complementarity with UNEP Medium Term Strategy and Programme of Work

UNEP's Medium Term Strategy (MTS) intriguingly makes no reference to Indigenous peoples and their potential contribution to environmental issues generally, or Biodiversity in particular. This is possibly a failing in the strategy, but it is what it is.

The project made a small contribution to work on ecosystem management, but as the project has not used the ecosystem approach in framing its activities and outcomes direct links are difficult. If the project's impact were to have been achieved, or is able to be achieved by further work using the lessons learned I allude to then the project and its impact could have a real effect on the delivery of UNEP's expected accomplishments in ecosystem management. Such impact however depends less on indigenous peoples and rather more on the willingness of individual nations to incorporate Indigenous Peoples thinking and management paradigms in their BSAP and related processes.

Similarly the *Bali Strategic Plan (BSP)* has no mention of 'indigenous approaches to environmental management' – but some of the nascent work being undertaken in this project could help inform the development of the BSP. However it should be noted that there is always disagreement about the validity of the Indigenous approach to biodiversity conservation management and sustainable use by scientists in the western tradition. It is not clear that this project would be able to help clarify these issues because of the strongly internal focus of the project on indigenous organisations only. Given the level of funding and the organisational issues encountered in the project that was the right approach, although it does not help connect the project's findings to those who also need to hear them, outside of the indigenous community.

Many of the activities, taking place in developing countries, do have clear implications for improving *South-South Cooperation*. There is little evidence in the project documentation however to the extent this may have occurred.

IV. CONCLUSIONS AND RATING

| Criterion | Evaluator's Summary Comments | Evaluator's Rating |
|--|---|--------------------|
| A. Attainment of project objectives and results (overall rating) Sub criteria (below) | The proponents and interviewees see the project as partly successful. Successful given delivery on part of project outputs, yet the objective review by the evaluator shows considerable shortfalls (Information Management System, number of “new” persons involved in meetings etc.) Based on the objective information the project is moderately unsatisfactory in attainment. | MU |
| A. 1. Effectiveness | The project achieved some objectives but many activities could not be evaluated properly because of the lack of baseline data. The evaluation uncovered anecdotal evidence of new partnerships being established, but in other cases it seemed the same few people were involved in all activities. There was little evidence that the project contributed to formal decisions and recommendations at the CBD or GEF. Spending time and resources on the UNFCCC process also was not an effective use of the project. | MU |
| A. 2. Relevance | The project was (and remains) relevant to the full and effective implementation of the CBD. | S |

| Criterion | Evaluator's Summary Comments | Evaluator's Rating |
|--|--|--------------------|
| A. 3. Efficiency | There was delay in starting the project due to delayed receipt of project funds, and a variety of administrative/logistic problems in the various regions. The enormous problems associated with the information management system made use of the web site difficult for much of the project. In financial terms the project seemed well managed. Managing a global network with an unrealistic level of devolved funding meant largely inefficient results from most of the regions. | MU |
| B. Sustainability of Project outcomes (overall rating) Sub criteria (below) | This project is not sustainable. | U |
| B. 1. Financial | There seems little likelihood of further financial support for the projects potential scions. | U |
| B. 2. Socio Political | Too little linkage with national governments makes further support unlikely | U |
| B. 3. Institutional framework and governance | CBD and GEF governance mechanisms try to accept full indigenous participation - but in the end this is matter for the national governments. This was a weak link in the project; however some of the processes will be continued through the existing network of the International Alliance. | MU |
| B. 4. Ecological | Lack of links between project activities and any demonstrable change in the way biodiversity conservation and sustainable use is managed globally is questionable. While some project personnel see this as not part of the project it is clearly in the formulated outcomes. | NA |
| C. Achievement of outputs and activities | The web site and its use was a signal failure, however the publications produced seem to be largely effective, though perhaps not widespread enough. The radio | MS |

| Criterion | Evaluator's Summary Comments | Evaluator's Rating |
|---|---|--------------------|
| | broadcasts were a great success and could be considered for further replication. Attendance at CBD/GEF related meetings occurred but the range of people involved was too limited. More regional workshops occurred than planned and they seemed successful. The activities involving a putative MoU with GEF-SGP demonstrate a lack of understanding of what was really needed to achieve that output. | |
| D. Monitoring and Evaluation (overall rating) Sub criteria (below) | The M&E provisions were weak at the start, and were not improved during the project | U |
| D. 1. M&E Design | The M&E design seemed limited to regional visits and discussions, as well as reporting on the logframe indicators. However lack of a streamlined logframe and particularly measurable baselines greatly affected the proper impact and progress measurements on the project. It was ineffective. | U |
| D. 2. M&E Plan Implementation (use for adaptive management) | There was no obvious an effective M&E plan, although a logframe does exist which is almost identical to the project logframe. The evidence of this being useful for adaptive management is hard to find. If adaptive management had been used effectively some of the projects problems could have been identified and corrected. PIRs were submitted in time but where there were failings evident they did not seem to be corrected in time or even at all. | U |
| D. 3. Budgeting and Funding for M&E activities | The budget was solely for visits to regional offices and insufficient for an adequate M&E process. | U |
| E. Catalytic Role | There is some evidence that the processes started by the project will lead to changed behaviors by some of the Indigenous community with respect to interactions in CBD and GEF. The real test will be if those changed behaviors help integrate IPs cosmovision for Biodiversity | MS |

| Criterion | Evaluator's Summary Comments | Evaluator's Rating |
|--|---|--------------------|
| | conservation and management in to CBD and critically GEF mainstream thinking. | |
| F. Preparation and readiness | The project had been prepared and thought about well in advance, including through a side-event at CBD COP7 in 2004. A late start due to funding availability in late 2005 saw the project start in full later than envisaged. Uneven preparation amongst regions was a problem for a smooth start. Project did not adequately assess & anticipate problems with lack of effective regional institutional capacity. | MU |
| G. Country ownership / drivenness | While IPs feel an evident sense of ownership of the project there is no evidence that focal points at country level of awareness even, let alone ownership. | U |
| H. Stakeholders involvement | IPs as stakeholders clearly benefited from the project, where they were aware of it. One disappointing issue was that although the project proposal highlighted the involvement of women as a priority this was not well achieved in many areas. On the other hand youth involvement - not identified as a priority at the start - emerged as a key area of interest with evident stakeholder interest and support from Young indigenous peoples. | MS |
| I. Financial planning | The Financial planning for the project suffered from unrealistic expectations as to the degree to which activities could be achieved with small allocations. Management of the financial systems was professional and appropriate. | MU |
| J. Implementation approach | The Implementation of the project suffered from the lack for establishment of the Project Advisory group, and, at the end, the failure of the Project management committee to meet and manage the project effectively contributed | MU |

| Criterion | Evaluator's Summary Comments | Evaluator's Rating |
|---|--|--------------------|
| | significantly to this end. | |
| K. UNEP Supervision and backstopping | Despite a change of Task manger during the project, UNEP support has been adequate during the project, although there were a few “rumblings” about timeliness of response to reports etc. While I think there was an appreciation (on both sides) of the worldview differences between the IA and EA there could perhaps have been more attempts to cross that divide to improve project outcomes. | MS |

RATING OF PROJECT OBJECTIVES AND RESULTS – extract from the Terms of reference:

| <i>GEF Performance Description</i> | <i>Alternative description on the same scale</i> |
|---------------------------------------|--|
| <i>HS = Highly Satisfactory</i> | <i>Excellent</i> |
| <i>S = Satisfactory</i> | <i>Well above average</i> |
| <i>MS = Moderately Satisfactory</i> | <i>Average</i> |
| <i>MU = Moderately Unsatisfactory</i> | <i>Below Average</i> |
| <i>U = Unsatisfactory</i> | <i>Poor</i> |
| <i>HU = Highly Unsatisfactory</i> | <i>Very poor (Appalling)</i> |

A. Lessons Learned

Given the extensive problems discussed regarding product and outcome delivery it is clear to the evaluator that the Indigenous peoples involved in the project believe it to be successful, and hope for further support in the future on similar projects. Yet from the Evaluation process this project is as best Moderately Unsatisfactory. As discussed above, this issue arises because of differences of perspective - and critically of worldviews.

The **key lesson** to be learned from this project, to apply to future projects that involve Indigenous peoples in their delivery, should be

to ensure that there is a clear and unequivocal understanding by the Implementing Agency of the needs and requirements of the Executing Agency vice GEF, and that the GEF and EA should clearly understand the world views of Indigenous Peoples (in their words their cosmovision) and how that may influence the performance and delivery of the project; and indeed the whole expectation from the project.

Lesson 2

One of the main issues that caused failures in the project was an over-ambitious attempt to “cover the world” yet without the financial support to carry this through. It was evident that only 3 regions really delivered on the project. *To ensure that for projects that attempt global coverage by regional organisation the financial and personnel resources are adequate to the task, and are capable of being orchestrated by the managing body, and have financial support to carry through the project activities.*

Lesson 3

The preparation of a guide to CBD processes was accurate, but almost as impenetrable as the original CBD texts and language. A “plain English” version, produced by experts in clear writing of technical materials would have been invaluable. *To ensure guides for interested laypersons on technical matters be prepared by, or finally edited by, experts in plain language writing. Normally this is best done in plain English, and subsequent translations from that master text.*

Lesson 4

The report noted a disappointing aspect of the project was the lack of engagement with GEF processes and meetings. *To promote efforts by IPs to attend and become involved with GEF processes at national and international level, including SGP committees where these exist, and to seek interaction with the wider GEF machinery, including GEF-STAP, GEF Council and the GEF-NGO Council. UNEP-GEF could well help facilitate such activities.*

Lesson 5

Access to the GEF Small grants programme is a key way IPs can be helped to improve communication between themselves, national focal points, the CBD, UNEP and the GEF. Yet this project spent considerable fruitless effort trying to achieve a MoU on this issue, which in the end was not realised, and if it had, was not likely to initiated major changes. *UNEP-GEF and UNDP-SGP should have further dialogue on how IP organisations in particular can gain access to the SGP, including through developing better working relationships at national level.*

An issue arose in the evaluation that may not be a Lesson learned *ssensu stricto*, but seems worth recording, and this appears as the best place to make it.

