



## **Terminal Review**

### **Sustainable Management of Biodiversity in Thailand's Production Landscape (SMBT) Project**

Atlas ID: 00061370

PIMS No. 3642

## **Final Report**

**Walaitat Worakul  
Andrew Sillitoe  
November 2015**

## Table of Contents

<b>Summary details of the terminal evaluation</b>	<b>iv</b>
<b>List of abbreviations and acronyms</b>	<b>v</b>
<b>1 Executive Summary</b>	<b>6</b>
Table 1. Project Information Table	6
1.1 Project Description	6
1.2 Context and Purpose of the Terminal Review	6
1.3 Evaluation Approach	6
1.4 Main Conclusion	7
1.5 Main Recommendations	8
Table 2.	8
Terminal Review Ratings Table	8
<b>2 Introduction</b>	<b>9</b>
2.1 Purpose of the Evaluation	9
2.2 Scope and Methodology	9
2.3 Structure of the TE Report	9
<b>3 Project Description and Development Context</b>	<b>10</b>
3.1 Project start and duration	10
3.2 Context of the project and problems it sought to address	10
3.2.1 Background and context	10
3.2.2 Problems project sought to address	10
3.3 Immediate development objectives of the project	10
3.4 Baseline indicators established	11
3.5 Main stakeholders	13
3.6 Expected Results	14
<b>4 Findings</b>	<b>15</b>
4.1 Project Design / Formulation	15
4.1.1 Analysis of LFA results framework	15
4.1.2 Project identification	15
4.1.3 Assumptions and risks	16
4.1.4 Lessons from other relevant projects	17
4.1.5 Planned stakeholder participation	17
4.1.6 Replication approach	19
4.1.7 UNDP comparative advantage	19
4.1.8 Linkages between project and other interventions within the sector	20
4.1.9 Management arrangements	20
4.2 Project Implementation	20
4.2.1 Adaptive management	20
4.2.2 Partnership arrangements	21
4.2.3 Feedback from M&E activities used for adaptive management	21
4.2.4 Project finance	21
4.2.5 Monitoring and evaluation	22
4.2.6 Implementing agency (UNDP) and executing agency execution	24
4.3 Project Results	25
4.3.1 Overall results	25
4.3.2 Relevance	25
4.3.3 Effectiveness	26
4.3.4 Efficiency	29

4.3.5	Country ownership	29
4.3.6	Mainstreaming	30
4.3.7	Sustainability	30
4.3.8	Impact	32
<b>5</b>	<b>Key Lessons Learned</b>	<b>33</b>
5.1	Project management	33
5.2	Product development and marketing	33
<b>6</b>	<b>Conclusions and Recommendations</b>	<b>34</b>
6.1	Conclusion	34
6.2	Recommendations	34
6.3	Actions to follow up or reinforce initial benefits from the project	35
6.3.1	Actions by the project	35
6.3.2	Actions by BEDO	35
6.3.3	Actions by CbSEs	36
6.4	Proposals for future directions underlining main objectives best and poor practices in addressing issues relating to relevance, performance and success	36
6.4.1	Best Practices	36
6.4.2	Poor Practices	36
		<b>37</b>
		51

**List of Annexes**

<b>Annex 1. Terminal Evaluation Terms of Reference</b>	<b>36</b>
<b>Annex 2. Terminal Evaluation Field Mission Itinerary</b>	<b>43</b>
<b>Annex 3. List of people Interviewed</b>	<b>47</b>
<b>Annex 4. List of Documents Reviewed</b>	<b>49</b>
<b>Annex 5. Evaluation Question Matrix</b>	<b>50</b>
<b>Annex 6. Evaluation Consultant Agreement Form</b>	<b>58</b>
<b>Annex 7. Report Clearance Form</b>	<b>59</b>

**List of Tables**

Table 1. Project Information Table	5
Table 2. Terminal Review Ratings Table	7
Table 3. Summary of Project Objective, Components, Outcomes and Indicators	11
Table 4. Stakeholders contributing to the project implementation	17
Table 5. Project Co-financing	20
Table 6. GEF Financing	20
Table 7. Project Milestone Dates	22

**List of Figures**

Figure 1. Current Project Management Structure	19
--	----

## **Summary details of the terminal evaluation**

### **Title of UNDP supported GEF financed project:**

Sustainable Management of Biodiversity in Thailand's Production Landscape (SMBT) Project

### **UNDP and GEF project ID#s:**

GEFSEC Project ID: 3940; PIMS No. 3642, Atlas ID: 00061370; UNDP-GEF Project ID: 00077720 (in ProDoc)

### **Evaluation time frame: October 15 – January 16**

### **Date of evaluation report: November 2015 (Draft)**

### **Region and countries included in the project:**

Southeast Asia; Thailand

### **GEF Operational Programme/Strategic Programme:**

**GEF Focal Area:** Biodiversity

**GEF-4 Strategic Programme:** BD-SO2; SP4, SP5

### **Implementing Partner and other project partners:**

#### **Implementation Modality:**

National Implementation (NIM)

#### **Implementing Partner:**

Biodiversity-based Economy Development Office (BEDO), under Ministry of Natural Resources and Environment (MONRE)

#### **Responsible Parties/ Partners:**

Raks Thai Foundation (RTF); Thailand Environment Institute (TEI)

### **Terminal Review team members:**

Andrew Sillitoe, Walaitat Worakul

### **Acknowledgements:**

The Terminal Evaluation team would like to thank Dr Veerapong Malai Director General and CEO of BEDO, Dr Tanit Changtavorn Acting Deputy General BEDO, Mr Rachai Cholsindusongkramchai, the Project Manager, and Ms Sasipa Jirasuktaveekul, the Project Coordinator, for technical support; and Dr Sutharin Koonphol, the UNDP Programme Analyst, Environment Unit, for briefing and technical support; and Ms Nisakorn Puangkamalard for administrative and logistical support during the evaluation mission and report-drafting period. We are also grateful for the opportunity for individual consultations with:

Dr Woratham Aonpichaijit, Director of Wood Industry Development Division at Forest Research and Development Building, Royal Forestry Department, Jatujak Road, Bangkok and Mr. Montree Boonpanich, Senior Advisor of Office of National Economic and Social Development Board.

Government staff at District and Tambon level, CbSE committee members, and other project actors who gave their time to provide views on project activities. The staff of the Project Partners, in particular Ms. Boonthida Ketsomboon at Raks Thai Foundation (RTF) and Ms. Benjamas Chotethong at Thailand Environmental Institute (TEI), who were very forthcoming with support for field visits and consultations.

## List of abbreviations and acronyms

ADB	Asia Development Bank
BAAC	Bank of Agriculture and Agricultural Co-operatives
BEDO	Biodiversity-based Economy Development Office
CbSE	Community-based Social Enterprise
CBD	Convention on Biological Diversity
CBO	Community Based Organisation
CDD	Community Development Department
CO	Country Office
CPAP	Country Programme Action Plan
DEP	Department of Export Promotion
DMCR	Department of Marine and Coastal Resources
DNP	Department of National Parks, Wildlife and Plant Conservation
DOAE	Department of Agricultural Extension
DOF	Department of Fisheries
FDA	Thai Food and Drug Administration
GEF	Global Environment Facility
IUCN	International Union for Conservation of Nature
MFF	Mangroves for the Future
MOAC	Ministry of Agriculture and Agricultural Co-operatives
M&E	Monitoring and Evaluation
METT	Management Effectiveness Tracking Tool
MONRE	Ministry of Natural Resources and Environment
MOU	Memorandum of Understanding
MTR	Mid-Term Review
NESDB	National Economic and Social Development Board
NGO	Non Government Organisation
OSMEP	Office of Small and Medium Enterprise Promotion
ONEP	Office of Natural Resources and Environmental Policy and Planning
OTOP	One Tambon One Product
PIR	Project Implementation Review
PMU	Project Management Unit
ProDoc	Project Document
RFD	Royal Forestry Department
RTG	Royal Thai Government
RTF	Raks Thai Foundation
SMBT	Sustainable Management of Biodiversity in Thailand's Production Landscape
TAO	Tambon Administrative Organisation
TE	Terminal Evaluation
TEI	Thailand Environment Institute
UN	United Nations
UNDAF	United Nations Development Action Framework
UNDP	United Nations Development Program
UNFCCC	United Nations Framework Convention on Climate Change
UNPAF	United Nations Partnership Framework

## 1 Executive Summary

**Table 1. Project Information Table**

<p>Programme Period: 2011-2015</p> <p>Programme Component: Biodiversity PIMS#: 3642; GEF ID 3940</p> <p>Project Title: Sustainable Management of Biodiversity in Thailand's Production Landscape Award ID: 00061370 Project ID: 00077720 Project Duration: 4 years Management Arrangement: NIM</p>	<p><b>Total Budget</b> <b>US\$7,458,000</b></p> <p><b>Allocated Resources</b></p> <p>- GEF US\$1,940,000</p> <p>- BEDO US\$5,518,000</p>
--	--

### 1.1 Project Description

The Royal Thai Government authorities, with MONRE and MOAC as lead ministries, have made large efforts to arrest degradation of biodiversity inside Protected Areas, as well as in areas outside. An important initiative was the establishment of the Biodiversity-based Economy Development Office (BEDO) as a public organization, which was given the mandate of promoting conservation of biodiversity in production landscapes, improving local community knowledge of best practice for sustainable production and enhancing biodiversity-based economic development. The long-term challenge for BEDO is to ensure that biodiversity conservation is mainstreamed into production and marketing of agricultural, forestry and fishery business, in order to create community incentives to conserve and enhance biodiversity in Thailand's land and seascapes while maintaining appropriate incomes to satisfy family needs for livelihood and wellbeing.

There are three main barriers to achieving this mainstreaming: (i) At the national level, the institutional framework is not sufficiently capacitated to address the needs of an emerging biodiversity-based business sector, based on sustainable harvesting and production principles, (ii) At the community-level, sustainable production approaches and biodiversity conservation efforts are inadequate due to low incomes from present product categories, and (iii) Community revenues are limited due to low prices in the commodity market, as well as to high transaction costs in the supply chains. The project directly addresses these barriers through its three major components:

1. Building national capacity for support of biodiversity business
2. Piloting community-based social enterprises in valuable eco-regions
3. Mainstreaming biodiversity business into the supply chains of high-value consumer markets

The total project budget was US\$7,458,000. This was made up of GEF Project Grant US\$1,940,000 and BEDO's contribution of US\$5,518,000.

### 1.2 Context and Purpose of the Terminal Review

The objective of the Terminal Evaluation was to assess the achievement of the project objective, the affecting factors, the broader project impact and the contribution to the general goals and strategies. The evaluation focused on the following aspects: Project design and its relevance, Performance, Timeliness and Management arrangements, Monitoring and Evaluation, and overall success with regard to the criteria of relevance, effectiveness, efficiency, impact, sustainability and replication.

### 1.3 Evaluation Approach

Two consultants, Andrew Sillitoe (International lead consultant) and Walaitat Worakul

(National consultant), were selected to conduct the Terminal Review. The Consultant team followed standard methodology for UNDP-GEF reviews, as outlined in the *Guidance* document.

This methodology sought to ask questions in the key analysis areas by utilizing a participatory and consultative approach:

1. Review of relevant documents
2. Semi-structured interviews with all stakeholders and field visits:
  - UNDP and Implementing Partner (BEDO) staff who have project responsibilities
  - Project partner staff – Raks Thai Foundation (RTF) and Thailand Environment Institute (TEI)
  - Project stakeholders
  - Government ministries at national and local level
  - Local government representatives
  - Community members
3. A Presentation/ Briefing Meeting with the key stakeholders, with discussion of and feedback on the initial findings,
4. Development of the draft and final report

The questions asked of stakeholders were based on an Evaluative Matrix (Annex 6). Interviews were conducted in a conversational, interactive style and the questions were modified appropriately to suit the specific respondents. The observations from these different data sources were cross-checked against each other, in a process of "triangulation".

The Consultant team arrived in Bangkok on 01 November 2015. Consultations and meetings began on 02 November 2015. A full itinerary of visits and meetings can be found in Annex 2.

A field visit to sample of project sites in Kanchanaburi, Prachinburi, Ranong and Phang Nga provinces was made during 03 - 07 November. Further consultation with stakeholders in Bangkok occurred on 09 - 10 November. A list of persons met during the site visits and other consultations is given in Annex 3. Document collection and review has occurred throughout the mission and during periods both preceding and following it; a list of the documents examined is provided in Annex 5.

A briefing meeting was held on 11 November in the BEDO meeting room, to present initial findings to key stakeholders for their comments and feedback.

The findings from the evaluation mission, together with comments received during the briefing meeting, are summarized in this draft version of the Terminal Review report. Comments received on the draft text will be incorporated into a final version, with an audit trail summarizing these comments and the Consultant's response.

#### **1.4 Main Conclusion**

The SMBT Project succeeded in achieving its objective 'to strengthen national and local capacity for mainstreaming biodiversity into the management of ecologically important production landscapes' and piloting biodiversity-business based CbSEs. However, it did fall short of transforming the supply and high value consumer market chains of biodiversity based products due to shortcomings in the project design including over ambitious targets to be completed in the timescale allowed.

Pragmatic project design and realistic targets are fundamental in the design of GEF projects. Whilst it is accepted that project design should 'push the boundaries', allowance must be made both to the availability of time and the levels of skills and knowledge the 'actors' have at the start of the project. Making best use of the projects Inception Period is critical in identifying and redefining project targets which, after careful analysis, are deemed to be unachievable within the project timescale.