Lesson 5

It concerns participation by the IIFB (and by extension IIFCC) in the meetings of the Convention on Biological Diversity (and Combating Climate Change). It is clear that while these are organisations agreed by the Conventions to represent the views and ideas of Indigenous Peoples these views are not usually taken that seriously. And while there does not seem an equivalent forum for GEF, no doubt it would have much the same effect. *The International Indigenous Forum on Biodiversity (IIFB), the coordinating body for indigenous participation in the CBD needs to review the strategy for bringing in new representatives to the meetings – not just the process of selecting, but also ensuring that each will have a role to play in the process thereby ensuring the sustained interest of new comers in the process. Furthermore the CBD and GEF should examine ways to improve consideration by Parties of the views expressed by IIFB in the processes of the Convention and Council. It seems the same could apply also to the workings of the Indigenous Forum on Climate Change (IIFCC).*

B. Recommendations

As the project has been complete for over a year, there are no formal recommendations.

ACRONYMS USED IN THE TEXT

| | |
|---------|---|
| AB | Advisory Board |
| ABS | Access and Benefit Sharing – CBD work Area |
| ASEAN | Association of Southeast Asian nations |
| BSP | Bali Strategic Plan – UNEP’s Capacity Building Leitmotif |
| CBD | Convention on Biological Diversity |
| COICA | Indigenous Organizations of the Amazon River Basin |
| COP | Conference of the Parties |
| EA | Executing Agency |
| GEB | Global Environmental Benefit |
| GEF | Global Environment Facility |
| GTZ | German Development Aid Agency |
| GEF-SGP | Small Grants Programme of the GEF, managed by UNDP |
| IA | Implementing Agency |
| IAITPTF | International Alliance of Indigenous and Tribal Peoples of the Tropical Forests |
| ICCA | Indigenous and Community Conserved Areas |
| IIFB | International Indigenous Forum on Biodiversity |
| IIFCC | International Indigenous Forum on Climate Change |
| IIN | Indigenous Information Network |
| IMS | Information Management Systems |
| IP(s) | Indigenous Peoples |
| IPOs | Indigenous Peoples Organisations |
| ITS | International Technical Secretariat |
| MTR | Mid-Term review |
| MTS | (UNEP’s) Medium Term Strategy |
| NBSAP | National Biodiversity Strategic Action Plans |
| NDI | National Dialogue Initiative |
| NGO | Non-Governmental Organization |
| NORAD | Norwegian Development Aid Agency |
| NOVIB | Development Aid Agency of The Netherlands |
| PMC | Project Management Committee |
| RAIPON | Russian Association of the Indigenous Peoples of the North |
| SBSTA | Subsidiary Body on Scientific and Technological Advice (UNFCCC) |
| SBSTTA | Subsidiary Body on Scientific, Technical and Technological Advice (CBD) |
| UNDP | United Nations Development Programme |
| UNDRIP | United Nations Declaration on the rights of Indigenous peoples |
| UNEP | United Nations Environment Programme |
| UNFCCC | United Nations Framework Convention on Combating Climate Change |

ANNEXE 1: LIST OF DISCUSSANTS.

Bangkok Thailand (18/19 January 2010)

Max Zieren, UNEP/DGEF Regional Programme Coordinator Asia Pacific, UNEP-ROAP

Chiang Mai, Thailand (20 January 2010)

Interactive discussion session among:
Former IPNC Project Secretariat

Suraporn Suriyamonton, Project Manager

Secretariat of the International Alliance of Indigenous and Tribal Peoples of the Tropical Forests (IAITTF)

Kanyarat Pinyonitchakul, Project Manager Assistant

Pattara Maneerat, Accountant

IPNC Southeast Asia Regional Secretariat

Sakda Saenmi, IPNC Regional Coordinator / Director IMPECT

IPNC East Africa Regional Secretariat

Lucy Mulenkei, IPNC Regional Coordinator / Executive Director, Indigenous Information Network (IIN)

Nairobi, Kenya (January 25/26 2010)

Indigenous Information Network (IIN)

Edna Kaptoyo

Kenya Broadcasting Corporation (KBC)

Tabitha Sitatian, Journalist, KBC Maasai Service

UNEP Evaluation Office

Segbedzi Norgbey, Chief, UNEP Evaluation Office

Zadoc Ogutu

Michael Spilsbury

Telephone Interviews/e-mail Discussion (January/February 2010)

Minnie Degawan, Former IPNC Project Coordinator (Baguio City, the Philippines)

Kittisak Rattanakrangsri, Executive Secretary IAITTF Chaing Mai, Thailand

Estebancio Castro Díaz, Executive Secretary, IAITTF, Panama

GEF-SGP, UNDP New York

Delfin Ganapin

Terrence Hay-Edie

Heleen van den Hombergh, IUCN Netherlands, Former desk officer at NOVIB

Kristin McLaughlin, Global Environment Facility (GEF) Liaison Officer, UNEP-RONA, Washington

ANNEXE 2: E-questionnaire circulated to CBD and GEF national Focal Points

Responses received from Guyana, Benin and Ghana. All were negative save for Benin, who responded that some of the printed materials had been sighted at an ABS workshop. But he had no knowledge of the project in his country.

UNEP-GEF Project Indigenous peoples network for Change (INPC) -GF/CP2010-05004

Terminal Evaluation: e-questionnaire.

The Project “**Indigenous Peoples’ Network for Change**” is a global indigenous peoples’ initiative responding to the continued recognition within the CBD process of the importance and need for increased participation by indigenous peoples. The project began with a total of 60 CBD Party states in which International Alliance of Indigenous and Tribal Peoples of the Tropical Forest (IAITPF) members reside, including Russia as the site of the Russian Association of the Indigenous Peoples of the North (RAIPON). It ran from July 2005 to December 2008.

The **objectives of this project** were:

- To enhance indigenous peoples’ awareness and effective participation in CBD and GEF processes through the establishment of communication and information mechanisms that promote an effective exchange of information
- To strengthen indigenous peoples’ capacity to formulate policy and projects with respect to the CBD and the GEF and to participate in the implementation and monitoring of biodiversity projects

International Alliance of Indigenous and Tribal Peoples of the Tropical Forest (IAITPF) was the Executing Agency. The International Coordinating Committee of the International Alliance, together with RAIPON, was instrumental in designing this project, including formulation of regional work plans and regional activities through the coordinating focal points based in Regional Secretariats.

The project maintained a physical presence in Chiang Mai, Thailand, wherefrom all coordination activities were implemented under a Technical Co-ordinator. Approved activities were executed by regional, national and local focal points of member countries. A Project Management Committee (PMC) was established purposely to both guide the project’s implementation and to take quick action in the event of project implementation slowing.

The evaluation will focus on the following main questions:

- To what extent has the project increased awareness and capacity of indigenous peoples, including of indigenous people, with respect to the CBD and the GEF and their processes?
- To what extent has the project increased contribution to and participation in CBD and GEF processes at national, regional and international levels by Indigenous peoples, including women?
- What measures has the project put in place for effective regional and international coordination of indigenous peoples' interaction with the CBD and the local actors?
- To what extent has the project established strategic partnerships and improve existing partnerships leading to a greater participation and emphasis on Indigenous Peoples' role in conservation and sustainable management of biodiversity resources?

This e-questionnaire is designed to draw observations from those involved, from deeply to slightly in the project.

For each of 4 outcomes listed below there are a series of points and questions for which responses/reflections would be greatly appreciated. Clearly not all respondents will be familiar with or able to comment on some issues, but general observations at the outcome level will also be helpful as well. Although not specified in the Terms of Reference any observations on follow-up from the project, if any, would also be useful.

And finally the project emphasised the involvement of indigenous women in the CBD/GEF activities, any comments on the relative success or not of that aspect of the project are especially welcomed.

The deadline for receipt of responses is *the 22nd January 2010*. All responses will be acknowledged in the report, unless a responder wishes to remain anonymous.

Outcome 1:

- I. *Increased awareness and capacity of Indigenous Peoples, with particular focus on indigenous women, with respect to CBD and GEF processes.*

Processes/Outputs.

Are you aware of the websites established for this project?

Did you use any of them?

Are you aware of Regional radio programmes produced in your country/region as a result of this project?

Are you aware of, and have you used any of the printed materials created by this project?

Did you take part in or know about the Regional capacity building workshops that took place under the project?

Outcome 2:

II. Increased contribution to, and participation in, the CBD and GEF processes at national, regional and international levels by Indigenous Peoples, particularly indigenous women

Processes/Outputs.

Have you used or passed on to indigenous groups Policy and strategic papers developed in this project?

Are you aware of any increased Participation by indigenous peoples in CBD and GEF as a result of this project?

Similarly the Case studies on CBD implementation?

Have you used or referred others to the Indigenous expert roster developed as part of the project?

Outcome 3:

III. Effective regional and international coordination of Indigenous Peoples' interaction with the CBD and GEF

Processes/Outputs.

Are you aware of improved coordination of indigenous peoples interaction at national, regional or international level as a result of the project?

Outcome 4:

VII. Establish strategic partnerships and improved existing partnerships leading to a greater participation and emphasis on Indigenous Peoples' role in conservation and sustainable management of biodiversity resources.

Processes/Outputs.

Has there been more interaction from indigenous peoples with national BSAP'S as a result of the project?

Similarly with the GEF national dialogue initiative?

Are you aware of improved award of GEF-SGPs to your country as a result of this project?

ANNEXE 3: – Countries attributed to the project and those active during and at the end of the project

Participating Regions and Countries

| Regions | Regional Secretariat Location | Countries |
|-----------------------|---|--|
| South Asia | NTG/NEFIN Central Secretariat GPO Box: 1366, Putali Sadak, Kathmandu, Nepal Tel: +977-1.2143313 / 4269481 Mobile: +977.9857064779 Fax: +977-1.4485601 E-mail Address(es): prtamang@yahoo.co.uk ps@tamang.wlink.com.np | Bangladesh, Bhutan, India, Nepal, Pakistan, Sri Lanka |
| Southeast Asia | Inter Mountain Peoples Education and Culture in Thailand Association - IMPECT SEARCO/IMPECT, 252 Moo 2, T.Sansainoi,A.Sansai, Chiang Mai, 50210 Thailand Tel. 66 53 492 544, 398 591 Fax: 66 53 398 592 | Burma, Cambodia, Lao PDR, Thailand, Viet Nam |
| East Asia (Bahasa) | CORDILLERA PEOPLES' ALLIANCE 139 M. Roxas St., Trancoville 2600 Baguio City, Phil. MAILING ADDRESS: GARCOM Baguio (Box 596) P.O. Box 7691, DAPO Domestic Rd. 1300 Pasay City, PHIL. Telephone #: (74)442-7008 Fax#: (63)74-442-5347 | Indonesia, Malaysia, Philippines |

| | | |
|--------------------|--|--|
| West Africa | <p>EMIROAF 63, Tejuosho Street, P.O Box 696, Surulere, Lagos, Nigeria. Tel/Fax. +234-1.831194 / 2602132 E-mail: emiroaf@infoweb.abs.net / emiroaf51@hotmail.com / emiroaf@hotmail.com</p> | Benin, Gambia, Ghana, Liberia, Niger, Nigeria, Senegal, Sierra Leone, Togo |
| East Africa | <p>Indigenous Information Network (IIN) Fomer Posta Flats, Block C (No. 6) Ngong Rd, Adams Acarde- Elgeo Marakwet Rd Email: iin@iin.co.ke; iin.kenya@gmail.com, mulenkei@yahoo.com Tel: +254 020 2499388 or , : +254 020 2499389 Cellphone No: +254722914614 : +254733894080 Nairobi, Kenya</p> | Ethiopia, Kenya, Somalia, Southern Sudan, Tanzania, Uganda |
| Central Africa | <p>Association pour la Promotion Batwa (APB) BP 2472 Kigali, Rwanda Tel/Fax: +250 084 10077 Cell phone: 08534339 E-mail: z1kalimba@yahoo.com car_desk@yahoo.com</p> | Burundi, Cameroon, Central African Republic, Congo Brazzaville, Democratic Republic of the Congo, Gabon, Rwanda, |
| Central America | <p>Fundación Para la Promoción del Conocimiento Indígena (FPCI). Avenida Perú, calle 41, Bella Vista, Edificio Las Camelias. Oficina 403 A, piso 4. P.O.Box: 0815 – 00340 Panamá, Rep. De Panamá. Telefax (507) 209-2923</p> | Belize, Costa Rica, El Salvador, Guatemala, Honduras, Mexico, Nicaragua, Panama |
| South America | <p>C/O COORDINATOR OF THE INDIGENOUS</p> | Argentina, Bolivia, Brazil, Colombia, Ecuador, |

| | | |
|---------|--|--|
| | <p>ORGANIZATIONS OF THE AMAZONIAN RIVER BASIN (COICA)</p> <p>58 y Guipuzcoa. La Floresta, Distrito Metropolitano de Quito Ecuador</p> <p>Telephones: (593-02) 3226-744,</p> <p>Email: com@coica.org.ec</p> | <p>French Guyana, Guyana, Paraguay, Peru, Surinam, Venezuela</p> |
| Pacific | <p>C/O O le Siosiomaga Society Incorporated (OLSSI)</p> <p>3rd Floor, Wesley Arcade, Matafele ,Apia, Samoa</p> <p>P.O BOX 2282, APIA,SAMOA</p> <p>TEL:+685 25897 Fax:+685 21993</p> | <p>Fiji, New Caledonia, Papua New Guinea, Samoa, Solomon Islands, Vanuatu,</p> |
| Russia | <p>Russian Association of Indigenous Peoples of the North(RAIPON)</p> <p>Bolshaya Polyanka str. 44/2 ,Moscow,Russia</p> <p>Tel: + 7 (495) 748-31-24</p> <p>Fax: + 7 (495) 748-49-59</p> | <p>Russia</p> |

The participating regions and countries were 10 regions (9 regions of the International Alliance and Russia), totalling 61 countries. But the level of participation varied from country to country. Those highlighted in yellow were more active and participating in the project implementation. There were around 31 countries.

ANNEXE 4: Regional Capacity Building workshops, date and Location

| Region | Date and Place | Number of participants | Topics covered | Comments |
|------------------|--|---|---|---|
| Southeast Asia | December 6 - 7, 2006 Chiang Mai, Thailand | 25 persons from Burma, Laos, Cambodia and Thailand | IPs and the CBD | |
| Nusantara/Bahasa | September 28-30, 2006 Miri, Sarawak, Malaysia | 25 participants from Philippines, Malaysia and Indonesia | BAHASA Regional Seminar on the Convention on Bio-Diversity and Indigenous Peoples | |
| Asia-wide | April 18-29, 2007 Baguio City, Philippines | Youth from all over Asia | APIYN Workshop on CBD and Forestry Degradation | Convened by the Asia Pacific Youth Network but supported by the IPNC via the participation of youth representatives from Thailand, Malaysia and Indonesia |
| Central America | August 3-5 2007, Costa Rica | 36 persons from Mexico, Panama, Costa Rica, Nicaragua, Honduras and Guatemala | MESO AMERICA REGIONAL SEMINAR | This also served as a regional meeting for the Alliance and organizational issues were discussed |
| RAIPON | 8 – 10 August 2007 Russia | 64 Persons | The CBD and its significance to Indigenous Peoples | Held back to back with national meeting on other issues |
| South America | August 25-26, 2007, Ciudad Bolívar, Venezuela | 40 persons | Pueblos Indígenas de la Cuenca Amazónica y Biodiversidad | |

| | | | | |
|------------------|--|---|---|--|
| South Asia | December 14-16, 2007, Kathmandu, Nepal | 29 persons from Nepal, India, Bangladesh | South Asia Regional Training/Seminar on Biodiversity and Related Conventions and Indigenous Peoples | |
| East Africa | March 10-12, 2008 Nairobi, Kenya | 35 participants | To orient participants about the COP9 process; To share experiences from different regions of East Africa; To prepare, strategize and divide tasks for intervention at COP9; and To discuss about East African indigenous peoples' continuous participation in the process. | Regional meeting for CoP9 preparations |
| Nusantara/Bahasa | Jakarta, March 15th, 2008 | 41 participants from Indonesia, Malaysia, Philippines | Workshop on "Oil Palm Plantation Development and Its Impacts to Indigenous Peoples in Asia and Indonesia" | A request from the region to discuss the burning issue of palm oil plantations |
| Central Africa | March 17-19, 2008 Bujumbura, Burundi | 24 participants | Regional Capacity Building Seminar on the CBD and Indigenous Peoples | Also functioned as the regional preparatory meeting for CoP9 |
| Pacific | April 2008, Samoa | 16 from Tuvalu, Fiji, Samoa, PNG | Regional Capacity Building Workshop | Preparatory meeting for civil society and government representatives for |

| | | | | |
|-----------------|--|--|---|---|
| | | | | CoP9 |
| Latin America | April 6, 2008 Panama City, Panama | 12 women from Argentina, Chile, Brazil, Colombia, Ecuador, Peru and Panama | Indigenous Women's Biodiversity Network preparatory meeting for CoP9 | Strategy session for CoP9 |
| West Africa | Lagos, Nigeria 7 – 9 May 2008 | 60 participants from Nigeria, Benin republic, Togo and Ghana. | Capacity building seminar for West African IPs on the CBD and GEF | This also served as a regional meeting for the members in the region to discuss other issues |
| Central America | Solona, Guatemala 10-13 July 2008 | 22 young leaders from Panama, Costa Rica, Nicaragua and Guatemala | Indigenous Empowerment for a Borderless Region. (Indigenous Youth Gathering) | A gathering requested by youth representatives to define better ways for hem to inter- act with the CBD |
| Asia | November 21- 23, 2008, Chiang mai, Thailand | 35 persons | Asian Regional training Seminar on Indigenous Peoples, Biodiversity and Climate Change | The seminar was meant to pilot test an education module on climate change |

ANNEXE 5. E-mail exchange on the MoU with GEF-SGP.

This is a copy of a pdf of the email exchange between project coordinator and Secretariat of UNDP-GEF-SGP April 1 2008.

Dear Minnie,

We have been tied to a critical SGP paper, practically a matter of our survival as a programme, that we had to submit to GEF Council for its meeting this coming April. It is only now that I can get back on the matter of the proposed MOU between SGP and the Alliance. As my second message on this matter, SGP now proposes revisions as in the track changes in the draft.