The six pilot biodiversity-business CbSE successfully showed that this concept could be adopted by other communities in Thailand as a means of supporting linked biodiversity conservation and livelihood development objectives. The concept has received widespread institutional acceptance and has been adopted into the countries planning framework and it is assimilated into the 2015 – 2021 Integrated Biodiversity Master Plan, and fits with the 11th National Economic and Social Development Plan. Furthermore it fits with Provincial Governments "Green Growth Development Policy" combining environment and development and is consistent with many line agencies priorities and programmes.

Throughout the project, BEDO have built capacity and restructured the organization in order to build on the project success and promote biodiversity-business CbSEs and their products in the wider marketplace. After support from the project, BEDO are considered to be well accomplished to lead the promotion and development of biodiversity-business initiatives. To further promote nationally the development and replication of the model, BEDO have proposed an ACT of Biodiversity-Business to the Ministry of Natural Resources and Environment.

BEDO are collaborating with One Tambon One Product (OTOP) to find the optimum ways of promoting biodiversity-business CbSE products in areas such as promotion biodiversity-business CbSEs and the differentiation of biodiversity-business products from general OTOP products. These discussions are currently in hand.

### 1.5 Main Recommendations

- Project design should be pragmatic and achievable within the project timescale allowed. The project inception phase should be fully used to better clarify project targets.
- Project design should undergo a detailed critical review from a panel of national experts to ensure the proposals and targets are practical and achievable.
- BEDO need to ensure that the experience and lessons learned from this project are fully transferred to their own staff through the project Exit Strategy. A Knowledge Product should be developed and widely disseminated to CbSEs, relevant institutions and ministries, NGO organizations, and other stakeholder groups.
- BEDO should continue support to the pilot CbSEs so they may reach their full potential and ensure that these project supported CbSEs can be promoted as good models for biodiversity business replication.
- BEDO's project field staff currently employed on temporary contracts, should, where possible, be employed on a full time basis to ensure that project knowledge will be retained within the organization.
- BEDO/OTOP joint marks should be developed to differentiate the jointly developed products from the general OTOP products and biodiversity-business principles should be incorporated into selected OTOP products.
- Certification of business biodiversity based products should provide the evidence that the products are ecologically friendly and support conservation activities.

**Table 2. Terminal Review Ratings Table**

Evaluation Ratings			
1. Monitoring and Evaluation	Rating	2. EA and IA Execution	Rating
Design at Entry	MS	Implementing Agency (UNDP)	S
Implementation	S	Executing Agency (BEDO)	S
Overall Quality of M&E	S	Overall Project Implementation	S
3. Assessment of Outcomes	rating	4. Sustainability	rating
Relevance	R	Financial Resources	L
Effectiveness	MS	Socio-Economic	L
Efficiency	S	Institutional Framework and Governance	L
Overall Project Outcome Rating	S	Environmental	L
		Overall Likelihood	L

## **2 Introduction**

### **2.1 Purpose of the Evaluation**

The purpose of the Terminal Evaluation was to promote accountability and transparency, and to assess and disclose the extent of project accomplishments; to synthesize lessons that can help to improve the selection, design and implementation of future GEF financed UNDP activities; to provide feedback on issues that are recurrent across the UNDP portfolio and need attention, and on improvements regarding previously identified issues; to contribute to the overall assessment of results in achieving GEF strategic objectives aimed at global environmental benefit; and to gauge the extent of project convergence with other UN and UNDP priorities, including harmonization with other UN Development Assistance Framework (UNDAF) and UNDP Country Programme Action Plan (CPAP) outcomes and outputs.

### **2.2 Scope and Methodology**

The Terminal Review was conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects.

The scope of this Terminal Review focused on an assessment and analysis of the relevance, effectiveness, efficiency, sustainability, and impact of the project. This has covered aspects relating to project design, monitoring and evaluation, attainment of outcomes, implementation agency and executing agency execution, management arrangements, work planning, finance and co-finance, stakeholder engagement, reporting and communications.

In undertaking this terminal evaluation the two overarching objectives of the *GEF Monitoring and Evaluation Policy*<sup>1</sup> were fully taken into account. These are:

- to promote accountability for the achievement of GEF objectives through the assessment of results, effectiveness, processes and performance of the partners involved in GEF activities, and contribution to global environmental benefits;
- to promote learning, feedback and lessons learned among the GEF and its partners, as a basis for decision making on policies, strategies, programme management, and projects and to improve performance.

The Terminal Review was an evidence-based assessment and relied on feedback from persons who have been involved in the design, implementation, and supervision of the project, review of available documents and records, and findings made during field visits.

The project performance was measured based on the indicators of the projects' logical framework and various Tracking Tools, supported by other project documentation including the Performance Indicators and Mid Term Review.

### **2.3 Structure of the TE Report**

The structure of the Terminal Evaluation report was determined by the required format provided in the Terms of Reference for the Terminal Evaluation.

The report comprises of six parts:

- Executive Summary in English and Thai providing an overview of the project, the project results and a summary of its potential sustainability.
- Introduction, summarizing the reviews' purpose, scope and methodology

---

<sup>1</sup> GEF (2010) *The GEF Monitoring and Evaluation Policy 2010*. Global Environment Facility, Evaluation Office. Evaluation Document No.4, November 2010.

- Project Description and Development Context - this provides the background to the project, problems the project sought to address, the baseline indicators and expected results.
- Findings - this section contains details of project design and formulation, project implementation, monitoring and evaluation, assessment of the implementing agencies and project results based on relevance, effectiveness, sustainability and impact.
- Conclusions containing follow up actions and proposals for future directions.
- Annexes including the terminal evaluation Terms of Reference, revised TE monitoring framework, list of persons interviewed, summary of field visits, evaluation question matrix and list of documents reviewed.

### **3 Project Description and Development Context**

#### **3.1 Project start and duration**

Project launch was January 2012. The projects inception workshop was initiated in June 2012. Contracts with the field project implementing NGO: Raks Thai Foundation and Thailand Environment Institute were signed in June 2012 and actual field implementation began in September 2012. The Mid term review was undertaken in November 2014 and the project completion date is 31 December 2015.

#### **3.2 Context of the project and problems it sought to address**

##### **3.2.1 Background and context**

The Royal Thai Government authorities, with MONRE and MOAC as lead ministries, have made large efforts to arrest degradation of biodiversity inside Protected Areas, as well as in areas outside. An important initiative was the establishment of the Biodiversity-based Economy Development Office (BEDO) as a public organization, which was given the mandate of promoting conservation of biodiversity in production landscapes, improving local community knowledge of best practice for sustainable production and enhancing biodiversity-based economic development. The long-term challenge for BEDO is to ensure that biodiversity conservation is mainstreamed into production and marketing of agricultural, forestry and fishery business, in order to create community incentives to conserve and enhance biodiversity in Thailand's land and seascapes while maintaining appropriate incomes to satisfy family needs for livelihood and wellbeing.

##### **3.2.2 Problems project sought to address**

Three main barriers were identified to be overcome in order to achieve this mainstreaming:

- (i) At the national level, the institutional framework is not sufficiently capacitated to address the needs of an emerging biodiversity-based business sector, based on sustainable harvesting and production principles;
- (ii) At the community-level, sustainable production approaches and biodiversity conservation efforts are inadequate due to low incomes from present product categories;
- (iii) Community revenues are limited due to low prices in the commodity market, as well as to high transaction costs in the supply chains.

In order to address and overcome these barriers project design incorporated three major components:

- (i) Building national capacity for support of biodiversity business;
- (ii) Piloting community-based social enterprises in valuable eco-regions;
- (iii) Mainstreaming biodiversity business into the supply chains of high-value consumer markets.

#### **3.3 Immediate development objectives of the project**

The policy framework for the biodiversity-based product sector in Thailand is found mainly in the National Economic and Social Development Plan. The biodiversity-based development concept is highlighted in the Strategies for Development of Biodiversity and Conservation of the Environment

section of the National Policy, Strategies and Action Plan for the Tenth National Economic and Social Development Plan (2007-2011). The objective is to strengthen economic, social, environmental and natural resource capital to create a balanced and sustainable base for national development. One of the major principles used in the development strategy is to be cautious about utilisation of natural resources and environment and to protect existing ways of life at the community level. In doing so, the Plan emphasises the utilisation of biodiversity to ensure local and community economic stability as well as to develop the country's capacity and initiate innovations from biological resources unique to the country.

The donor-level context of the project is related to the UN Partnership Assistance Framework (2007-2011, 2012-2016) and Country Programme Action Plan. Outcomes and Outputs from these levels are as follows:

**UNPAF Outcome 4**

Improved sustainable utilization and management of natural resources and environment at the community and national policy levels

**UNDP Strategic Plan Environment and Sustainable Development Primary Outcome**

Mainstreaming Environment and Energy

**CP Outcomes**

- i. Efficient community-based natural resources and environmental management in selected ecosystems with effective engagement of people's organizations in policy and decision making processes affecting the environment and the use of local natural resources;
- ii. Increased capacity of national agencies to set policy priorities and remove barriers to pursuing sustainable management of biodiversity, renewable energy, and water resources in response to national priorities and in compliance with international treaties;
- iii. Promoting community based knowledge management by supporting the formation of community networks and promoting evidenced based policymaking at all levels.

**CPAP Outputs**

- i. Demonstration of co-management mechanisms and practices between CBOs and government authorities with policy support and budget for local sustainable development initiatives
- ii. Improved availability of data at national and sub-national levels to support evidence based planning, policy and decision making
- iii. Dissemination of good practice on sustainable natural resource management and use
- iv. A knowledge system that integrates scientific and indigenous knowledge and is accessible to community networks and policy makers.
- v. A knowledge management mechanism and facilities available for community learning, sharing experiences and networking.

**3.4 Baseline indicators established**

The Objective of the SMBT Project set out in the Project Document (ProDoc) was to:

*"Strengthen national and local capacity for mainstreaming biodiversity into the management of ecologically important production landscapes by transforming the supply and market chain of biodiversity based products".*

The project was designed to provide technical assistance for capacity development to key players in the national framework for promoting biodiversity conservation and sustainable production. In particular its aim was to build capacity in BEDO and its partners during their start up period stages to assume the prescribed mandate and roles for biodiversity conservation and income generation. Equally important, the project will focus on capacitating local communities in valuable eco-regions. And finally, the project will focus on the need to transform the supply chain to consumer markets, so that farm-gate prices can be increased and economic incentives provided.

As noted above, the barriers to this long term solution are: (i) The institutional framework, which is not sufficiently capacitated to address the needs of an emerging biodiversity-based business sector;

(ii) The sustainable production approaches and biodiversity conservation efforts, which are inadequate due to low incomes from present product categories; and (iii) Community revenues, which are limited by low prices in the commodity market, and high transaction costs in the supply chains.

The project is removing these three barriers through its three Component/ Outcome areas:

- Component 1 has Indicators, Outputs and Activities for national capacity building and policy development for support of biodiversity business;
- Component 2 has Indicators, Outputs and Activities for piloting community based social enterprises in key eco-regions;
- Component 3 has Indicators, Outputs and Activities for mainstreaming biodiversity business into the supply chains of high value consumer markets.

**Table 3. Summary of Project Objective, Components, Outcomes and Indicators**

<p><b>Objective:</b> To strengthen national and local capacity for mainstreaming biodiversity into the management of ecologically important production landscapes by transforming the supply and market chain of biodiversity-based products</p> <p><b>Indicators of achievement</b> The national governance system provides positive incentives and effective business facilitation and marketing support for biodiversity business development in communities through BEDO and its partner network;</p> <p>Community-based social enterprises and commercial supply chains for biodiversity-based products increase family income, biodiversity conservation incentives and market share of certified sustainable production;</p> <p>Percentage of target landscapes and seascapes under community based sustainable management or co-management.</p>		
<p><b>Component 1</b></p> <p>Building national capacity for support of biodiversity business</p>	<p><b>Outcome 1.1</b></p> <p>Institutional capacity and staff competences for national support to biodiversity business established.</p>	<p><b>Indicators of Achievement</b></p> <ul style="list-style-type: none"> <li>• Enabling national policies, laws and regulations introduced by appropriate government departments;</li> <li>• BEDO has the capacity as an institution, and its staff have the technical capacities, requiring them to act as national biodiversity business facility to facilitate development of CbSEs.</li> </ul>
	<p><b>Outcome 1.2</b></p> <p>Collaboration with and capacities in Partner Networks of the Biodiversity Business Facility are strengthened.</p>	<ul style="list-style-type: none"> <li>• Through the partner network, BEDO has the capacity to assess market needs and demands, and to develop targeted solutions to issues;</li> <li>• Through the partner network, local communities and CbSEs have increased access to extension and business development services.</li> </ul>
<p><b>Component 2</b></p> <p>Piloting community based social enterprises in key</p>	<p><b>Outcome 2.1</b></p> <p>Community based sustainable production</p>	<p><b>Indicators of achievement</b></p> <ul style="list-style-type: none"> <li>• Appropriate methods for community</li> </ul>

eco-regions	and in situ biodiversity conservation and rehabilitation is strengthened.	based monitoring of biodiversity status <ul style="list-style-type: none"> <li>• Number and coverage of biodiversity projects by communities using CbSE revenues.</li> </ul>
	<b>Outcome 2.2:</b>  Pilot Models for Community based Social Enterprises (CbSE)	<ul style="list-style-type: none"> <li>• CbSE business plans and increase in revenues;</li> <li>• CbSE business/management plans allocate net revenues for conservation.</li> </ul>
	<b>Outcome 2.3:</b>  Human/ technological capacities in communities are strengthened	<ul style="list-style-type: none"> <li>• CbSEs make products which meet the requirement for certification;</li> <li>• CbSEs have a transparent and participatory governance mechanism.</li> </ul>
<b>Component 3:</b>  Mainstreaming Biodiversity Business into the Supply Chains of high value consumer markets	<b>Outcome 3.1:</b>  Demand driven design and branding of high value products	<b>Indicators of achievement</b> <ul style="list-style-type: none"> <li>• Mainstreaming products from biodiversity businesses is increased through product designs focused on niche markets of consumers in Thailand and export markets;</li> <li>• Quality/ value of CbSE products are increased, meeting BEDO certification standard.</li> </ul>
	<b>Outcome 3.2:</b>  Reduction of transaction costs through transformation in the supply chains	<ul style="list-style-type: none"> <li>• Transformation of supply chains has been demonstrated with products from the target regions.</li> </ul>
	<b>Outcome 3.3:</b>  Increased investment and subsidy options for CbSEs	<ul style="list-style-type: none"> <li>• Appropriate investment options for pilot CbSEs have been identified;</li> <li>• Subsidies raised for pilot CbSEs.</li> </ul>
	<b>Outcome 3.4:</b>  Strengthened awareness about commercial potentials in biodiversity business.	<ul style="list-style-type: none"> <li>• Information, Education, and Communication materials for general public on CbSE and biodiversity business</li> </ul>

### 3.5 Main stakeholders

A summary list of stakeholders is provided below.

#### Government stakeholders (national)

- Biodiversity-Based Economy Development Office - BEDO
- Office of Natural Resources and Environmental Policy and Planning - ONEP

- National Economic and Social Development Board - NESDB
- Community Development Department - CDD
- Department of Marine and Coastal Resources – DMCR
- Department of National Parks, Wildlife and Plant Conservation – DNP
- Department of Agriculture Extension (DOAE)
- Department of Fisheries (DOF)
- Department of Export Promotion (DEP)
- Office of Small and Medium Enterprise Promotion (OSMEP)
- Bank of Agriculture and Agricultural Cooperatives (BAAC)

**Local governments**

- Tambon Administrative Organisation (TAO)
- District Administration

**Civil society stakeholders**

- Universities, Research Institutions and Academic Institutions
- Local Technology and Vocational Colleges
- Non-Profit Organisations and Associations
- Community Groups

**Private sector stakeholders**

- Hotels
- Tourism operators
- Green Net Coop (not at present, but hoped for eventually)

### **3.6 Expected Results**

The project's long term objective was to build on the need to find new and innovative approaches to conserve the ecosystem, health and biodiversity of production lands. Whilst Thailand has a national policy and institutional framework required for sustainable production and biodiversity conservation in production landscapes, outside of the protected areas, land use practices are generally not commensurate with biodiversity conservation.

The project targeted the strengthening national efforts to increase community involvement in biodiversity conservation to find a long-term solution for biodiversity conservation in and around production landscapes by influencing production practices in order to mitigate threats to biodiversity from unsustainable harvesting and land conversion, particularly in areas of high ecological significance.

Project design recognized that efforts must be in balance with the need to enhance opportunities for local livelihoods, the project would therefore create local awareness of eco-system goods and services as valuable and marketable commodity assets, and by producing and selling high value products based on these commodities, communities would recognize their long-term economic interests in conservation of their eco-systems. Therefore, it was envisaged that community based social enterprises would be established with a double objective: (a) poverty alleviation through increased income opportunities and (b) community based biodiversity conservation and rehabilitation initiatives. It was recognized that unless the first objective is reached, it is unlikely that there will be sufficient motivation for sustainability concerns in the second objective. To achieve the project objective the following results were required:

- i. Strengthen the capacity development of key players in the national framework who have the mandate to promote biodiversity conservation and sustainable production. In particular it was aimed at capacitating BEDO to assume its prescribed responsibility and role for biodiversity conservation and income generation.
- ii. Capacitate local communities in the project targeted land and seascapes to adopt sustainable production practices and develop symbiotic tertiary activities to support both livelihood development and conservation of natural resources.
- iii. Enhance the national and local capacity for mainstreaming biodiversity into the management of ecologically important production landscapes by transforming the supply and market chain of biodiversity based products and transforming the supply chain to consumer markets, so that farm-gate prices can be increased and economic incentives provided.

## 4 Findings

### 4.1 Project Design / Formulation

#### 4.1.1 Analysis of LFA results framework

The Logical Framework methodology is a tool to facilitate a project's conceptualization, design, implementation and evaluation. Its emphasis is based in determining objectives, in particular as they relate to beneficiaries, and to facilitate participation and communication between stakeholders. It expresses goals, objectives, and expected outcomes and outputs for the project at a global level. It also cross-references these with indicators (both baseline and target), sources of verification, risks and assumptions. In summary, it threads the logic of a project with its strategy and expected results.

The design of the SMBT project was ambitious and the expected results reflected in the logical framework. These results were reassessed at the MTR and some amendments made. The MTR comments summed up the following:

*"It appears largely sound but there is some lack of coherence between Indicators, Baselines and Targets for some of the Outcomes. This lack of coherence makes reporting and monitoring a bit problematic, and it is advisable for the PMU to take a good look at these parameters with a view to aligning them with better parallel construction, including some changes of Baselines and Targets".*

*The Results Framework should be seen as a working framework that can be subject to periodic review by stakeholders, at least insofar as identifying indicators or targets that implementation has revealed may no longer be relevant.*

By the TR stage the project has achieved many of the targets and in some cases exceeded the targets set out in the logical framework, its main weakness lies in assumptions made at project design.

1. CbSEs could be started from scratch, or taken from a very low level of development and create and develop biodiversity based products for high value markets. (Project Objective and Component 3 Outcome 3.1 / 3.2)
2. That CbSEs would be in a position to increase the percentage of target landscapes and seascapes under community based sustainable management utilizing funds raised from the biodiversity business. Raising sizeable funds relied on significant growth in production and sales of the CbSEs, by FR, the amounts raised have been very small and by FR no funds had been spent. CbSEs have improved and consolidated management of existing resources. (Objective Indicator 3 and Component 2 Indicator 2).
3. Determining and Incorporating sustainable yield into CbSE plans. This assumed that the raw materials from the production landscapes would rise significantly during the project period. At the Terminal Review, raw material use remains very small, monitoring of resources is continuing to be undertaken by the CbSEs, and no negative impacts on resources have been reported .(Component 2 Outcome 2.2)

Overall Component 1 and Component 2 have been completed. Component 3 'Mainstreaming Biodiversity Business into the Supply Chains of High Value Consumer Markets' remains incomplete. BEDO have confirmed their continuing commitment to the pilot CbSEs to provide assistance, in particular in the area of product marketing and are actively promoting the adoption and expansion of biodiversity business to CbSEs nationally.

#### 4.1.2 Project identification

Key elements of project design include the identification of problems and the development of suitable solutions through systematic planning with key stakeholders, and effective co-ordination of different agencies and partners.

It appears that there was a thorough process of problem identification, culminating in the Project Document. This process included a situation analysis, with an assessment of the drivers of biodiversity loss and the barriers to effective conservation of species and eco-systems in Thailand. A combination of population pressure, rural poverty and economic development have, over the last 50 years, put critical pressures on natural resources and caused significant negative impact to the country's biodiversity. In particular, this applies to production lands, where the formerly rich – and valuable – biodiversity of traditional farming and forestry systems has been replaced by forest clearance, wetland loss and coastal depletion, as well as by more intensive and destructive farming and fishing approaches. It has become clear that local communities in many key habitats will not follow advice, voluntary agreements or even rules and regulations, unless they have clear economic incentives and social rewards for doing so.

The Royal Thai Government authorities, with MONRE (Ministry of Natural Resources and the Environment) and MOAC (Ministry of Agriculture and Agricultural Co-operatives) as lead ministries, have made large efforts to arrest this degradation.

#### 4.1.3 Assumptions and risks

The **key assumption** identified at the outset of the project was that the solution for sustaining biodiversity conservation in the long term required that biodiversity considerations were mainstreamed *"into production and marketing of agricultural, forestry and fishery business, in order to create community incentives to conserve and enhance biodiversity in Thailand's land and seascapes while maintaining appropriate incomes to satisfy family needs for livelihood and wellbeing."*

Approaches to achieving this comprised of a combination of:

- Improving the enabling environment of legislation and policy, coupled with a supportive government agency;
- Developing momentum and learning lessons in some pilot communities through the production of biodiversity based products for high-end consumers;
- Improvements in the market and supply chain.

Under such a scenario, the project would deliver significant environmental and development benefits, in terms of improved conservation status of biodiversity, as well as improved local livelihoods. The project was designed to use GEF funds to stimulate a co-ordinated approach to biodiversity mainstreaming in typical production landscapes.

The scope of the project was intended to encompass both nationwide impact, creating enabling conditions through the development of guidelines and strategies in natural resource and commercial sectors, and District/ Tambon and grass roots level intended to create momentum in community forestry, marine/ coastal fisheries and tourism.

#### Assessment of assumptions

The main assumptions seem reasonable and in line with international best practice on biodiversity mainstreaming. It is sensible to work at both national level on enabling conditions, and at the site level to test approaches with communities.

There are, however, some difficulties with the assumption that pilot communities identified in the ProDoc could move to high end export markets within 4 years' time. This assumption is too ambitious. Although the communities were selected on the basis of their awareness and ongoing conservation activities, they have limited experience in doing "real" business. Some of these communities had producer groups from bio-based resources but at a relatively low scale and some communities had no experience of working together as a group before. Experiences from other ongoing community enterprise programmes (e.g. OTOP) illustrate that it usually takes several years before the business could be levelled off and sustained through regular market mechanisms. Meeting an international market standard is another big challenge as it involves more complicated work processes and longer time.

Rather than to expect sustainable enterprises by the end of the project, it is perhaps better to view the business development aspects of both as experiments, with the chief result being an analysis of the successes and obstacles to progress. It may also be worthwhile, in the context of such an analysis to consider the factors that are known to promote small businesses and community based enterprises, including a positive business environment, the availability of business support services and access to financial services<sup>2</sup>.

#### **4.1.4 Lessons from other relevant projects**

The concepts put forward in the project design brought together developing trends in the Thai Governments initiatives for promoting community enterprises, e.g. the Royal Decree on small/medium community enterprise (SMCE) and the One Tambon One Product (OTOP) programme, and biodiversity business, leading from the creation of BEDO in 2007.

The SMBT Project extended the UNDP's partnership with its Thai counterparts in a number of key development areas, promoting policy linkages and community participation in natural resources and environmental management.

The SMBT Project worked alongside the Mangroves for the Future (MFF) Programme, a regional collaboration of nine member countries initiated by IUCN and UNDP with its Secretariat in Bangkok. One of the geographical focal areas of the Thailand MFF is the Andaman Coast, where it is rehabilitating mangrove stretches damaged by the 2004 Asian tsunami compounded by the impact of human activities. Its three main objectives, to which the SMBT were aligned to, are:

- i. Improve, share and apply knowledge to support the conservation, restoration and sustainable use of coastal eco-systems.
- ii. Strengthen integrated coastal management institutions and empower civil society, including local communities, to engage in decision making and management that conserves, restores and sustainably uses coastal eco-systems.
- iii. Enhance governance at all levels to encourage integrated management programmes and investments that are ecologically and socio-economically sound, and promote human well-being and security.

Other projects which are either currently underway or recently completed, in partnership between UNDP and the Royal Thai Government include:

- Integrated Community based Forest and Catchment Management through Eco-system Services Approach (with MONRE, OME and REOs) - 2011-2015
- Catalysing Sustainability of Thailand's Protected Area System (with DNP) – 2010-2014
- Assessing Ecosystem Services for Pro-Poor Development Planning (MOI with MONRE and REO 8, REO10, REO3) – 2010-2012

#### **4.1.5 Planned stakeholder participation**

The ProDoc provides evidence that stakeholder consultation took place during the project design process.

Community participation was central to Component 2 of the project. During its implementation the community based social enterprises (CbSEs) were empowered to make project decisions concerning their CbSEs. Continuous consultation and support to the CbSEs was provided through district and provincial level expert groups drawn from line ministries as well as local institutions. BEDO was represented at field level by its own staff.

During Project implementation a wide range of different stakeholders provided inputs. These can be subdivided as illustrated in the following table.