We felt that the revisions have to be made because of the following:

1. The SGP as a GEF corporate programme is more properly referred to as GEF SGP and not as UNDP GEF.
2. The fact that SGP can only fund GEF focal areas must also be always considered (see 2nd para of "Whereas")
3. As we have had no previous MOUs and no annexes to this MOU, then there is no need for Article 1.
4. In the new Article 1, section 2(a), the funding of projects cannot be decided at HQ but by the National Steering Committee at the country programme level. We cannot preempt this decision nor instruct on the number of projects to be funded to a certain network. The projects have to be developed by the proponent and must meet SGP criteria. Only one project per NGO/CBO is allowed within an operational phase.
5. It is critical that communication should always be at both country and global levels (see Article 1, 2 (c)).
6. In the new Article 2, Section 1, we have to emphasize that decisions of the SGP can only be within mandated roles and available resources. At present, SGP grantmaking is not allowed for capacity building specially related to public speaking, use of media, report writing and presentation as well as for participatory documentation. They have been considered by SGP's independent evaluators as management/admin costs. However, in this coming April GEF Council meeting, there is a proposal that 5% of the grant portfolio in SGP country programmes be allowed for use for these activities. If this proposal is approved by Council, then resources will be "available". But there will surely be competition for these funds from other NGOs.
7. Again, in the new Article 3, Section 3, decision of the country SGP NSCs to decide on projects cannot be preempted. What the SGP NCs can do is inform and update the partner on how to access SGP grants.
8. In reporting, as part of the country-driven approach, the SGP country programme must be part of making the report together with the partner at the country level (see new Article 3 Section 4).
9. Note the problem SGP would have on new Article 7 on emblems and logos.

Now on the process of signing. An MOU in the UNDP parlance is a very legal document. The legal unit will have to review and most likely raise a lot of issues. The signature will be by either the UNDP/GEF Executive Coordinator or the Bureau Director.

Given that the substance of the partnership is not complex and there is no specific pooling of large amounts of cash and that in essence much of the final decisions on grantmaking will have to be at the country programme level (so lots more of discussions and agreements to be made at this level), we have usually just gone for what we call as a "Joint Communiqué". This is interpreted as not getting specific legally binding agreements but agreeing on a general framework and procedure for next steps towards where actual grantmaking decisions have to be made (at the country programme level).

Please discuss these options and send me the comments of the alliance.

I will on my side also have to update the National Coordinators of Nepal, Ecuador, Nigeria (who will still be selected), Philippines (who will still be contracted) and Samoa on this partnership so that they will at least inform me whether with the revisions, there will be no issue raised against this partnership by the National Steering Committees.

Best regards,

Delfin

Minnie Degawan wrote:

Dear Delfin:

Greetings! Please find attached a draft MoU between the SGP and the International Alliance. Am sorry for the delay of this draft but we trust you will be able to come back to us quickly with your comments and additions.

Many thanks and best regards,

Minnie Degawan

The changes alluded to are substantial and substantive, and underline the fact that the SGP process is very much country-based, and therefore not relevant (even appropriate) to be the subject of an international MoU. Other issues raised include the strongly legal nature of an MoU, and the problems (as well, of course, the possibilities) that brings.

The page reproduced below shows the extent to which there was confusion on the possible role of a MoU.

Article 1 Interpretation

1. Any Annex to this MOU shall be considered part of this MOU. Unless the context otherwise requires, references to this MOU shall be construed as a reference to this MOU including the Annex hereto, as varied or amended in accordance with the terms of this MOU.

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2. This MOU supersedes all prior MOUs, communications and representations, whether oral or written, concerning the subject matter thereof.

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Article 2 Purpose

1. The purpose of this MOU is to provide a framework of cooperation and understanding and to facilitate collaboration between the Parties to further their shared goals and objectives in regard to the enhanced participation of indigenous peoples in the conservation, protection, enhancement and support of natural resources, including biological diversity worldwide.
2. The objectives of this MOU will be achieved through:
 - a. Agreeing and establishing a minimum of five (5) Development by International Alliance members of pilot SGP projects in the IPNC¹ project countries, that meets SGP criteria and that specifically incorporates indigenous issues and partners;
 - b. Regular dialogue meetings between indigenous organizations, the national focal points of the International Alliance and the country focal points National Coordinators of the GEF/UNDP-SGP;
 - c. Regular communications between the secretariat of the International Alliance and the UNDP-GEF SGP at country and global levels to provide relevant updates;

Article 3 Areas of Cooperation

1. The Parties agree on jointly supporting within the particular mandated roles of their programs and available resources establishing a minimum of five SGP strategically important projects under the following preliminary overarching themes:
 - a. Indigenous peoples participation in natural resources management, including the traditional knowledge and practices towards conservation of biodiversity;
 - b. Protection and promotion of traditional knowledge and practices relevant to the achievement of the objectives of the CBD, including the special role of indigenous women;
 - c. Capacity building for indigenous peoples organizations at the national level in order to effectively participate at national discussions and decisions regarding

¹ Indigenous People Network for Change project.

ANNEXE 6: Co-financing and Leveraged Resources

Co-financing (basic data to be supplied to the consultant for verification)

| Co financing (Type/Source) | IA own Financing (mill US\$) | | Government NORAD (mill US\$) | | Other* NOVIB (mill US\$) | | Total (mill US\$) | | Total Disbursement (mill US\$) | |
|--|------------------------------------|--------|------------------------------------|--------|--------------------------------|--------------|----------------------|--------|--------------------------------------|--------|
| | Planned | Actual | Planned | Actual | Planned | Actual | Planned | Actual | Planned | Actual |
| - Grants | | | 0.105 | 0.105 | 0.3 | 0.3 | 0.405 | 0.405 | | 0.405 |
| - Loans/Concessional (compared to market rate) | | | | | | | | | | |
| - Credits | | | | | | | | | | |
| - Equity investments | | | | | | | | | | |
| - In-kind support | 0.099 | 0.108 | | | | | 0.099 | 0.108 | | 0.108 |
| - Other (*) -Non-grant instrument - -- | | | | | | 0.011 | | 0.011 | | 0.011 |
| V. Totals | 0.099 | 0.108 | 0.105 | 0.105 | 0.3 | 0.311 | 0.504 | 0.524 | | 0.524 |

* Other is referred to contributions mobilized for the project from other multilateral agencies, bilateral development cooperation agencies, NGOs, the private sector and beneficiaries.

Leveraged Resources

Leveraged resources are additional resources—beyond those committed to the project itself at the time of approval—that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGO's, foundations, governments, communities or the private sector. Please briefly describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project's ultimate objective.

ANNEXE 7: GEF Financial Statements

IPNC Financial Report - GEF

Summary total project report

Project Number GFL/CPL/2328-2711-4879 PMS: GF/CP/2010-05-04

Supporting Organization: UNEP

Project Title: Indigenous Peoples' Network for Change

Project Commencing: October 2005

Project Ending: December 2008

| | 2005 | 2006 | 2007 | 2008 | 2009 | Total |
|--|------|---------|------------|------------|-----------|------------|
| Project personnel | | 96,869 | 82,622.60 | 154,622.44 | 8,900.00 | 343,014.04 |
| Training | | 58,941 | 53,637.84 | 105,262.00 | 3,119.00 | 220,959.84 |
| Support for CBD Meetings etc | | 1,192 | 2,515.07 | 27,993.81 | - | 31,700.88 |
| Equipment/ premises | 1442 | 31,411 | 28,218.71 | 24,745.89 | 11,204.92 | 97,022.52 |
| Miscellaneous | 505 | 63,353 | 46,527.51 | 98,494.36 | 12,180.38 | 221,060.25 |
| Grand Total | 1947 | 251,766 | 213,521.73 | 411,118.50 | 35,404.30 | 913,757.53 |
| Assumed Year on Year expenditure | | 269,608 | 325,668 | 318,568 | - | |
| Variation %, including 2005/2006 as year 1 | | -6% | -53% | +22.6% | +100% | |

ANNEXE 8: Terms of Reference

TERMS OF REFERENCE

Terminal Evaluation of UNEP GEF Project

Indigenous Peoples' Network for Change–GF/CP/2010-05-04 (4879)

1. PROJECT BACKGROUND AND OVERVIEW

In accordance with Article 8(j) and related provisions of the Convention on Biological Biodiversity (CBD), the GEF's operations programs on biodiversity, sustainable use and strengthening participation of indigenous and local communities is emphasized. Article 8(j) and other provisions of the Convention dealing with traditional knowledge commit Governments and Contracting Parties:

- to establish mechanisms to ensure the effective participation of indigenous and local communities in decision-making and policy planning;
- to respect, preserve and maintain traditional knowledge relevant to the conservation and sustainable use of biological diversity;
- its wider application with the approval and involvement of the indigenous and local communities concerned; and
- to encourage the equitable sharing of the benefits arising from the utilization of such traditional knowledge.

The third Conference of Parties (COP-3) recognized the need to provide support for the implementation of priority activities identified in the program of work on Article 8(j), especially for capacity-building projects for indigenous and local communities. The International Indigenous Forum on Biodiversity (IIFB) established during COP 3 represented indigenous people in different CBD and GEF fora as advisors to the Parties in the implementation of the Article 8(j) and related provisions.