**Table 4. Stakeholders contributing to the project implementation**

Type of stakeholder	Name	Contribution
National Authorities	BEDO	Executing agency, providing overall project management and monitoring support
	Ministry of Natural Resources and Environment (MONRE)	Corporate biodiversity based economic development plan into the National Integrated Master Plan on Biodiversity Management (2015-2021)
	National Economic and Social Development Board (NESDB)	Sitting on the PSC, providing recommendations regarding the replication and leverage of the project models and results (e.g. through collaboration with the OTOP)
	Royal Forestry Department	Provided technical training on production of bamboo particles to CbSE in Kanchanaburi
Province-based agencies/organizations	Prachinburi and Kanchanaburi Co-operatives Auditing Offices	Provided training/coaching on book keeping and conducted periodic auditing of CbSEs accounts
	Pang Nga Fishery Office	Sitting in the Advisory Group of the Bangtip CbSE, providing technical advice on sustainable fishery management
	Bank of Agriculture and Co-operatives (BAAC), Kanchanaburi	Granted “Best Innovation” award to CbSE products from bamboo residue (national level prize)
District-based agencies	Kuraburi district level line agencies i.e. local administration, agriculture, community development, public health, fishery, marine and coastal resources, government savings bank, and bank of agriculture and co-operatives	Served as advisory group to Bangtip CbSE and provided technical advice on the production, packaging, and marketing of the CbSEs products as well as technical advice on sustainable biodiversity management
	Saiyok district, Community Development Office	Registered CbSE products as OTOP products, provided budget and technical support for further product development, provided marketing channels/outlets
	Kapoe district office	Supported the development of Kapoe's Eco-tourism Strategic Plan led by the project's CbSE eco-tourism groups
Local governments	Tambon Administrative Organizations (TAOs) in all of the 4 pilot sites	Allocated budget to support conservation activities; provided building space to set up production shops for CbSE products; linked community's conservation activities with the larger conservation schemes at national level (i.e the Princess' Tree Species Project)
Universities	Dhurakit Bandit University (Bangkok-based) and King Mongkut's University of Technology North Bangkok (Prachinburi campus)	Provided technical support to pilot CbSEs in product design, development and marketing
	Silpakorn University	Conducted capacity assessment of BEDO's staff and developed capacity building/training programmes to be implemented by BEDO's HR Division

Private sector	Ranong Tourism Association and tour companies	Supported the development of Kapoe's Eco-tourism Strategic Plan led by the project's CbSE eco-tourism groups
NGOs/CSOs	World Vision Foundation	Provided budget to construct production shop for CbSE in Baan Bangtip
	Raks Thai Foundation	Outsourced to facilitate the development of CbSEs and conservation activities (Component 2) in Kanchanaburi and Prachinburi
	Thailand Environmental Institute (TEI)	Outsourced to facilitate the development of CbSEs and conservation activities (Component 2) in Pang Nga and Ranong
Community Based Organizations	Baan Bangtip CbSE, Pang Nga	Marine based CbSE and mangrove conservation
	Muang Kluang CbSE-Ranong	Marine based and eco-tourism CbSE and mangrove conservation
	Loomsoom CbSE, Kanchanaburi	Bamboo scrap products and forest conservation
	Dongbung CbSE, Prachinburi	Bamboo charcoal products and forest conservation
International Organizations	UNDP	Implementing Agency, provided quality assurance to project management
	GEF	Provided financial support and technical quality control of project implementation through Regional Technical Advisor

#### 4.1.6 Replication approach

A replication approach is implicitly contained in the project design and strategy. Taking the project achievements forward would involve building on the lessons learned and making use of opportunities for replication and scaling up of the CbSEs. The foundations for scaling biodiversity business based CbSEs are already in place, the model of CbSEs is already established across the country, BEDO successfully promoted the biodiversity business concept and the framework has been integrated into the national planning framework and National Plan. BEDO are currently in discussion with the Community Development Department, in charge of the OTOP. The two parties have agreed to sign an MoU to collaborate. Initially, BEDO will work with selected OTOP groups which have been well established in terms of business management but are at risk in terms of sustainable management of natural resources used in their production. Through BEDO, the 'Future of the Origins' principles will be introduced and training on sustainable use and systematic monitoring of biodiversity will be provided. .

Lessons learned from the pilot CbSEs should be collated and analyzed into a 'knowledge product'<sup>3</sup> similar to those produced by the Asia Development Bank. This document would detail potential opportunities for future expansion of the biodiversity business concept and the steps needed to achieve the approach.

#### 4.1.7 UNDP comparative advantage

The UNDP's overall comparative advantage for the GEF lies in its global network of country offices, its experience in integrated policy development, human resources development, institutional strengthening, non-governmental and community participation.

The project directly corresponds to the UNDP mission to assist the country in building its capacity in the focal area of environmental protection and management. The project fits into UNDP priorities and programming of the UN Development Assistance Framework (UNDAF) for Thailand and United Nations Partnership Framework (UNPAF) priority, "managing natural resources and the environment towards sustainability". Furthermore the project complied with the Environment programme under the 2012-2016 UNDP Thailand Country Programme. This set targets for supporting national mechanisms

<sup>3</sup> <http://www.adb.org/documents/special-evaluation-study-adb-s-knowledge-products-and-services>

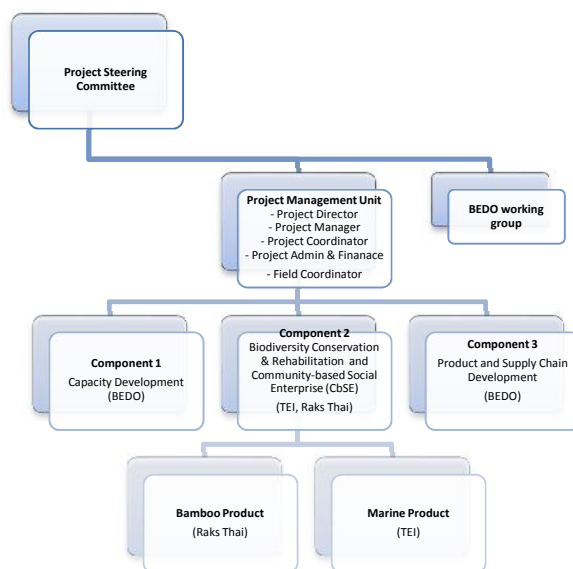
in environmental policy and regulation, community management of natural resources, and developing knowledge management around environmental initiatives and policy advocacy.

#### 4.1.8 Linkages between project and other interventions within the sector

There are clear links with government initiatives that support community enterprises; these include the Royal Decree on small/medium community enterprise (SMCE) and the One Tambon One Product (OTOP) programme. The SMBT Project extends UNDP's partnership with Thai counterparts in a number of key development areas, promoting policy linkages and community participation in natural resources and environmental management. Current UNDP projects complementing the SMBT Project were described above.

#### 4.1.9 Management arrangements

The ProDoc stated that project management arrangements would adhere to the NIM (National Implementation Modality), which is the UNDP format for a Programme Based Approach (PBA) on donor harmonization and government ownership. Under the NIM, the RTG exercises full ownership of a partnership that includes all relevant stakeholders in a common effort. BEDO is the Implementing Partner. The Project Management Structure is shown in Figure 1. It is a modified structure as proposed in the ProDoc, with roles for the TAG replaced with a BEDO Advisory Group, and Task Forces replaced by the project Partners, RTF and TEI. The Project Board was re-branded "Project Steering Committee".



**Figure 1. Current Project Management Structure** (from the Inception Report)

## 4.2 Project Implementation

### 4.2.1 Adaptive management

Overall the PMU's work planning was well managed. No issues were reported with the projects financial management or disbursement procedures. The implementing NGO's reported no issues in relation to disbursement of funds for the implementation of field projects.

The Monitoring systems put in place by the PMU utilising a combination of annual work plans and milestones, affirmed through quarterly reporting and meetings and field monitoring visits were effective in identifying issues and solutions to problems affecting project progress. Risk management and mitigation were considered to be effective and supported by reporting and feedback

arrangements. The co-financing arrangement through BEDO 'staff in kind' contribution was substantial and met with GEF requirements.

The MTR identified some weaknesses in project reporting i.e. the financial reporting should provide more detail on expenditure against Components and Outcomes and the Results Framework is not used fully in project reporting. This criticism appears to have been addressed in the post MTR reporting. The MTR also referred to potential political dynamics risk, political stability however prevailed.

#### 4.2.2 Partnership arrangements

The project formed a constructive partnership with other donor funded projects including Community based Natural Resources and Catchment Management and Catalysing Sustainability of Thailand's Protected Area System projects funded by GEF/UNDP as well as the GIZ's ECO-BEST project via experience sharing forums on topics of common interests such as sustainable resources management and Payment for Eco-system Services.

#### 4.2.3 Feedback from M&E activities used for adaptive management

Feedback from M&E activities was followed up through the regular interaction among the PMU, UNDP and key implementing partners including Raks Thai Foundation and Thailand Environmental Institute to discuss appropriate adaptive actions to project management. Project Steering Committee meetings were also a forum to discuss necessary adaptive management measures.

#### 4.2.4 Project finance

Project finance comprised of 2.005 million USD from GEF grant, including PPG grant, and co-financing of 5,813,852.93 USD comprising of BEDO's contribution of 5,518,000, UNDP contribution of 260,000USD and from others 35,852,93. The amount disbursed from co-financing was 5,088,361.32 USD equal to 87.5% of the total available co-financing.

The total GEF grant amounted to 2,005,000 USD (including PPG grant) to total disbursed was 1,586,626.02 equal to 79.13% of the total GEF grant available.

Total available funds for project implementation amounted to 7753852.93 USD, total disbursed was 6,674,987.34 equal to 86% of the total funds available.

**Table 4. Project co-financing (in US\$)**

Co Financing Type / Source	UNDP		BEDO		Other		Total
	Planned \$	Actual \$	Planned \$	Actual \$	Planned \$	Actual \$	
Grants	260,000	220,405		4514,929,68		35,852,93	4,771,187.60
In Kind Support			5,518,000	317,173,72			317,173.72
Totals	260,000	220,405	5,518,000	4832,103,40		35,852,93	5,088,361.32

(All figures in United States Dollar)

**Table 5. GEF Financing**

GEF Grant \$	
PPG	65,000
GEF Project Grant	1,940,000
Total GEF Grant	2,005,000
Disbursement	1,586,626.02

(All figures in United States Dollar)

#### 4.2.5 Monitoring and evaluation

##### 4.2.5.1 Design at entry

The project design was built around three principal components, these comprised of:

- i. Building national capacity for support of biodiversity business
- ii. Piloting community based social enterprises in valuable eco-regions
- iii. Mainstreaming biodiversity business into the supply chains of high value consumer markets

Overall, the project design was considered good and the identified activities to support the implementation of the three components were rational. However, the project was over ambitious in its design given the four year implementation timescale and this coupled with a lack of deep analysis of the actual situation on the ground during its design stage, resulted in a number of the outputs not being fully achieved. Furthermore, the slow project implementation start compounded the final results.

Whilst as a whole the project design was logical, a number of issues are raised relating to the project design and these are outlined as follows:

- i. The end of project target for Indicator 1 was to develop ten high value products and introduce five products into the national and export markets. Of the sixteen products developed within the projects timeframe, only two basic products were existing at project start, the remainder were created and developed over the project implementation period. When working with communities whose business and manufacturing skills are at a basic level and to transform them into successful CbSEs producing high end demand driven products takes an inordinate time and effort. This time element was underestimated during the preparation of the ProDoc.
- ii. Component 2 lacked a deeper analysis of the target communities. Time was used at project start to redefine the original list of communities provided in the ProDoc to ensure that the communities to be included in the field projects were committed to work with the project on developing a biodiversity business enterprise.
- iii. Component 2 Outcome 2.2 required CbSEs to implement systems for assessing maximum sustainable yield for the raw natural materials used in product production. Whilst all of the CbSEs are monitoring their resources, estimation of sustainable yields is premature. Current levels of raw materials used at current production levels fall well below measurable amounts at the landscape scale.

**Monitoring And Evaluation: Design at Entry Rated Moderately Satisfactory (MS)**

#### 4.2.5.2 Implementation

Project implementation experienced delay at the start of the project due to difficulties in securing a project manager for the PMU. This delay created a knock-on effect that has delayed CbSE products reaching the general market place. This was the first GEF project implemented by BEDO. The urgency of launching the field project elements was not clearly understood. A delay of eleven months was experienced before work in the field started. Once in the field, the two NGO's engaged by the project to implement the field work were occupied for a prolonged period due to discrepancies in the ProDoc identifying and gaining the trust of communities committed to creating CbSEs under the biodiversity business concept. Once identified, work was needed to create the CbSEs, build capacity of its members, identify products, train members to produce the products and equip them with work places and tools / machinery. Overall this process took another year to fulfil and two years of the project time then remained to develop the products, gain the required FDA certification and quality marks and place them in the market place.

**Table 7. Project Milestone Dates**

Milestone	Date
Project Designed	2009 – 2011
GEF approval	May 2011
Agency Approval (UNDP ProDoc signature, after cabinet endorsement)	December 2011
Project launch	Jan-Mar 2012
Inception workshop	June 2012
Contracts signed with RTF and TEI	September 2012
Actual field implementation start	November 2012
Mid-term Evaluation	November 2014
Terminal Evaluation	November 2015
Project ending date	December 2015

Engaging the NGO's *Thailand Environmental Institute* and *Raks Thai Foundation* to implement the field projects was overall considered to be the correct decision, as these organisations brought a huge wealth of experience in motivating and working with communities at grass roots level. However, neither organisation had in-depth experience in developing and marketing the CbSE products into the wider supply chain. At this stage, the CbSEs would have benefited with the direct engagement of specialised BEDO staff to assist in developing the supply chains and product marketing.

An objective of this project was to develop technical capacity within the BEDO staff structure to enable the organisation to act as the national biodiversity business facility and facilitate the development of CbSEs (Component 1 / Indicator 2). To achieve this outcome, BEDO needed its permanent staff to be more engaged at field level in order that the experience gained in this project could be transferred directly to BEDO staff at all levels. BEDO engaged contracted staff at field level to undertake monitoring of activities. Should these staff be made redundant at the end of the project, a great deal of first-hand experience will be lost. It is considered important that action is taken to transfer experience gained in the project through BEDO's project Exit Strategy.

#### **Monitoring And Evaluation: Implementation Satisfactory (S)**

#### 4.2.5.3 Overall assessment

Overall the project appears to have been implemented smoothly, at TE, no reports of major delays or bottlenecks were reported after the field projects had been started. Whilst the time delay at the start of the project was significant, the time required to fulfil all of the requirements to achieve the target of transforming the market chain and placing new goods into the high end market was grossly

underestimated in the ProDoc, and it is unlikely that even if the field projects has started immediately at project launch these targets could have been achieved.

**Monitoring And Evaluation: Overall Assessment Satisfactory (S)**

**4.2.6 Implementing agency (UNDP) and executing agency execution**

**4.2.6.1 UNDP**

The UNDP is the responsible GEF Agency for the project, and carries general backstopping and oversight responsibilities. The UNDP's responsibilities for management, monitoring and evaluation are laid out in the project document. The UNDP's appointed Programme Officer fulfilled the Project Assurance role and initiated both the Mid Term and Terminal Reviews of the project. The UNDP provided backstopping support to the project, along with supporting the Project Board / Steering Committee in carrying out their objectives and also provided independent project oversight and monitoring functions.

The slow start up of field projects at the start of the project has been a limiting factor in achieving final targets, although as noted in 4.2.4.3 the targets in the ProDoc were over ambitious and unlikely to have been fully achieved., However, given that this was BEDO's first GEF project, more advice and supervision should have been provided by the UNDP on the projects start up thereby allowing the maximum project time available to be expended developing the CbSE products.

**Implementation Execution: Implementing Agency Satisfactory (S)**

**4.2.6.2 BEDO**

The PMU based in BEDO has, after a slow start to the project, carried out a methodical and effective job as project managers and project administrators. The PMU have undertaken monitoring work at part of the regular PIR stages and updated both the projects logical framework and project scorecards at Mid Term and Terminal review. The PMU appointed field staff in the two sub-project areas to monitor the work of the two implementing NGO's on the ground.

A slow start up resulting primarily from staffing issues, brought about a prolonged delay in implementing work. This delay has led to a significant reduction in time to fully implement the CbSE activities. For future projects BEDO should ensure that a strategy is in place for unforeseen circumstances, thereby ensuring the project can proceed with minimum delay.

**Implementation Execution: Executing Agency Satisfactory (S)**

**4.2.6.3 Overall project implementation**

Overall, both agencies undertook their responsibilities adequately to achieve a satisfactory project outcome. During the Terminal evaluation process, no negative comments were received from stakeholders regarding the performance of either agency.

**Implementation Execution: Overall Project Implementation Satisfactory (S)**

## 4.3 Project Results

### 4.3.1 Overall results

Notwithstanding the ambitious targets set by the ProDoc which could not be achieved within the project time period, overall, the project achieved its primary goal of strengthening national and local capacity for mainstreaming biodiversity into production landscapes. The project successfully supported BEDO who are mandated to enhance biodiversity based economic development, improving local community knowledge of best practice for sustainable production and promoting biodiversity conservation in production landscapes through building the organisations capacity to lead the significant adoption and development of biodiversity business in Thailand. At the local level, by piloting the biodiversity business CbSE concept, this project set out to assess the applicability of promoting community led biodiversity business development in Thailand through the establishment of pilot initiatives and assessing their impact. Whilst the detailed analysis needs to be completed by BEDO post project, government support for biodiversity business has been well established through its inclusion into the national planning framework, furthermore BEDO are committed to extending the approach and are currently discussing the opportunities for extending the approach with OTOP.

Whilst the area under conservation management was not expanded as planned in the project using funds generated by each CbSE, the commitment of the CbSEs is clear as they show increased awareness of local environmental issues and support conservation work within the areas they manage with their own time and resources, furthermore two communities have joined the Royal Princess project, conserving plants and herbs in their management areas.

The outcomes in Component 3 'mainstreaming biodiversity business into the supply chains of high value consumer markets has been limited, as noted in paragraph 4.1.1, this Component achieved least success due to the ambitious targets set in the ProDoc and the limitation of time.

#### Project Results: Overall results Satisfactory (S)

### 4.3.2 Relevance

Firstly at the international level the project was consistent with the Convention on Biological Diversity signed by the RTG in 2003 and The 2050 Nagoya Strategy for Biodiversity (goals B, C & D). The Project contributes towards the Millennium Development goal 7 "*to ensure Environmental Sustainability*" and is in line with the UNDP Thailand Country Programme (2012 – 2016).

The project was implemented under the GEF-4 Strategic Programme. The project is also consistent with GEF-5 Focal Area Strategies (2010 – 2014) and GEF – 6 (2014 -2018) "*Mainstreaming biodiversity conservation and sustainable use into production landscapes / seascapes and sectors*"

At the national level, the project was consistent with the National Framework 11<sup>th</sup> National Economic and Social Development Plan (NESDP), and fits with the 'Green Growth Development Policy' combining environment and development, and overall with many priorities and programmes initiated by national line agencies.

#### Project Results: Overall results Relevant (R)

### **4.3.3 Effectiveness**

#### **4.3.3.1 Component 1: Building National Capacity for Support of Biodiversity Business**

Since project start, BEDO undertook a series of actions to support the achievement of Component 1, these included:-

- i. Design and implementation of a 'Capacity and Competitiveness Development Programme for BEDO staff. This supports BEDO's strategy, vision and mandate as the National Focal Point as the country's biodiversity business facilitator and promoter.
- ii. BEDO underwent a recruiting process increasing the organisation's staff from 29 to 60 during the project period.
- iii. BEDO restructured the internal organisation of staff and departments to create a more proactive and effective implementing structure. The new structure covers the whole supply chain development.
- iv. BEDO successfully promoted the inclusion of biodiversity business policy into the 2015 – 2021 Integrated Biodiversity Management Master Plan.
- v. BEDO prepared a new Bill concerning Promoting Biodiversity Business which is currently under consideration by the Ministry of Natural Resources and Environment. The process of legislation takes about 6 months.

#### **4.3.3.2 Component 2: Piloting CbSEs in valuable eco-regions**

The implementation of this multi-faceted component relied on co-operation and collaboration between BEDO and the implementing NGOs (TEI and RTF). Overall, the implementation of Component 2 was considered to be largely successful, however, time constraints impeded achieving all of the end of project targets. As a result, while successful activities were implemented that strengthened both national and local capacity for mainstreaming, actions to transform the supply and market chains remained not fully developed. Discussions with stakeholders during the TE process revealed the following further work was required for a greater number of products in order for them to be launched into the general market place:

- a. Product positioning in the market place
- b. Improvements to marketing materials and labelling
- c. Refinement of product designs and assessing potential
- d. Receiving approval and documentation from the FDA and other certification
- e. Standards such as Community Product Marks
- f. Completion of the BEDO quality mark process.

The project design end of project target for CbSE pilot products was a minimum of ten. Of these, at least five were expected to be selling into national and export markets. This was not achieved. No products, except for Eco-tourism activities, achieved general market exposure. As indicated above in paragraph 4.2.4 the time allowed within the project was insufficient to meet this target. Overall, eighteen products and services were developed across six CbSE enterprises. By the project end the individual CbSEs had achieved the following:-

- i. Dong Bang CbSE (Prachinburi) had developed five bamboo related soaps and cosmetic products. These products are being produced in a factory unit supported by Dong Bang Tambon Administrative Organization . The bamboo charcoal soap has been certified by BEDO under its Bio-economy mark. The factory unit is awaiting FDA certification. Currently the main sales are made through government agency organised fairs. The CbSE indicated that they are developing a website to focus on national sales.
- ii. Loom Soom CbSE (Kanchanaburi) had developed the process of manufacturing particle boards from bamboo waste using machinery purchased through the project. By the end of the project they were refining the process and adding decorative effects. A range of small decorative and furniture products had been developed. At project end, the Faculty of Industrial Technology and Management of King Mongkut's University of Technology North Bangkok (Prachinburi campus) were refining an innovative chair design to be manufactured by the Loom Soom CbSE. Current production was primarily sold at government agency organised fairs and networks The Loom Soom CbSE had acquired OTOP certification for the product and has won the "Best Community Innovative Product" from the BAACThe production factory financed by the project had been inspected by FDA and was awaiting certification.
- iii. Baan Bang Tip CbSE (Phang Nga) two groups were operational in the community. One group producing chilli paste. Five recipes had been developed based on marine fish and shellfish products. The second group had developed hygiene and cosmetic products based on Sea Holly (*Acanthus ebracteatus* Vahl) a common plant associated with mangrove forest. At the time of the TE inspection, the factory building provided with funds by the project to accommodate both groups was not fully completed. Additional funding from World Vision Foundation is expected to complete the construction and equipment. Both groups indicated that further work was required both in respect of labelling and marketing the products. At the current time, products were sold locally or at OTOP organized fairs.
- iv. Muang Kluang CbSE (Ranong) two groups were operational. The first group producing shrimp based paste and the second group developing and promoting local eco-tourism. The groups are based at the Muang Kluang Learning Centre where the project assisted with the construction of a small factory for the production of shrimp paste which is sold within the region through the group's network. The eco-tourism group has successfully developed a range of tourism service activities including diving and scuba. Tourism services are sold through local hotels in Ranong and nearby provinces in the region. . An eco-tourism plan for Kapoe district with the full support of the local Sheriff, the Ranong Tourism Authority Office and other stakeholders is in development. The Muang Kluang CbSE is taking a central role in the development of this initiative.

Each group has in place transparent participatory governance systems and business plans for their enterprise. The total revenue from the four CbSEs (6 groups) as of October 2015 was 19,700 USD. All groups are generating dividends for their members contributing to overall group satisfaction. Each group has established and contributed to the individual conservation and rehabilitation fund. The total combined income to the funds were 900 USD. Within the project, a sum of 10% of income was to be invested into the conservation and rehabilitation funds, the Muang Kluang CbSE eco-tourism and shrimp paste groups have increased this to 20%. To date no money from this fund has been utilised for conservation activities by the groups as the sums are considered currently too small, however, conservation activities and resource maintenance have been carried out by members of the groups in their own time and at their own cost, and in some cases, with support from the local administration organizations.

Community based biodiversity monitoring has been established and regular monitoring of the production resources is taking place in the four CbSEs (6 groups). Training and basic surveying equipment has been provided to each group by the project. Project design required each CbSE to determine sustainable yield of their natural production resources using the established monitoring procedures. No CbSE groups had determined sustainable yield for their resources at TE. The amount of resources used for production was small with little or no impact on the resource base e.g. at Loom Soom the community produce 4500 kg waste bamboo / month during their principal work of basket and mattress weaving. The CbSEs maximum production needs is 750 kg / month, the remainder of the waste is burned.

#### 4.3.3.3 Component 3: Mainstreaming biodiversity business into supply chains of high value markets

The project was considered to be partly effective in achieving the expected outcome of:-

*“To strengthen national and local capacity for mainstreaming biodiversity into the management of ecologically important production landscapes by transforming the supply and market chain of biodiversity based products”.*

Whilst successful activities were implemented that strengthened both national and local capacity for mainstreaming, actions to transform the supply and market chains remained not fully developed. This can be attributed to the fact that the end of project targets outlined in the ProDoc were too ambitious and required a greater time period to establish community based CbSEs from scratch and develop and launch products into the high end national and export markets. The MTR recommended a no cost extension to make up for lost time at the start of the project. This was not pursued due to lack of remaining project funds.

The project fully complied with the core objectives of BEDO and its development plan and was highly relevant for building capacity within the organisation.

Because of the shortcomings in achieving the end of project targets in Component 3 the project has been rated as Moderately Satisfactory for Effectiveness.

**Project Results: Effectiveness Moderately Satisfactory (MS)**

#### **4.3.4 Efficiency**

##### **4.3.4.1 Slow field project start up**

Efficiency of the project was impaired by the slow start of Component 2 CbSE field projects. This resulted in a knock-on effect at the end of the project, with all the CbSEs requiring additional time to refine their products and marketing plans. Additionally most of the CbSEs are awaiting FDA certification for their production facilities and to complete the BEDO quality mark process. The delays at project start were in part due to recruiting and personnel changes in the PMU, however, as a new organisation, BEDO were not experienced in GEF project implementation and prior preparation to the project start was not fully undertaken to ensure that component two of the project was primed for a quick launch. Thailand Environment Institute and Raks Thai Foundation were not contracted until September 2012 and field work started in November as noted in MTR. Experience in this project shows that the period for identifying the communities and preparing them to launch their enterprises is prolonged. As a result, this left only a two year period remaining for the development of the products and their marketing, thus the end of project target reaching the high value markets for products was far from attainable. As an inexperienced project implementer, BEDO would have benefited from greater support at the initial project stages from UNDP to ensure that a quick start on Component 2 was made at project launch.

##### **4.3.4.2 NGO approaches to project implementation**

The two implementing NGOs took contrasting approaches to implementing the field projects. The Thailand Environment Institute took an empowerment approach. This resulted in the community decision making process taking longer but resulted in CbSEs who were more confident to take management decisions for their enterprises. This approach requires a longer timeframe to achieve results but may in the long run prove more sustainable. Raks Thai Foundation was more intervention based and made greater use of the project indicators. Overall it achieved more targets, but the CbSEs placed more reliance on the NGO for decision making. Overall both approaches achieved the required results and their application will be more suitable for some communities than others. These contrasting approaches provide good experience for BEDO to draw on in the future.

##### **4.3.4.3 Overall project efficiency**

Apart from the slow start up of the Component 2 field projects, efficiency within the projects implementation was deemed to be acceptable. The PMU ensured that resources for training and support for CbSEs were in place at the right time and no issues were reported with regard to the disbursement of the projects funding. During the TE consultation with stakeholders, no negative feedback was received with regard to the efficiency of the PMU / BEDO or the two implementing NGOs with regard to their efficiency in implementing Component 2.

**Project Results: Efficiency Satisfactory (S)**

#### **4.3.5 Country ownership**

Thailand ratified the UNCBD in 2003, becoming a full member on January 29, 2004. It ratified UNFCCC in December 1994 and the Kyoto Protocol in August 2002, Thailand is a signatory of the Cartagena Protocol on Biosafety which came into force in February 2006. Thailand is therefore receiving assistance from the GEF and UNDP.

The project is country driven as it is in line with national policies and priorities. The project was identified as a high priority project and was endorsed by the GEF Operational Focal Point in their letter to UNDP/GEF in 2007. Further testament to country ownership was endorsed by the Royal Thai Government through their large co-funding commitment to this project.

#### 4.3.6 Mainstreaming

Mainstreaming activities were a central pillar in the design and expected outcome of this project.