The Project “**Indigenous Peoples' Network for Change**” is a global indigenous peoples' initiative developed in a collaborative manner between key indigenous leaders, indigenous peoples organizations on a national and regional level, the International Alliance of Indigenous and Tribal Peoples of the Tropical Forests (IAITPTF) and the UNEP, and responds to the continued recognition within the CBD process of the importance and need for increased participation by indigenous peoples. The project began with a total of 60 CBD Party states⁵ in which International Alliance of Indigenous and Tribal Peoples of the Tropical Forest (IAITPTF) members reside, including Russia as the site of the Russian Association of the

⁵ East Africa: Kenya, Tanzania, Uganda, Ethiopia, Somalia and southern Sudan; Central Africa: Rwanda, the Democratic Republic of the Congo, Burundi, Congo Brazzaville, the Central African Republic, Gabon and Cameroon; West Africa: Nigeria, Togo, Ghana, Benin, Sierra Leone, Niger, Gambia, Senegal, Liberia; South Asia: India, Nepal, Bangladesh, Bhutan, Sri Lanka, Pakistan; Southeast Asia: Cambodia, Lao PDR, Thailand, Burma and Viet Nam; Pacific: Fiji, Vanuatu, Solomon Islands, Papua New Guinea, New Caledonia; Central America: Mexico, Costa Rica, Guatemala, El Salvador, Belize, Honduras, Nicaragua and Panama; South America: Brazil, Surinam, Guyana, French Guyana, Colombia, Venezuela, Ecuador, Paraguay, Argentina, Peru, Bolivia; East Asia : Philippines, Malaysia and Indonesia

Indigenous Peoples of the North (RAIPON), but the number of countries was expected to change following new membership.

The **objectives of this project** were:

- To enhance indigenous peoples' awareness and effective participation in CBD and GEF processes through the establishment of communication and information mechanisms that promote an effective exchange of information
- To strengthen indigenous peoples' capacity to formulate policy and projects with respect to the CBD and the GEF and to participate in the implementation and monitoring of biodiversity projects

The IAITPF, which was a key partner in the development of this project, was best placed executing agency. The project was developed in a collaborative manner between key indigenous leaders, indigenous people's organizations on a national and regional level, IAITPF and the UNEP. IAITPF in conjunction with the GEF Secretariat presented the proposed project at the Seventh Conference of the Parties to the Convention on Biological Diversity (COP-7) held in Kuala Lumpur in February 2004.

Relevance to GEF Programmes

The proposed project falls under GEF OP # 1-4, which support "capacity building efforts that promote the preservation and maintenance of indigenous and local communities' knowledge, innovation, and practices relevant to biological diversity conservation, with their prior informed consent and participation. It is also relevant to OP #13, under creating new incentives, which calls for "particular attention to indigenous groups and rural communities who maintain agricultural biodiversity of global importance through their farming practices".

In specific, this project responds directly to Article 8(j) and other provisions of the CBD dealing with traditional knowledge and related GEF-Biodiversity Directions and targets. With respect to **Priority IV: Generation and Dissemination of Best Practices for Addressing Current and Emerging Biodiversity Issues**, the project aims to contribute to the improved analysis, synthesis and dissemination of best practice amongst, and from, indigenous groups, as well as building up technical cooperation and demonstration of indigenous managed ecosystem approaches. Additionally, with respect to **Priority I: Catalyzing Sustainability of Protected Areas**, the project responds directly to Capacity Building for long-term Sustainability and Catalyzing Community – Indigenous Initiatives. With respect to **Priority II: Mainstreaming Biodiversity in Production Landscapes and Sectors**, the project will be working directly with indigenous local communities to improve communications and share best practice on mainstreaming biodiversity within production systems. With respect to **Priority III: Capacity Building for Implementation of the UN Convention on Biological Diversity Cartagena Protocol on Biosafety**, this will be one of the GEF biodiversity focal areas targeted for improved communications and participation by indigenous groups in the context of the proposed project.

The project was also consistent with a number of Second Study of GEF's Overall Performance (OPS2) conclusions and recommendations including: continuing to serve the CBD, improving understanding of GEF, addressing more systematic stakeholder participation, improving GEF visibility through better information products and

communication; strengthening and accelerating cross learning processes; support for the effective medium size project vehicle; and greater emphasis on increasing potential for replication in project design and implementation. Recommendation #9 of OPS2 specifically calls for agencies to better document involvement of indigenous communities in GEF-funded projects - which this project was to directly address.

Executing Arrangements

International Alliance of Indigenous and Tribal Peoples of the Tropical Forest (IAITPF) was the Executing Agency and was to manage the funds provided to the project by UNEP, on behalf of GEF, consistent with UNEP and IAITPF budgetary and financial rules. The International Coordinating Committee of the International Alliance, together with RAIPON, was instrumental in designing this project, including formulation of regional work plans and regional activities through the coordinating focal points based in Regional Secretariats.

The project maintained a physical presence in Chiang Mai, Thailand, wherefrom all, wherefrom all coordination activities were implemented under a Technical Co-ordinator. Approved activities were executed by regional, national and local focal points of member countries. A Project Management Committee (PMC) was established purposely to both guide the project's implementation and to take quick action in the event of project implementation slowing. This Committee was mandated to suggest alternative implementation arrangements. Its membership was specifically envisioned to catalyze strong cooperation and supportive action from amongst its members.

Project Activities

This was a 3-year project, which commenced in July 2005 and ended in December 2008. The activities proposed in this project were identified through a consultative process spearheaded by the International Coordinating Committee of the International Alliance, together with RAIPON, in conjunction with GEF and UNEP. The project comprised activities in the following four inter-related components:

Component 1: Increased awareness of indigenous peoples, with particular focus on indigenous women, with respect to the CBD and the GEF and their processes

- i. Up-date information system continuously
- ii. Simplify and translate CBD and GEF materials
- iii. Establishment and support of regional information dissemination strategies
- iv. Setting up regional radio programmes or alternative media systems in 3 pilot areas
- v. Realization of regional capacity building workshops

Component 2: Increased contribution to and participation in CBD and GEF processes at national, regional and international levels by Indigenous peoples, particularly women.

- i. Development of policy and strategic papers
- ii. Participation in CBD and GEF meetings

- iii. Commission ten regional case studies
- iv. Establishment of a multi-disciplinary indigenous advisory expert group
- v. Establishment of IP expert roster

Component 3: Effective regional and international coordination of indigenous peoples' interaction with the CBD and the GEF

- i. Establishment of project secretariat
- ii. Recruitment of staff
- iii. Organization of project management workshop
- iv. Holding Bi-annual PMC meetings
- v. Establishment of the IMS and website
- vi. Preparation of baseline data
- vii. Mid-term survey and review of project activities

Component 4: Establish strategic partnerships and improved existing partnerships leading to a greater participation and emphasis on Indigenous Peoples' role in conservation and sustainable management of biodiversity resources.

- i. Participation of IP organizations in review, implementation and monitoring of NBSAPs
- ii. Contribution to/ participation in GEF NDI
- iii. Building partnerships with the GEF-SGP
- iv. Funding for sub-projects
- v. Conduct long-term financial strategy study

Budget

The total budget was US\$ 1,438,737 of which the GEF component was USD 938,844 while co-financing – bilateral (USD 100,291), NGOs (300,413), in-kind contribution (99,189) amounted to a scheduled USD 499,893. There was also USD 168,000 scheduled by GTZ for financing associated activities.

2. TERMS OF REFERENCE FOR THE EVALUATION

1. Objective and Scope of the Evaluation

The objective of this terminal evaluation is to examine the extent and magnitude of any project impacts to date and determine the likelihood of future impacts. The evaluation will also assess project performance and the implementation of planned project activities and planned outputs against actual results. The evaluation will focus on the following main questions:

- To what extent has the project increased awareness and capacity of indigenous peoples, including of indigenous people, with respect to the CBD and the GEF and their processes?
- To what extent has the project increased contribution to and participation in CBD and GEF processes at national, regional and international levels by Indigenous peoples, including women?
- What measures has the project put in place for effective regional and international coordination of indigenous peoples' interaction with the CBD and the local actors?
- To what extent has the project established strategic partnerships and improve existing partnerships leading to a greater participation and emphasis on Indigenous Peoples' role in conservation and sustainable management of biodiversity resources?

2. Methods

This terminal evaluation will be conducted as an in-depth evaluation using a participatory approach whereby the UNEP/GEF Task Manager, key representatives of the executing agencies and other relevant staff are kept informed and regularly consulted throughout the evaluation. The consultant will liaise with the UNEP/Evaluation Office and the IAITPF staff remaining in Chiang Mai office and their HQ in the USA on any logistic and/or methodological issues to properly conduct the evaluation in as independent a way as possible, given the circumstances and resources offered.

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

1. A desk review of project documents including, but not limited to:
 - a) The project documents, outputs, monitoring reports (such as progress and financial reports to UNEP and relevant correspondence.
 - b) Review of specific products including the 'experience and guidance' publication, case studies, final reports from country executing agencies.
 - c) Notes from the Management Committee meetings.
 - d) Relevant material published on the project web-site.
2. Interviews with project management and technical support (such as members of the Coordinating Committee of the International Alliance, collaborators and regional Coordinators).

3. Administering e-questionnaires to intended users for the project outputs and other stakeholders involved with this project, including in the participating countries and international bodies.
4. The Consultant shall determine whether to seek additional information and opinions from representatives of donor agencies and other organisations by e-mail or through telephone communication.
5. Interviews with the UNEP/ Task Manager in Bangkok and Fund Management Officer in Nairobi, and other relevant staff in UNEP dealing with CBD and related conventions as necessary. The Consultant shall also gain broader perspectives from discussions with relevant GEF Secretariat staff, if deemed of added value.
6. Field visits to selected regional coordinators, IPO project partners, and the technical secretariat in Chiang Mai, Thailand, if still operational.

Key Evaluation principles

In attempting to evaluate any outcomes and impacts that the project may have achieved, evaluators should remember that the project's performance should be assessed by considering the difference between the answers to two simple questions “*what happened?*” and “*what would have happened anyway?*” These questions imply that there should be consideration of the baseline conditions and trends in relation to the intended project outcomes and impacts. In addition, it implies that there should be plausible evidence to **attribute** such outcomes and impacts to the actions of the project **or determine the contribution** of the project to the outcomes and impacts.