Four mainstreaming activities can be identified in the project:-

- i. Mainstreaming “*mainstreaming biodiversity into the management of ecologically important production landscapes by transforming the supply and market chain of biodiversity based products*” This was the project objective, which was partly achieved. Further step is taken by BEDO to work with OTOP and introduce the principles of ‘Future of the Origins’ through biodiversity business.
- ii. Mainstreaming biodiversity business into the national institutional framework. Institutionally the biodiversity business concept fits with the 11<sup>th</sup> National Economic and Social Development Plan and with provincial governments ‘Green Growth Development Policy’. BEDO have successfully argued for biodiversity business to be included into the 2015 – 2021 Integrated Biodiversity Master Plan of the Ministry of National Resources and Environment. BEDO have also drafted and proposed a Bill of biodiversity business to be adopted into national law.
- iii. Mainstreaming biodiversity business and biodiversity concerns in local government, the project, through the establishment of CbSEs, experts drawn from local offices of national ministries/departments, gained in-depth information on biodiversity business through their participation. Kapoe District are preparing an eco-tourism development plan supported by Ranong Tourism Authority to promote tourism based biodiversity business activities across the district.
- iv. Gender mainstreaming, leadership in the CbSEs. In all CbSEs, women participate actively in the activities. However, the extent of their participation differed from region to region, due mainly to its socio-cultural context. CbSEs in the two central provinces (Kanchanaburi and Prachinburi) demonstrate strong female leadership and an equal decision making role between women and men in the groups’ businesses. For CbSEs in the two southern provinces which are Muslim communities, women are active in the production and sales of their products whilst men are advisers and leaders of most groups. Through a community empowerment approach, TEI gradually built up self-confidence of women members of the groups by engaging them in the participatory decision making process.

#### 4.3.7 Sustainability

##### 4.3.7.1 Financial resources

During project implementation, members from all the CbSEs received training in small business financial management from the provincial offices of Co-operatives Auditing. The accounting systems adopted are transparent and open to public scrutiny. Many of the CbSEs have placed a summary of their accounts on notice boards in their factory facilities thereby providing all members and visitors access. Each of the CbSEs has developed business plans for their enterprises. These are continually reviewed as the enterprises develop.

Under Outcome 3.3, BEDO have prepared a guidebook for the CbSEs on sources of financial support. Financing of some requirements of the CbSEs may be difficult to obtain because of loan and grant regulations, in particular workshop machinery.

During the TE, institutional stakeholders (e.g. community development office, BAAC, TAOs) provided a clear indication that they were willing to provide pro bono expertise to the CbSEs thereby creating a cost saving to the individual enterprises.

BEDO have stated their committed future support to the CbSEs development.

**Sustainability: Financial Resources Likely (L)**

#### 4.3.7.2 Socio-economic

Overall the socio-economic sustainability of the project is low risk. The internal dynamics of all the groups have resulted in strong groups, with skills in business management and with good internal management. Each group gave a commitment at TE to continue to develop and promote their products and grow their enterprises. Overall, the project appears to have increased unity within communities by assisting to sustain community groups.

Although none of the products was launched into the general market within the projects timescale, there presently exists a system of promotional fairs organised by OTOP and other organisations, along with various shops and stores managed by e.g. BEDO, OTOP, Bank of Agriculture and Co-operatives etc. who are willing to stock and promote CbSE products. This provides a market outlet whilst wider market outlets are further developed.

As with any product, market fluctuations caused by downturns in national economies can create problems for business enterprises. The CbSE products are considered to be low to medium risk. Firstly some products are produced for the local market and may not be affected by national economic conditions and secondly, where products are intended to be sold into the tourist market such as through hotels or directly to tourists, providing there is political stability in the country, the tourism market is influenced by a wider range of outside influences and not the general national manufacturing economy in Thailand.

#### **Sustainability: Socio Economic Likely (L)**

#### 4.3.7.3 Institutional framework and governance

The concept of biodiversity business is embedded in Thailand's institutional framework. The framework for biodiversity business is integrated into the national planning framework and National Plan. The CbSEs have established good links with local and national institutions; project advisory boards were established at the district and Tambon level to which the local representative offices of national ministries and institutions, along with local government staff attended. There is general support for these to continue after project end.

BEDO have stated their commitment to continue support for the CbSEs to develop and market their products. At the present time all the CbSE production facilities have either received or are undertaking the procedure for FDA certification. CbSE products are undergoing evaluation to receive quality assurance marks e.g. BEDO Bio-Economy Mark and OTOP 'One Tambon – One Product'.

#### **Sustainability: Institutional Framework and Governance Likely (L)**

#### 4.3.7.4 Environmental

The project has provided evidence that small community biodiversity business enterprises can be viable and that the link between people and the environmental functions and benefits in production landscapes on which the enterprise is established can be sustained as the CbSE members become highly aware and committed to conserve and manage the natural resources on which their enterprise rely. Community commitment is shown by their actions to undertake work at their own cost and include their managed areas into schemes such as the Royal Princess Conservation Project.

Within the project, environmental monitoring of resources was established and is maintained by the CbSEs. At TE, verbal reports were made of species being discovered that were not thought present prior to project conservation activities taking place. The CbSE members have been given conservation awareness training and in some enterprises young people are actively involved. The well established network of learning centres will ensure that conservation training continues.

During the TE a profound comment was made by a mayor of Tambon Administrative Organization that “the community have discovered a collective responsibility for natural resources” underscoring the impact made by the project on the CbSE members it worked with.

### **Sustainability: Environmental Likely (L)**

#### **4.3.8 Impact**

The expected main impact at the close of the project was to have strengthened national and local capacity for mainstreaming biodiversity into the management of ecologically important production landscapes by transforming the supply and market chain of biodiversity based products.

Actions to strengthen both the governance system for biodiversity business activities in Thailand and the institutional capacity of BEDO as implementing agency were completed. The BEDO self assessed Institutional Scorecard evaluation at the start of project was 56. At end of project this had risen to a score of 75.

The four ‘pilot’ projects undertaken within the project have been successful insofar as testing the biodiversity business concept in Thailand and whilst they did not meet their target of developing and putting into the market high value products, they have overwhelmingly proven that there is support for the concept in Thailand and with support, communities can embrace the biodiversity business concept and develop and produce marketable items.

There was no increase in percentage of target landscapes and seascapes brought into community management from the start of the project. During the project, CbSEs focused on the improvement of existing managed areas rather than increasing managed areas. The CbSE managing the bamboo forest at Kanchanaburi reported that within two years of improving forest management the diversity of species was increasing. At Prachinburi work has been undertaken to protect the existing remnant wild forest and this has been included into the Royal Princess Project focussing on the conservation of wild plants and herbs. The CbSEs at Phang Nga and Ranong are undertaking conservation works managing mangrove and cleaning beaches. The CbSE at Ranong is also managing a small forest for conservation education at Muang Kluang Learning Centre. To date no funds for conservation raised by the CbSEs has been utilised. Activities are undertaken on an ‘in kind’ basis by CbSE members, thereby indicating the commitment each group has to conservation.

Gender inclusion in the project was encouraged and women took leading roles in CbSEs. Kanchanaburi and Prachinburi stood out as good examples of gender mainstreaming. Through their engagement in business planning, product development and marketing, women members of the CbSEs have become more confident of their entrepreneurial skills.

## 5 Key Lessons Learned

### 5.1 Project management

- I. The use of time at project start up is extremely valuable and can dictate the end of project results. To maximise the use of project time, where possible, project preparation should start prior to the official project start up date to ensure that field activities begin in a timely fashion and allow for clarifications of the ProDoc to be undertaken within the Inception Phase.
- II. The Inception Phase must result in a common understanding of the project's relevance, objectives, strategies and expected results. The projects logical monitoring framework should be thoroughly analysed against the 'on the ground' reality and agreement reached with the UNDP to make changes that allow for a pragmatic and achievable end of project result.
- III. To ensure that the full national perspectives are included into project design, national consulting expertise is required at the project formulation phase. NGOs or CSOs with experience in working with communities should be engaged to identify/verify the right pilot communities based on the criteria set out in the ProDoc.
- IV. Engaging the NGOs to implement the field projects was the correct decision, however, they did not have the wider expertise in supply chain development. Closer working between the NGOs and BEDO was needed to ensure that expertise outside of the NGOs field was provided.
- V. Field based staff from BEDO strengthened the NGO team, however, the field staff were employed on a contract basis and therefore the experience gained is not built institutionally into BEDO i.e. the knowledge disappears at the end of the project as the field staff contracts expire. The project's Exit Strategy needs to ensure that the project and lessons learned are transferred to permanent BEDO staff at all levels prior to project closure.

### 5.2 Product development and marketing

- I. Where products are developed from scratch the time taken to identify the basic product and develop it into a saleable commodity should not be under-estimated. This includes the time to build community trust, establish a CbSE and develop its capacity as a commercial enterprise.
- II. Inexperienced CbSEs need to concentrate on producing small simple products. This will allow them to gain craft skills, business skills, organizational skills and confidence prior to expanding into the wider market with more advanced products. By starting with smaller products that are less expensive to produce, the market can be tested and opinions from potential customers gained.
- III. There are a growing number of CbSE products on the market. Products produced by CbSEs through the business biodiversity concept should be differentiated from other products on the market and their 'ecological' pedigree clearly stated.
- IV. In order to reach higher end markets there is a need to back the product up with good research -
  - Need to understand the demand and drivers of market
  - Knowledge and market awareness – who is the end user? What do they want from the product?
  - Willingness to pay
  - Need to be able to back up the health / beauty claims with cosmetics
  - Need to have designs that can be constructed and be robust,
  - Research into new products

To illustrate the commitment and understanding of CbSE members to biodiversity business, the following stakeholder comments were provided when asked the question 'What lessons have you learned?

- Biodiversity based business adds value to the product.
- Biodiversity based business promotes sustainable living and education values.

- Biodiversity based business spreads benefits and awareness of the concept to Tambon and surrounding villages.
- Biodiversity based business generates interest within other communities who become interested and want involvement.

## **6 Conclusions and Recommendations**

### **6.1 Conclusion**

The project supported six pilot biodiversity business CbSEs from establishment through to developing products and markets for biodiversity based products, successfully showing that this concept could be adopted by other communities in Thailand as a means of supporting linked biodiversity conservation and livelihood development objectives. The concept has received widespread institutional acceptance and has been adopted into the countries planning framework and is assimilated into the 2015 – 2021 Integrated Biodiversity Master Plan, and fits with the 11th National Economic and Social Development Plan. Furthermore it fits with Provincial Governments “Green Growth Development Policy” combining environment and development and is consistent with many line agencies priorities and programmes.

The SMBT Project succeeded in achieving its objective ‘to strengthen national and local capacity for mainstreaming biodiversity into the management of ecologically important production landscapes’ and piloting biodiversity business based CbSEs, however, it did fall short of transforming the supply and high value consumer market chains of biodiversity based products due to setting in the project design stage, over ambitious targets to be completed in the timescale allowed.

Pragmatic project design and realistic targets are fundamental in the design of GEF projects, whilst it is accepted that project design should ‘push the boundaries’, allowance must be made both to the availability of time and the levels of skills and knowledge the ‘actors’ have at the start of the project. Making best use of the projects Inception Period is critical in identifying and redefining project targets which after careful analysis are deemed to be unachievable within the project timescale.

Throughout the project, BEDO have built capacity and restructured the organization in order to build on the project success and promote biodiversity business CbSEs and their products in the wider marketplace. After support from the project, BEDO are considered to be well accomplished to lead the promotion and development of biodiversity business initiatives. To further promote nationally the development and replication of the model, BEDO have proposed an ACT of Biodiversity Business to the Ministry of Natural Resources and Environment.

BEDO are collaborating with OTOP to find the optimum ways of promoting biodiversity business CbSE products in areas such as promotion and the differentiation of biodiversity business products from general OTOP products. These discussions are currently in hand.

### **6.2 Recommendations**

- I. Future project designs should undergo a detailed review from national experts to ensure that the full national perspectives are taken into account and that the proposals and targets are both practical and achievable within the timescale of the project.
- II. The UNDP should actively encourage implementing partner agencies to be fully prepared and have their resources in place to undertake the Inception Phase of the project to enable key stakeholders to critically review project proposals, targets and implementation strategies, and where necessary adjust these to suit the realities on the ground.
- III. BEDO need to ensure that the experience and lessons learned from this project are fully transferred to their own staff through the project Exit Strategy. The key lessons learned through the project should be well documented and addressed by BEDO. A Knowledge Product should be developed and widely disseminated to CbSEs, relevant institutions and ministries, NGO organizations, and other stakeholder groups. The Knowledge Product should provide a detailed account of the biodiversity business concept and the role of the project, identify key lessons learned and options for further development of the concept. Most importantly the knowledge product should present key guiding principles and a range

- of best practices drawn from BEDOs project experience that support the replication of biodiversity business initiatives to other areas in Thailand.
- IV. BEDO should continue support to the pilot CbSEs so they may reach their full potential and ensure that these project supported CbSEs can be promoted as good models for biodiversity business replication. For example, further assistance is required on market assessment and understanding realistic drivers of product demand, product pricing and product marketing.
  - V. BEDOs project field staff currently employed on temporary contracts, should, where possible, be employed on a full time basis. This will ensure that project knowledge will be retained within the organization and that the skills of the field staff can be further developed in order that they can further advance biodiversity business initiatives and provide new and existing CbSEs with technical support.
  - VI. BEDO/OTOP joint marks should be developed to differentiate the jointly developed products from the general OTOP products. The following principles/actions should be considered:
    - Incorporating the three bio-business principles into the production of selected OTOP products. The three principles are: local content, eco-friendly product, and future of the origin.
    - Clear criteria in selecting OTOP groups (e.g. well established in terms of group management; business not too big; use local resources for production; and expressed interest of the groups on conservation activities
    - Training on biodiversity monitoring to OTOP groups.
  - VII. Certification of business biodiversity based products should provide the evidence that the products are ecologically friendly and support conservation activities, but they contain no ingredients that are harmful to humans nor chemicals that are not environmentally friendly (i.e. cosmetics).

### **6.3 Actions to follow up or reinforce initial benefits from the project**

#### **6.3.1 Actions by the project**

Consolidate lessons learnt / knowledge generated from the project implementation and develop knowledge products and resource books based on the lessons learnt. Key lessons learnt should include (but not be limited to) the following:

- a. Area selection
- b. Approaches in working with communities
- c. CbSE development (i.e. product identification, product development, business plan development, group management, accounting, resource mobilization, sales and marketing)
- d. Conservation fund management
- e. Self-sustained CbSEs
- f. CbSE standards (as benchmarks for self development)

Develop and implement exit plan to gradually transfer project activities into BEDOs regular programmes and budgeting.

#### **6.3.2 Actions by BEDO**

BEDO to continue supporting CbSEs in all pilot areas with special focus to help all groups to reach high level markets with high standard products so they could serve as proven models for replication. Current BEDO field staff should continue to be hired to carry on the work with the CbSEs until they have reached the point identified above.

Work with existing OTOP groups to introduce the principles of biodiversity based business /CbSEs where possible and promote mutual learning/experience sharing between CbSEs and OTOP groups. This could be a faster way to replicate the project's models as most OTOP groups already have grounded experience in business management.

### **6.3.3 Actions by CbSEs**

Review current business plans and put in benchmarks for self-sustained CbSE management in the long run. This process should be facilitated by BEDO staff in collaboration with other agencies/organizations who have committed their resources and expertise to support the groups beyond the project phase.

## **6.4 Proposals for future directions underlining main objectives best and poor practices in addressing issues relating to relevance, performance and success**

### **6.4.1 Best Practices**

- i. Whilst the projects mainstreaming field projects have been directed at the local level, decisions made at the local level and the amount of community support garnered are conditioned by national policy. The success of the CbSE pilot projects can be largely attributed to the support given at all political levels from Tambon level to Central Government. This level of support has given the CbSEs confidence to invest their time and money into symbiotic biodiversity business enterprises.
- ii. Successful mainstreamed biodiversity and development outcomes can be achieved through a variety of approaches depending on the prevailing local situation. There is no single way to achieve a successful outcome. The two NGOs approached implementation of the field projects differently depending on the local situation and both achieved successful outcomes.
- iii. Expending effort on raising the environmental awareness of communities and specifically on strengthening their understanding of the links between landscape ecology and their livelihoods can reap dividends in achieving biodiversity goals. The enthusiasm for conserving the local environment within the pilot project areas has greatly increased from the start of the project. There is local commitment for monitoring and undertaking conservation management activities by the community members, even at their own cost.

### **6.4.2 Poor Practices**

- i. The projects inception period could have been used more constructively. The amount of time required to achieve all outcomes in a project should not be underestimated. Project preparation prior to project start is critically important. This pre-project time should be spent on planning and organizing the project activities in order that, at project launch, no unnecessary time is expended.

## Annex 1.

### Terminal Evaluation Terms of Reference

#### TERMINAL EVALUATION TERMS OF REFERENCE (INTERNATIONAL CONSULTANT)

##### INTRODUCTION

In accordance with UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP support GEF financed projects are required to undergo a terminal evaluation upon completion of implementation. These terms of reference (TOR) sets out the expectations for a Terminal Evaluation (TE) of the Sustainable Management of Biodiversity in Thailand's Production Landscape (PIMS #3642). The essentials of the project to be evaluated are as follows:

##### PROJECT SUMMARY TABLE

Project Title:	Sustainable Management of Biodiversity in Thailand's Production Landscape			
GEF Project ID:	3940 (GEF PMIS#)		<i>at endorsement (Million US\$)</i>	<i>at completion (Million US\$)</i>
UNDP Project ID:	3642 (UNDP PIMS#) 00077720 (UNDP Atlas ID)	GEF financing:	<b>1,940,000</b>	
Country:	Thailand	IA/EA own:	<b>5,518,000</b>	
Region:	Asia-Pacific	Government:		
Focal Area:	Biodiversity	Other:		
FA Objectives, (OP/SP):	Mountain ecosystems (OP: Operational Programme); Mainstreaming biodiversity in production (SP: Strategic Priority)	Total co-financing:	<b>5,518,000</b>	
Executing Agency:	The Biodiversity-based Economy Development Office (BEDO)	Total Project Cost:	<b>7,458,000</b>	
Other Partners involved:		ProDoc Signature (date project began):		29 December 2011
		(Operational) Closing Date:	Proposed: 31 December 2015	Actual:

##### PURPOSE, OBJECTIVE AND SCOPE:

The Biodiversity-based Economy Development Office (BEDO) as a public organization was given the mandate of promoting conservation of biodiversity in production landscapes, improving local community knowledge of best practice for sustainable production and enhancing biodiversity-based economic development. The long-term challenges for BEDO is to ensure that Biodiversity conservation is mainstreamed into production and marketing of agricultural, forestry and fishery business, to create community incentives to conserve and enhance biodiversity in Thailand's land- and seascapes while maintaining appropriate incomes to satisfy family needs for livelihood and wellbeing.

There are three main barriers to achieve this: (i) At the national level, the institutional framework is not sufficiently capacitated to address the needs of an emerging biodiversity-based business sector, based on sustainable harvesting and production principles, (ii) At the community-level, sustainable production approaches and biodiversity conservation efforts are inadequate due to low incomes from present product categories, and (iii) Community revenues are limited due to low prices in the commodity market, as well as to high transaction costs in the supply chains.

The project aims to directly address these barriers through the three major outcomes of this project:

1. Building national capacity for support of Biodiversity Business
2. Piloting Community-based Social Enterprises (CbSE) in valuable Eco-regions
3. Mainstreaming Biodiversity Business into the supply chains of high-value consumer markets

The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects.

The purpose of the evaluation is to add to promote accountability and transparency, and to assess and disclose the extent of project accomplishments; to synthesize lessons that can help to improve the selection, design and implementation of future GEF financed UNDP activities; to provide feedback on issues that are recurrent across the UNDP portfolio and need attention, and on improvements regarding previously identified issues; to contribute to the overall assessment of results in achieving GEF strategic objectives aimed at global environmental benefit; and to gauge the extent of project convergence with other UN and UNDP priorities, including harmonization with other UN Development Assistance Framework (UNDAF) and UNDP Country Programme Action Plan (CPAP) outcomes and outputs.

The objectives of the evaluation are to assess the achievement of project results, and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming.

The scope of the evaluation covers an assessment and analysis of the relevance, effectiveness, efficiency, sustainability, and impact of the project, covering areas such as project design, monitoring and evaluation, attainment of outcomes, implementation agency and executing agency execution, management arrangements, work planning, finance and co-finance, stakeholder engagement, reporting, communications, etc.

## EVALUATION APPROACH AND METHOD

---

An overall approach and method<sup>1</sup> for conducting project terminal evaluations of UNDP supported GEF financed projects has developed over time. The evaluator is expected to frame the evaluation effort using the criteria of **relevance, effectiveness, efficiency, sustainability, and impact**, as defined and explained in the [UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects](#). A set of questions covering each of these criteria have been drafted and are

included with this TOR ([Annex C](#)). The evaluator is expected to amend, complete and submit this matrix as part of an evaluation inception report, and shall include it as an annex to the final report.

The evaluation must provide evidence-based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the GEF operational focal point, UNDP Country Office, project team, UNDP GEF Technical Adviser based in the region and key stakeholders. The evaluator is expected to conduct a field mission to Thailand including the project sites in Prachinburi, Kanchanaburi, Ranong, Pang Nga Province.

Interviews will be held with the following organizations and individuals at a minimum:

- Project Director
- Project Manager
- Representative of Responsible Parties, including Raks Thai Foundation and Thailand Environment Institute
- Field Officers
- Representatives from pilot communities
- Project Administrative Officer
- Project Financial Officer
- Members of Project Steering Committee
- UNDP Country Office in Bangkok in-charge of the ‘Sustainable Management of Biodiversity in Thailand’s Production Landscape’ Project.

The evaluator will review all relevant sources of information, such as the project document, project reports – including Annual APR/PIR, project budget revisions, midterm review, progress reports, GEF focal area tracking tools, project files, national strategic and legal documents, and any other materials that the evaluator considers useful for this evidence-based assessment. A list of documents that the project team will provide to the evaluator for review is included in [Annex B](#) of this Terms of Reference. The full scope methods used in the evaluation are at the discretion of the evaluator(s), but a mixed method of document review, interviews, and direct observations should be employed, at a minimum. The TE inception report and TE report should explain all the evaluation methods used in detail.

## EVALUATION CRITERIA & RATINGS

An assessment of project performance will be carried out, based against expectations set out in the Project Logical Framework/Results Framework (see [Annex A](#)), which provides performance and impact indicators for project implementation along with their corresponding means of verification. The evaluation will at a minimum cover the criteria of: **relevance, effectiveness, efficiency, sustainability and impact**. Ratings must be provided on the following performance criteria. The completed table must be included in the evaluation executive summary. The obligatory rating scales are included in [Annex D](#).

Evaluation Ratings:			
1. Monitoring and Evaluation	rating	2. IA & EA Execution	rating
M&E design at entry		Quality of UNDP Implementation – Implementing Agency (IA)	

M&E Plan Implementation		Quality of Execution - Executing Agency (EA)	
Overall quality of M&E		Overall quality of Implementation / Execution	
<b>3. Assessment of Outcomes</b>	<i>rating</i>	<b>4. Sustainability</b>	<i>rating</i>
Relevance		Financial resources	
Effectiveness		Socio-political	
Efficiency		Institutional framework and governance	
Overall Project Outcome Rating		Environmental	
		Overall likelihood of sustainability	

## PROJECT FINANCE / COFINANCE

The Evaluation will assess the key financial aspects of the project, including the extent of co-financing planned and realized. Project cost and funding data will be required, including annual expenditures. Variances between planned and actual expenditures will need to be assessed and explained. Results from recent financial audits, as available, should be taken into consideration. The evaluator(s) will receive assistance from the Country Office (CO) and Project Team to obtain financial data in order to complete the co-financing table below, which will be included in the terminal evaluation report.

Co-financing (type/source)	UNDP own financing (mill. US\$)		Government (mill. US\$)		Partner Agency (mill. US\$)		Total (mill. US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants								
Loans/Concessions								
• In-kind support								
• Other								
Totals								

## MAINSTREAMING

UNDP supported GEF financed projects are key components in UNDP country programming, as well as regional and global programmes. The evaluation will assess the extent to which the project was successfully mainstreamed with other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender.

## IMPACT

The evaluators will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts. Key findings that should be brought out in the evaluations include whether the project has demonstrated: a) verifiable improvements in ecological status, b) verifiable reductions in stress on ecological systems, and/or c) demonstrated progress towards these impact achievements.<sup>2</sup>

## CONCLUSIONS, RECOMMENDATIONS & LESSONS

The evaluation report must include a chapter providing a set of **conclusions, recommendations and lessons**.

<sup>2</sup> A useful tool for gauging progress to impact is the Review of Outcomes to Impacts (ROTI) method developed by the GEF Evaluation Office: [ROTI Handbook 2009](#)

## IMPLEMENTATION ARRANGEMENTS

The principal responsibility for managing this evaluation resides with the UNDP CO in Thailand. The UNDP CO will contract the evaluators and ensure the timely provision of per diems and travel arrangements within the country for the evaluation team. The Project Team will be responsible for liaising with the Evaluators team to set up stakeholder interviews, arrange field visits, coordinate with the Government etc.

## EVALUATION TIMEFRAME

The total duration of the evaluation will be 25 days over a time period of 11 weeks according to the following plan:

Activity	Timing	Tentative Period
<b>Preparation</b>	4 days	5-8 October 2015
<b>Evaluation Mission</b>	12 days	1-12 November 2015
<b>Draft Evaluation Report</b>	7 days	17-23 November 2015
<b>Final Report</b>	2 days	17 -18 December 2015

## EVALUATION DELIVERABLES

The evaluation team is expected to deliver the following:

Deliverable	Content	Timing	Responsibilities
<b>Inception Report</b>	Evaluator provides clarifications on timing and method	No later than 2 weeks before the evaluation mission: 8 October 2015.	Evaluator submits to UNDP CO
<b>Presentation</b>	Initial Findings	End of evaluation mission: 12 November 2015.	To project management, UNDP CO
<b>Draft Final Report</b>	Full report, (per annexed template) with annexes	Within 1.5 weeks of the evaluation mission: 23 November 2015.	Sent to CO, reviewed by RTA, PCU, GEF OFPs
<b>Final Report*</b>	Revised report	Within 1 week of receiving UNDP comments on draft: 18 December 2015	Sent to CO for uploading to UNDP ERC.

\*When submitting the final evaluation report, the evaluator is required also to provide an 'audit trail', detailing how all received comments have (and have not) been addressed in the final evaluation report. See [Annex H](#) for an audit trail template.

## TEAM COMPOSITION

The evaluation team will be composed of *an international and a national evaluator*. The consultants shall have prior experience in evaluating similar projects. Experience with GEF financed projects is an advantage. The international evaluator will be designated as the team leader and will be responsible for finalizing the report. The evaluators selected should not have participated in the project

preparation and/or implementation and should not have conflict of interest with project related activities.