Sometimes, adequate information on baseline conditions and trends is lacking. In such cases, this should be clearly highlighted by the evaluator, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance

3. Project Ratings

The success of project implementation will be rated on a scale from ‘highly unsatisfactory’ to ‘highly satisfactory’. In particular the evaluation shall **assess and rate** the project with respect to the eleven categories defined below:⁶

It should be noted that many of the evaluation parameters are interrelated. For example, the ‘achievement of objectives and planned results’ is closely linked to the issue of ‘sustainability’. Sustainability is understood as the probability of continued long-term project-derived outcomes and impacts and is, in turn, linked to the issues of ‘catalytic effects / replication’ and, often, ‘country ownership’ and ‘stakeholder participation’.

D. Attainment of objectives and planned results:

The evaluation should assess the extent to which the project's major relevant objectives were effectively and efficiently achieved or are expected to be achieved and their relevance.

⁶ However, the views and comments expressed by the evaluator need not be restricted to these items.

- *Effectiveness*: Evaluate how, and to what extent, the stated project objectives have been met, taking into account the “achievement indicators”. The analysis of outcomes achieved should include, *inter alia*, an assessment of the extent to which the project has directly or indirectly assisted policy and decision-makers to apply information supplied by the IPNC in their national planning and decision-making. In particular:
 - Evaluate the immediate impact of the project on the GEF biodiversity focal areas for improved communication and participation by indigenous groups.
 - As far as possible, also assess the potential longer-term impacts considering that the evaluation will take place one years after completion of the project. Frame recommendations to enhance future project impact. UNEP’s Evaluation Office advocates the use of the **Review of Outcomes to Impacts (ROtI)** method (described in Annex 6) to establish this rating .
- *Relevance*: In retrospect, were the project’s outcomes consistent with the focal areas/operational program strategies? Ascertain the nature and significance of the contribution of the project outcomes to the GEF focal areas of biodiversity.
- *Efficiency*: Was the project cost effective? Was the project the least cost option? Was the project implementation delayed and if it was, then did that affect cost-effectiveness? Assess the contribution of cash and in-kind co-financing to project implementation and to what extent the project leveraged additional resources. Did the project build on earlier initiatives, did it make effective use of available scientific and /or technical information. Wherever possible, the evaluator should also compare the cost-time vs. outcomes relationship of the project with that of other similar projects.

E. Sustainability:

Sustainability is understood as the probability of continued long-term project-derived outcomes and impacts after the GEF project funding ends. The evaluation will identify and assess the key conditions or factors that have contributed or undermine the persistence of benefits after the project ended. Some of these factors might be outcomes of the project, e.g. stronger institutional capacities or better informed decision-making. Other factors will include contextual circumstances or developments that are not outcomes of the project but that are relevant to the sustainability of outcomes. The evaluation should ascertain to what extent follow-up work has been initiated and how project outcomes will be sustained and enhanced over time. **Application of the ROtI method** described in Annex 6 will also assist in the evaluation of sustainability.

Five aspects of sustainability should be addressed: financial, socio-political, institutional frameworks and governance. The following questions provide guidance on the assessment of these aspects:

- *Financial resources*. Are there any financial risks that have jeopardized sustenance of project outcomes? To what extent are the outcomes of the project dependent on continued financial support? Resources can be from multiple sources, such as the public and private sectors, income generating activities, and trends that may indicate that it is likely that in future there will be adequate financial resources for sustaining project’s outcomes
- *Socio-political*: Are there any social or political risks that may jeopardize sustenance of project outcomes? What is the risk that the level of stakeholder ownership will be insufficient to allow for the project outcomes to be sustained? Do the various key stakeholders see that it is in their interest that the project

benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project?

- *Institutional framework and governance.* To what extent is the sustenance of the outcomes of the project dependent on issues relating to institutional frameworks and governance? What is the likelihood that institutional and technical achievements, legal frameworks, policies and governance structures and processes will allow for, the project outcomes/benefits to be sustained? While responding to these questions consider if the required systems for accountability and transparency and the required technical know-how are in place.
- *Environmental.* Are there any environmental risks that can undermine the future flow of project environmental benefits? The TE should assess whether certain activities in the project area will pose a threat to the sustainability of the project outcomes. For example; construction of dam in a protected area could inundate a sizable area and thereby neutralize the biodiversity-related gains made by the project; or, a newly established pulp mill might jeopardise the viability of nearby protected forest areas by increasing logging pressures; or a vector control intervention may be made less effective by changes in climate and consequent alterations to the incidence and distribution of malarial mosquitoes. Would these risks apply in other contexts where the project may be replicated?

F. Achievement of outputs and activities:

- Delivered outputs: Assessment of the project's success in producing each of the programmed outputs, both in quantity and quality as well as usefulness and timeliness.
- Assess the soundness and effectiveness of the methodologies used for developing the technical documents and related management options in the participating countries

G. Catalytic Role

The catalytic role of the GEF is embodied in its approach of supporting the creation of an enabling environment, investing in activities which are innovative and supporting activities that upscale new approaches to a national (or regional) level to sustainably achieve global environmental benefits.

In general this catalytic approach can be separated into three broad categories of GEF activities: (1) “**foundational**” and enabling activities, focusing on policy, regulatory frameworks, and national priority setting and relevant capacity (2) **demonstration** activities, which focus on demonstration, capacity development, innovation, and market barrier removal; and (3) **investment** activities, full-size Projects with high rates of co-funding, catalyzing investments or implementing a new strategic approach at the national level.

In this context the evaluation should assess, if applicable, the catalytic role played by this Project by

The three categories approach combines all the elements that have been shown to catalyze results in international cooperation. Evaluations in the bilateral and multilateral aid community have shown time and again that activities at the micro level of skills transfer—piloting new technologies and demonstrating new approaches—will fail if these activities are not supported at the institutional or market level as well. Evaluations have also consistently shown that institutional capacity development or market interventions on a larger scale will fail if governmental laws, regulatory frameworks, and policies are not in place to support and sustain these improvements. And they show that demonstration, innovation and market barrier removal do not work if there is no follow up through investment or scaling up of financial means.

consideration of the following questions:

- INCENTIVES: To what extent have the Project activities provided incentives (socio-economic / market based) to contribute to catalyzing changes in stakeholder behaviours?
- INSTITUTIONAL CHANGE: To what extent have the Project activities contributed to changing institutional behaviors?
- POLICY CHANGE: To what extent have Project activities contributed to policy changes (and implementation of policy)?
- CATALYTIC FINANCING: To what extent did the Project contribute to sustained follow-on financing from Government and / or other donors? (this is different from co-financing)
- PROJECT CHAMPIONS: To what extent have changes (listed above) been catalyzed by particular individuals or institutions (without which the Project would not have achieved results)?

(Note: the ROtI analysis should contribute useful information to address these questions)

What examples are there of replication and catalytic outcomes? Replication approach, in the context of GEF projects, is defined as lessons and experiences coming out of the project that are replicated or scaled up in the design and implementation of other projects. Replication can have two aspects, replication proper (lessons and experiences are replicated in different geographic area) or scaling up (lessons and experiences are replicated within the same geographic area but funded by other sources). Specifically: If no effects are identified, the evaluation will describe the catalytic or replication actions that the project carried out.

H. Assessment of monitoring and evaluation systems.

The evaluation shall include an assessment of the quality, application and effectiveness of project monitoring and evaluation plans and tools, including an assessment of risk management based on the assumptions and risks identified in the project document. The Terminal Evaluation will assess whether the project met the minimum requirements for ‘project design of M&E’ and ‘the application of the Project M&E plan’ (see minimum requirements 1&2 in *Annex 5* to this Appendix). GEF projects must budget adequately for execution of the M&E plan, and provide adequate resources during implementation of the M&E plan, however older generation projects particularly the MSPs such as the IPNC project under evaluation, have often not been able to adequately budget and design for M&E Plans and should be evaluated against that background.. Project managers are also expected to use the information generated by the M&E system during project implementation to adapt and improve the project.

M&E during project implementation

- *M&E design.* Projects should have sound M&E plans to monitor results and track progress towards achieving project objectives. An M&E plan should include a baseline (including data, methodology, etc.), SMART indicators (see Annex 4) and data analysis systems, and evaluation studies at specific times to assess results. The time frame for various M&E activities and standards for outputs should have been specified.

- *M&E plan implementation.* A Terminal Evaluation should verify that: an M&E system was in place and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period (perhaps through use of a logframe or similar); annual project reports and Progress Implementation Review (PIR) reports were complete, accurate and with well justified ratings; that the information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs; and that projects had an M&E system in place with proper training for parties responsible for M&E activities.
- *Budgeting and Funding for M&E activities.* The terminal evaluation should determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

I. Preparation and Readiness

Were the project's objectives and components clear, practicable and feasible within its timeframe? Were the capacities of executing institution and counterparts properly considered when the project was designed? Were lessons from other relevant projects properly incorporated in the project design? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation? Were counterpart resources (funding, staff, and facilities), enabling legislation, and adequate project management arrangements in place?

J. Country ownership / drive-ness:

This is the relevance of the project to national development and environmental agendas, recipient country commitment, and regional and international agreements. The evaluation will:

- Assess the level of country ownership. Specifically, the evaluator should assess whether the project was effective in providing and communicating biodiversity information that catalyzed action in participating countries to improve decisions relating to systematic participation of indigenous groups.
- Assess the level of country commitment to the use of the information generated by IPNC for decision-making during and after the project, including in regional and international fora.

K. Stakeholder participation / public awareness:

This consists of three related and often overlapping processes: information dissemination, consultation, and "stakeholder" participation. Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or stake in the outcome of the GEF-financed project. The term also applies to those potentially adversely affected by a project. The evaluation will specifically:

- Assess the mechanisms put in place by the project for identification and engagement of stakeholders in each participating country and establish, in consultation with the stakeholders, whether this mechanism was successful, and identify its strengths and weaknesses.
- Assess the degree and effectiveness of collaboration/interactions between the various project partners and institutions during the course of implementation of the project.
- Assess the degree and effectiveness of any various public awareness activities that were undertaken during the course of implementation of the project.

L. Financial Planning

Evaluation of financial planning requires assessment of the quality and effectiveness of financial planning and control of financial resources throughout the project's lifetime.

Evaluation includes actual project costs by activities compared to budget (variances), financial management (including disbursement issues), and co- financing. The evaluation should:

- Assess the strength and utility of financial controls, including reporting, and planning to allow the project management to make informed decisions regarding the budget and allow for a proper and timely flow of funds for the payment of satisfactory project deliverables.
- Present the major findings from the financial audit if one has been conducted.
- Identify and verify the sources of co- financing as well as leveraged and associated financing (in co-operation with the IA and EA).
- Assess whether the project has applied appropriate standards of due diligence in the management of funds and financial audits.
- The evaluation should also include a breakdown of final actual costs and co-financing for the project prepared in consultation with the relevant UNEP/DGEF Fund Management Officer of the project (**table attached in Annex 2 Co-financing and leveraged resources**).

M. Implementation approach:

This includes an analysis of the project's management framework, adaptation to changing conditions (adaptive management), partnerships in implementation arrangements, changes in project design, and overall project management. The evaluation will:

- Ascertain to what extent the project implementation mechanisms outlined in the project document have been closely followed. In particular, assess the role of the various committees established and whether the project document was clear and realistic to enable effective and efficient implementation, whether the project was executed according to the plan and how well the management was able to adapt to changes during the life of the project to enable the implementation of the project.
- Evaluate the effectiveness and efficiency and adaptability of project management and the supervision of project activities / project execution arrangements at all levels (1) oversight & policy decisions: Project Management Committee; (2) day to day project management in each of the regional coordinators and the International Technical secretariat.

N. UNEP Supervision and Backstopping

The purpose of supervision is to work with the executing agency in identifying and dealing with problems which arise during implementation of the project itself. Such problems may be related to project management but may also involve technical/substantive issues in which UNEP has a major contribution to make. The evaluator should assess the effectiveness of supervision and administrative and financial support provided by UNEP/DGEF including:

- the adequacy of project supervision plans, inputs and processes;
- the emphasis given to outcome monitoring (results-based project management);
- the realism / candor of project reporting and rating (i.e. are PIR ratings an accurate reflection of the project realities and risks);
- the quality of documentation of project supervision activities; and
- financial, administrative and other fiduciary aspects of project implementation supervision.

In summary, accountability and implementation support through technical assistance and problem solving are the main elements of project supervision (Annex 4).

O. Complementarity with UNEP Medium Term Strategy and Programme of Work

UNEP aims to undertake GEF funded projects that are aligned with its strategy. Whilst it is recognised that UNEP GEF projects designed prior to the production of the UNEP Medium Term Strategy (MTS) <http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf> / Programme of Work (POW) 2010/11 would not necessarily be aligned with the Expected Accomplishments articulated in those documents, complementarity may exist nevertheless. For this reason, the complementarity of GEF projects with UNEP's MTS / POW will not be formally rated; however, the evaluation should present a brief narrative to cover the following issues:

Linkage to UNEP's Expected Accomplishments. The UNEP Medium Term Strategy specifies desired results in six thematic focal areas. The desired results are termed Expected Accomplishments. Using the completed ROTI analysis, the evaluation should comment on whether the project makes a tangible contribution to any of the Expected Accomplishments specified in the UNEP MTS. The magnitude and extent any contributions and the casual linkages should be fully described.

*Project contributions that are in-line with the Bali Strategic Plan (BSP)*⁷. The outcomes and achievements of the project should be briefly discussed in relation to the objectives of the UNEP BSP.

South-South Cooperation is regarded as the exchange of resources, technology and knowledge between developing countries. Briefly describe any aspects of the project that could be considered as examples of South-South Cooperation.

The **ratings will be presented in the form of a table**. Each of the eleven categories should be rated separately with **brief justifications** based on the findings of the main analysis. An overall rating for the project should also be given. The following rating system is to be applied:

| | |
|----|-----------------------------|
| HS | = Highly Satisfactory |
| S | = Satisfactory |
| MS | = Moderately Satisfactory |
| MU | = Moderately Unsatisfactory |
| U | = Unsatisfactory |
| HU | = Highly Unsatisfactory |

4. Evaluation Report Format and Review Procedures

The report should be brief, to the point and easy to understand. It must explain; the purpose of the evaluation, exactly what was evaluated and the methods used. The report must highlight any methodological limitations, identify key concerns and present evidence-based findings, consequent conclusions, recommendations and lessons. The report should be presented in a way that makes the information accessible and comprehensible and include an executive summary that encapsulates the essence of the information contained in the report to facilitate dissemination and distillation of lessons.

⁷ <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

The evaluation will rate the overall implementation success of the project and provide individual ratings of the eleven implementation aspects as described in Section 1 of this TOR. ***The ratings will be presented in the format of a table with brief justifications based on the findings of the main analysis.***

Evidence, findings, conclusions and recommendations should be presented in a complete and balanced manner. Any dissident views in response to evaluation findings will be appended in an annex. The evaluation report shall be written in English, be of no more than 50 pages (excluding annexes), use numbered paragraphs and include:

- i) An **executive summary** (no more than 3 pages) providing a brief overview of the main conclusions and recommendations of the evaluation;
- ii) **Introduction and background** giving a brief overview of the evaluated project, for example, the objective and status of activities; The GEF Monitoring and Evaluation Policy, 2006, requires that a Terminal Evaluation (TE) report will provide summary information on when the evaluation took place; places visited; who was involved; the key questions; and, the methodology.
- iii) **Scope, objective and methods** presenting the evaluation's purpose, the evaluation criteria used and questions to be addressed;
- iv) **Project Performance and Impact** providing *factual evidence* relevant to the questions asked by the evaluator and interpretations of such evidence. This is the main substantive section of the report. The evaluator should provide a commentary and analysis on all eleven evaluation aspects (A – K above).
- v) **Conclusions and rating** of project implementation success giving the evaluator's concluding assessments and ratings of the project against given evaluation criteria and standards of performance. The conclusions should provide answers to questions about whether the project is considered good or bad, and whether the results are considered positive or negative. The ratings should be provided with a brief narrative comment in a table (see *Annex 1* to this Appendix);
- vi) **Lessons (to be) learned** presenting general conclusions from the standpoint of the design and implementation of the project, based on good practices and successes or problems and mistakes. Lessons should have the potential for wider application and use. All lessons should 'stand alone' and should:
 - Briefly describe the context from which they are derived
 - State or imply some prescriptive action;
 - Specify the contexts in which they may be applied (if possible, who when and where)
- vii) **Recommendations** suggesting *actionable* proposals for improvement of the current project. In general, Terminal Evaluations are likely to have very few (perhaps two or three) actionable recommendations.

Prior to each recommendation, the issue(s) or problem(s) to be addressed by the recommendation should be clearly stated.

A high quality recommendation is an actionable proposal that is:

1. Feasible to implement within the timeframe and resources available
2. Commensurate with the available capacities of project team and partners
3. Specific in terms of who would do what and when

4. Contains results-based language (i.e. a measurable performance target)
5. Includes a trade-off analysis, when its implementation may require utilizing significant resources that would otherwise be used for other project purposes.

viii) **Annexes** may include additional material deemed relevant by the evaluator but must include:

1. The Evaluation Terms of Reference,
2. A list of interviewees, and evaluation timeline
3. A list of documents reviewed / consulted
4. Summary co-finance information and a statement of project expenditure by activity
5. Details of the Project's 'impact pathways' and the 'ROtI' analysis
6. The expertise of the evaluation team. (brief CV).

TE reports will also include any response / comments from the project management team and/or the country focal point regarding the evaluation findings or conclusions as an annex to the report, however, such will be appended to the report by UNEP/Evaluation Office.

Examples of UNEP GEF Terminal Evaluation Reports are available at www.unep.org/eou

Review of the Draft Evaluation Report

Draft reports shall be submitted to the Chief of Evaluation UNEP. The Chief of Evaluation will share the report with the corresponding Programme or Project Officer and his or her supervisor for initial review and consultation. The DGEF staff and senior Executing Agency staff are allowed to comment on the draft evaluation report. They may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. The consultation also seeks feedback on the proposed recommendations. UNEP/Evaluation Office collates all review comments and provides them to the evaluators for their consideration in preparing the final version of the report.

5. Submission of Final Terminal Evaluation Reports.

The final report shall be written in English and submitted in electronic form in MS Word format and should be sent directly to:

Segbedzi Norgbey, Chief,
 UNEP Evaluation Office
 P.O. Box 30552-00100
 Nairobi, Kenya
 Tel.: +(254-20)762-3387
 Fax: +(254-20)762-3158
 Email: Segbedzi.Norgbey@unep.org

The Chief of Evaluation will share the report with the following individuals:

Max Zieren
 UNEP/DGEF Regional Programme Coordinator Asia Pacific
 UNEP Regional Office Asia Pacific, Bangkok

Tel.: +66-2-2882101
E-mail: max.zieren@unep.org

Paul Vrontamitis
Division of GEF Coordination
UNEP/Division of GEF Coordination
P.O. Box 30552-00100 Nairobi, Kenya
Tel: 254 20 7623347
Fax: 254 20 7624041

The final evaluation report will be printed in hard copy and published on the Evaluation and Oversight Unit's web-site www.unep.org/eou.

6. Resources and schedule of the evaluation

This final evaluation will be undertaken by an international evaluator contracted by the Evaluation Office, UNEP. The contract for the evaluator will begin on **4th January 2010 and end on 12th March 2010 (5 weeks or 28 working days)** spread **over 10 weeks** (i.e. **6 days of travel** to Chiang Mai and Nairobi IPNC regional office, **10 days desk study** and **12 of report writing**). The evaluator will submit a **draft report on 15th January 2010** to UNEP/Evaluation Office. The Chief of Evaluation Office will share the draft report with the UNEP/DGEF Task Manager, and key representatives of the executing agencies. Any comments or responses to the draft report will be sent to UNEP / Evaluation Office for collation and the consultant will be advised of any necessary revisions. Comments to the final draft report will be sent to the consultant by 28 February 2010 after which, the consultant will submit the final report no later than **12th March 2010**.

The evaluator will after an initial telephone briefing with Evaluation Office and UNEP/GEF, conduct initial desk review work and later travel Nairobi to meet with the GEF Task manager. Furthermore, the evaluator is expected to travel to Thailand to meet with representatives of the project executing agencies and some of the intended users of project's outputs.

In accordance with UNEP policy, all UNEP projects are evaluated by independent evaluators contracted as consultants by the UNEP Evaluation Office. The evaluator will work under the overall supervision of the Chief, Evaluation Office, UNEP. S/he should not have been associated with the design and implementation of the project and must have the following qualifications: at least Masters degree (or its equivalent); working experience with International NGOs; knowledge of stakeholder participation in the CBD; experience in management and implementation of multi-institutional, donor funded projects (especially projects that analysis, synthesis and dissemination of best practices); and experience with evaluation of UNEP/GEF Projects. Knowledge of tropical indigenous groups is an advantage. Must be fluent in oral and written English. Any other UN language will be an advantage.

7. Schedule Of Payment

The evaluator will receive an initial payment of equivalent to the lump sum travel upon signing of the contract, 40% of the SSA fee upon submission of draft report and final payment of 60% upon satisfactory completion of work. The fee is payable under the individual SSAs of the evaluator and is inclusive of all expenses such as travel, accommodation and incidental expenses.

In case, the evaluator cannot provide the products in accordance with the TORs, the timeframe agreed, or his products are substandard, the payment to the evaluator could be withheld, until such a time the products are modified to meet UNEP's standard. In case the evaluator fails to submit a satisfactory final product to UNEP, the product prepared by the evaluator may not constitute the evaluation report.

Annex 1: OVERALL RATINGS TABLE

| Criterion | Evaluator's Summary Comments | Evaluator's Rating |
|---|------------------------------|--------------------|
| A. Attainment of project objectives and results (overall rating) | | |
| Sub criteria (below) | | |
| A. 1. Effectiveness | | |
| A. 2. Relevance | | |
| A. 3. Efficiency | | |
| B. Sustainability of Project outcomes (overall rating) | | |
| Sub criteria (below) | | |
| B. 1. Financial | | |
| B. 2. Socio Political | | |
| B. 3. Institutional framework and governance | | |
| B. 4. Ecological | | |
| C. Achievement of outputs and activities | | |
| D. Monitoring and Evaluation (overall rating) | | |
| Sub criteria (below) | | |
| D. 1. M&E Design | | |
| D. 2. M&E Plan Implementation (use for adaptive management) | | |
| D. 3. Budgeting and Funding for M&E activities | | |
| E. Catalytic Role | | |
| F. Preparation and readiness | | |
| G. Country ownership / drivenness | | |
| H. Stakeholders involvement | | |
| I. Financial planning | | |
| J. Implementation approach | | |
| K. UNEP Supervision and backstopping | | |

RATING OF PROJECT OBJECTIVES AND RESULTS

All other ratings will be on the GEF six point scale described below.

| GEF Performance Description | Alternative description on the same scale |
|--------------------------------|---|
| HS = Highly Satisfactory | Excellent |
| S = Satisfactory | Well above average |
| MS = Moderately Satisfactory | Average |
| MU = Moderately Unsatisfactory | Below Average |
| U = Unsatisfactory | Poor |
| HU = Highly Unsatisfactory | Very poor (Appalling) |

Highly Satisfactory (HS): The project had no shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Satisfactory (S): The project had minor shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Moderately Satisfactory (MS): The project had moderate shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Moderately Unsatisfactory (MU): The project had significant shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Unsatisfactory (U) The project had major shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Highly Unsatisfactory (HU): The project had severe shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Please note: Relevance and effectiveness will be considered as critical criteria. The overall rating of the project for achievement of objectives and results **may not be higher** than the lowest rating on either of these two criteria. Thus, to have an overall satisfactory rating for outcomes a project must have at least satisfactory ratings on both relevance and effectiveness.

RATINGS ON SUSTAINABILITY

A. Sustainability will be understood as the probability of continued long-term outcomes and impacts after the GEF project funding ends. The Terminal evaluation will identify and assess the key conditions or factors that are likely to contribute or undermine the persistence of benefits after the project ends. Some of these factors might be outcomes of the project, i.e. stronger institutional capacities, legal frameworks, socio-economic incentives /or public awareness. Other factors will include contextual circumstances or developments that are not outcomes of the project but that are relevant to the sustainability of outcomes.

Rating system for sustainability sub-criteria

On each of the dimensions of sustainability of the project outcomes will be rated as follows.

Likely (L): There are no risks affecting this dimension of sustainability.

Moderately Likely (ML). There are moderate risks that affect this dimension of sustainability.

Moderately Unlikely (MU): There are significant risks that affect this dimension of sustainability

Unlikely (U): There are severe risks that affect this dimension of sustainability.

According to the GEF Office of Evaluation, all the risk dimensions of sustainability are deemed critical. Therefore, overall rating for sustainability will not be higher than the rating of the dimension with lowest ratings. For example, if a project has an Unlikely rating in any of the dimensions then its overall rating cannot be higher than Unlikely, regardless of whether higher ratings in other dimensions of sustainability produce a higher average.

RATINGS OF PROJECT M&E

Monitoring is a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing project with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds. Evaluation is the systematic and objective assessment of an on-going or completed project, its design, implementation and results. Project evaluation may involve the definition of appropriate standards, the examination of performance against those standards, and an assessment of actual and expected results.

The Project monitoring and evaluation system will be rated on ‘M&E Design’, ‘M&E Plan Implementation’ and ‘Budgeting and Funding for M&E activities’ as follows:

Highly Satisfactory (HS): There were no shortcomings in the project M&E system.
Satisfactory(S): There were minor shortcomings in the project M&E system.

Moderately Satisfactory (MS): There were moderate shortcomings in the project M&E system.

Moderately Unsatisfactory (MU): There were significant shortcomings in the project M&E system.

Unsatisfactory (U): There were major shortcomings in the project M&E system.

Highly Unsatisfactory (HU): The Project had no M&E system.

“M&E plan implementation” will be considered a critical parameter for the overall assessment of the M&E system. The overall rating for the M&E systems will not be higher than the rating on “M&E plan implementation.”

Annex 3: Review of the Draft Report

Draft reports submitted to UNEP EOU are shared with the corresponding Programme or Project Officer and his or her supervisor for initial review and consultation. The DGEF staff and senior Executing Agency staff provide comments on the draft evaluation report. They may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. The consultation also seeks agreement on the findings and recommendations. UNEP EOU collates the review comments and provides them to the evaluators for their consideration in preparing the final version of the report. General comments on the draft report with respect to compliance with these TOR are shared with the reviewer.

Quality Assessment of the Evaluation Report

All UNEP GEF Mid Term Reports are subject to quality assessments by UNEP EOU. These apply GEF Office of Evaluation quality assessment and are used as a tool for providing structured feedback to the evaluator.

The quality of the draft evaluation report is assessed and rated against the following criteria:

| GEF Report Quality Criteria | UNEP EOU | Rating |
|-----------------------------|----------|--------|
|-----------------------------|----------|--------|

| | Assessment | |
|---|----------------------------|---------------|
| A. Did the report present an assessment of relevant outcomes and achievement of project objectives in the context of the focal area program indicators if applicable? | | |
| B. Was the report consistent and the evidence complete and convincing and were the ratings substantiated when used? | | |
| C. Did the report present a sound assessment of sustainability of outcomes? | | |
| D. Were the lessons and recommendations supported by the evidence presented? | | |
| E. Did the report include the actual project costs (total and per activity) and actual co-financing used? | | |
| F. Did the report include an assessment of the quality of the project M&E system and its use for project management? | | |
| UNEP EOU additional Report Quality Criteria | UNEP EOU Assessment | Rating |
| G. Quality of the lessons: Were lessons readily applicable in other contexts? Did they suggest prescriptive action? | | |
| H. Quality of the recommendations: Did recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Can they be implemented? Did the recommendations specify a goal and an associated performance indicator? | | |
| I. Was the report well written? (clear English language and grammar) | | |
| J. Did the report structure follow EOU guidelines, were all requested Annexes included? | | |
| K. Were all evaluation aspects specified in the TORs adequately addressed? | | |
| L. Was the report delivered in a timely manner | | |

GEF Quality of the MTE report = $0.3*(A + B) + 0.1*(C+D+E+F)$

EOU assessment of MTE report = $0.3*(G + H) + 0.1*(I+J+K+L)$

Combined quality Rating = $(2* \text{'GEF EO' rating} + \text{EOU rating})/3$

The Totals are rounded and converted to the scale of HS to HU

Rating system for quality of terminal evaluation reports

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, and unable to assess = 0.