#### A. INTERNATIONAL LEAD CONSULTANT

##### *PROFILE*

- Post-Graduate in environmental studies, development studies, social sciences and/ or other related fields.
- Minimum of ten years accumulated and recognized experience in biodiversity conservation and sustainable utilisation areas, and sustainable livelihoods
- Minimum of five years of project evaluation and/or implementation experience in the result-based management framework, adaptive management and UNDP or GEF Monitoring and Evaluation Policy
- Familiarity in similar country or regional situations relevant to that of 'Sustainable Management of Biodiversity in Thailand's Production Landscape' Project
- Experience with multilateral and bilateral supported biodiversity conservation and sustainable utilisation projects
- Comprehensive knowledge of international biodiversity conservation and sustainable utilisation best practices
- Very good report writing skills in English

##### *RESPONSIBILITIES*

- Documentation review
- Leading the TE Team in planning, conducting and reporting on the evaluation
- Deciding on division of labor within the Team and ensuring timeliness of reports
- Use of best practice evaluation methodologies in conducting the evaluation
- Leading the drafting and finalization of the Inception Report for the Terminal Evaluation
- Leading presentation of the draft evaluation findings and recommendations in-country
- Conducting the de-briefing for the UNDP Country Office in Thailand and Core Project Management Team
- Leading the drafting and finalization of the Terminal Evaluation Report

#### B. NATIONAL CONSULTANT

##### *PROFILE*

- Post-graduate in environmental studies, development studies, social sciences and/ or other related fields with at least ten years of project development and implementation
- A minimum of five years of project management experience in biodiversity conservation and sustainable utilisation
- Multilateral and bilateral funded project development and implementation
- Familiarity with Thailand national development policies, programs and projects

##### *RESPONSIBILITIES*

- Documentation review and data gathering
- Contributing to the development of the review plan and methodology
- Conducting those elements of the evaluation determined jointly with the international consultant and UNDP
- Contributing to presentation of the review findings and recommendations at the wrap-up meeting
- Contributing to the drafting and finalization of the review report

## EVALUATOR ETHICS

---

Evaluation consultants will be held to the highest ethical standards and are required to sign a Code of Conduct (Annex E) upon acceptance of the assignment. UNDP evaluations are conducted in accordance with the principles outlined in the [UNEG 'Ethical Guidelines for Evaluations'](#).

## PAYMENT MODALITIES AND SPECIFICATIONS

---

%	Milestone
10%	At submission and approval of inception report
40%	Following submission and approval of the 1ST draft terminal evaluation report
50%	Following submission and approval (UNDP-CO and UNDP RTA) of the final terminal evaluation report

## APPLICATION PROCESS

---

All application materials should be submitted to the by email to [Nisakorn.puangkamalard@undp.org](mailto:Nisakorn.puangkamalard@undp.org) by CoB 13 September 2015. Incomplete applications will be excluded from further consideration.

**Criteria for Evaluation of Proposal:** Only those applications which are responsive and compliant will be evaluated. Offers will be evaluated according to the Combined Scoring method – where the educational background and experience on similar assignments will be weighted at 70% and the price proposal will weigh as 30% of the total scoring. The applicant receiving the Highest Combined Score that has also accepted UNDP's General Terms and Conditions will be awarded the contract.

## Annex 2.

### Terminal Evaluation Field Mission Itinerary

#### Sustainable Management of Biodiversity in Thailand's Production Landscape Project - SMB Terminal Evaluation Mission, 1-11 November 2015

Date and Time	Meetings	Remarks
Sun 1 Nov 10.40 hrs.	Arrival of Mr. Andrew Sillitoe, Terminal Evaluation Team Leader (CX705).	<i>Tickets to Bangkok arranged by the consultants themselves.</i>
15.30 hrs.	Arrival of Mrs. Walaitat Worakul (FD 3442)  Evaluators check-in at Royal Princess Lanluang Hotel	
Mon 2 Nov		<b>Contact persons (UNDP):</b>
08.00 hrs.	Driver picks up the Evaluation Team from Royal Princess Lanluang	<i>Ms. Sutharin Koonphol 02-3049100 ext 2148 (M) 081-8075488</i>
08.30-10.30	Opening meeting at Meeting Room 3, UNDP Bangkok Regional Hub, 3 <sup>rd</sup> Floor, Service Building  <ul style="list-style-type: none"> <li>Mr. Doley Tshering, Regional Technical Advisor, UNDP BRH</li> <li>Ms. Sutharin Koonphol, Programme Specialist, UNDP Thailand</li> </ul>	
11.45 13.00	Leaving UN Building Meeting with Implementing Partner: BEDO Senior Management and PMU at BEDO Office <ul style="list-style-type: none"> <li>Mr.Veerapong Malai, Deputy Director&amp;CEO, BEDO Thailand</li> <li>Mr.Tanit Changtavorn, Project Director, Acting Deputy Director General, BEDO Thailand</li> <li>Mr.Rachai Cholsindusongkramchai, Project Manager</li> <li>Ms.Sasipa Jirasuktaveekul, Project Coordinator</li> </ul>	<b>Contact persons (BEDO):</b> <i>Mr. Rachai Cholsindusongkramchai Project Manager (M) 089-668-6100</i>  <i>Ms. Sasipa Jirasuktaveekul, Project Coordinator (M) 085-9097668</i>
15.00 17.05 18.30	Leaving Government Complex for Donmuang Airport Travel from Bangkok to Ranong (DD7318) Arrive in Ranong Province Accommodation: Farmhouse Ranong Hotel Rate: THB 1,200- net including breakfast	
Tue 3 Nov	Phang Nga Province (Marine Products)	<b>Thailand Environment Institute (TEI)</b>
07.30-09.30	Leaving Farmhouse Hotel for Baan Bang Tip, Tambon Bangwan (sub-district), Kuraburi, Phang Nga Province	<i>Ms. Benjamas Chotethong (M) 084-6113428</i>
09.30-10.30	Visit mangrove forest in Baan Bang Tip Meet Bang Tip village head and Chairman of Conservation Group	
10.30-11.30	Visit CbSE – mangrove herbal product group	
11.30-12.30	Visit CbSE –seafood chili paste group	
12.30-13.30	Lunch: Baiya Restaurant, Kuraburi	
13.30-15.00	Meet executives and representative of Bangwan Tambon Administration (TAO) <ul style="list-style-type: none"> <li>Bangwan Chief Executive of SAO</li> <li>Kuraburi Community Development Office</li> <li>Kuraburi Bank for Agriculture and Agricultural</li> </ul>	

15.00-17.00	<p>Cooperatives</p> <ul style="list-style-type: none"> <li>• Mangrove Development Station</li> </ul> <p>Travel back to Farmhouse Hotel in Ranong Dinner: Kiang Lay Restaurant, Amphoe Muang Ranong</p>	
-------------	--	--

Date and Time	Meetings	Remarks
Wed 4 Nov 08.30-09.00 09.00-12.00   12.00-13.00 13.00-14.30 14.30-16.00 16.00-17.00 19.10 20.35	<p>Ranong Province (Marine Products) Depart Farmhouse Hotel for Amphoe (District) Kapoe Meet executives and representatives of local government in Amphoe (District) Kapoe</p> <ul style="list-style-type: none"> <li>• Kapoe Sheriff</li> <li>• Ranong Tourism Authority Office</li> <li>• Mangrove Development Station</li> <li>• Amphoe Kapoe Community Development Office</li> </ul> <p>Lunch: Paa Sao Local Restaurant Visit Muang Kluang Learning Centre and Seafood Processing Warehouse to meet members of CbSE Visit Baan Sam Nak mangrove forest Travel to Ranong Airport Depart for Bangkok from Ranong by Nok Air DD7319 Arrive in Bangkok</p> <p>Accommodation for evaluators at Royal Princess Lanluang Hotel.</p>	<p><b>Thailand Environment Institute (TEI)</b> <i>Ms. Benjamas Chotethong</i> (M)084-6113428</p> <p>) (  <i>Ms.Phachoensak Jakkajorn</i> <i>Field coordinator</i> (M) 081-861-3852</p>
Thur 5 Nov 07.00 hrs.  11.00-12.00 12.00-13.00 13.00-14.00  14.00-14.30 14.30-15.00 15.00-16.30 16.30-17.00 18.00-19.00 19.00	<p>Travel to Kanchanaburi (3.5 hours) Accommodation (booked on behalf of evaluators): Jaruwan resort, 58 Moo 1, Tambon Lum Sum, Amphoe Sai Yok, Kanchanaburi, 71150 Rate: THB 1,000 net including breakfast</p> <p>Lunch: Nuang Wang Poh Restaurant, Saiyok Meeting with Raks Thai Foundation Staffs Visit Loom Soom CbSE</p> <ul style="list-style-type: none"> <li>• Ms.Lawan Majiakjon, Village Chief and CbSE Chief</li> <li>• Mr.Tiwa Sudprasert, Conservation group leader</li> <li>• Communities</li> <li>• Policy and Plan Analysis officer of SAO</li> <li>• Design Team from Mahidol University, Kanjanaburi campus</li> </ul> <p>Visit CbSE production wearhouse, Bamboo pressing demonstration Meet bamboo scrap product makers and bamboo mattress makers Visit Loom Soom community forest and a conservation group Visit bamboo nursery of Loom Soom community Dinner: Krua Tong Tin Local Restaurant, Saiyok Travel back to Jaruwan resort</p>	<p><b>Raks Thai Foundation (RT)</b> <i>Ms. Boonthida Ketsomboon</i> <i>Project Manager</i> (M) 084-676-0676</p> <p>) (  <i>Ms.Sutirat Kojchsawas</i> (M) 089-918-8121</p>
Friday 6 Nov 9.00 – 10.00 10.00-10.30 10.30-11.30	<p>Visit Saiyok Community Development officer Travel to Kanjanaburi city hall Meet officers</p> <ul style="list-style-type: none"> <li>• Bank for Agriculture and Agricultural Cooperatives</li> </ul>	<p><b>Raks Thai Foundation (RT)</b> <i>Ms. Boonthida Ketsomboon</i> <i>Project Manager</i></p>

11.30-13.00 13.00-13.30 13.30-14.30  14.30	<ul style="list-style-type: none"> <li>Kanjanaburi community development Office</li> </ul> <p>Lunch: Local Restaurant (Amphoe Muang) Travel to Wanawatwijai (central region) center Meet director of Wanawatwijai (central region) center</p> <p>Travel from Kanchanaburi to Prachinburi</p> <p>Accommodation: Winchakan Hotel ( ) in Prachantakam District, Prachinburi</p> <p>Tel: 037-291684 Rate: THB 750/night</p>	(M) 084-676-0676
Sat 7 Nov  08.00-8.30 9.00-12.00  12.00-13.00 13.00-14.00  14.00-15.00 15.00-16.00  16.00-16.30 16.30-17.00  17.00	<p>Prachinburi (Bamboo Products)</p> <p>Travel to Dong Bang SAO office Meet with Dong Bang CbSE and key partners</p> <ul style="list-style-type: none"> <li>Ms.NongLuck Inlai, CbSE chief</li> <li>Mr.Preecha NgamNgen, conservation group leader</li> <li>Chief Executive of Dong Bang SAO</li> <li>Chief Administrator of Dong Bang SAO</li> <li>Officer of Prachinburi Natural Resource and Environment office/ 9<sup>th</sup> Forest Resource Management Office</li> <li>Prachinburi Cooperative Auditing officer</li> <li>Prachinburi Provincial Energy Agency</li> </ul> <p>Lunch: Local Restaurant Visit bamboo charcoal CbSE, bamboo charcoal soap demonstration</p> <p>Meet bamboo charcoal makers, deodorant makers Visit None-Hin-Pueng community forest, meet sage homes and community forest committee</p> <p>Travel to KMUTNB, Prachinburi campus Meet Vice Dean of Faculty of Industrial Technology and Management Return to Bangkok</p>	
Sunday 8 Nov	Free day	
Mon 9 Nov  10.30-12.00	<p>National Partner – NESDB/RFD</p> <p>Meeting with Mr. Woratham Oonjittichai, Director of Wood Industry Development Division at Forest Research and Development Building, Royal Forestry Department, Jatujak Road, Bangkok</p> <p>14.00 Meeting with Mr.Montree Boonpanich, Senior Advisor of Office of National Economic and Social Development Board. 962 Krung Kasem Rd., Pomprab, Bangkok</p>	<p><b>BEDO</b> Mr. Rachai Cholsindusongkramchai Project Manager (M) 089-668-6100</p> <p><b>RFD</b> Mr.Woravit Palatatsa (M) 093-324-9197</p> <p><b>NESDB</b> Mr.Montri Boonpanich Senior Adviser (M) 0818454622</p>
Tue 10 Nov	Flexible day	
Wed 11 Nov 10.00-12.00	<p>Debriefing with BEDO, Raks Thai Foundation, TEI and UNDP Venue: BEDO, Pitipongpuengboon meeting room</p>	<p><b>BEDO</b> Mr. Rachai Cholsindusongkramchai Project Manager (M) 089-668-6100</p>

19.10 hrs.	Mr. Andrew Sillitoe leaves Bangkok (CX702 dep. 19.10 hrs.)	
------------	---	--

## Annex 3

### List of people interviewed

#### BEDO

1	Mr. Veerapong Malai	BEDO Director
2	Mr. Tanit Changthavorn	BEDO Deputy Director
3	Mr. Rachai Cholsindusongkramchai	SMBT Project Manager
4	Ms. Sasipa Jiratsuktaveekul	SMBT Project Coordinator

#### Royal Forestry Department

5	Mr. Woratham Oonjittichai	Director, Wood Industry Development Division
---	---------------------------	--

#### National Economic and Social Development Board (NESDB)

6	Mr. Montri Boonpanich	Senior Advisor
---	-----------------------	----------------

#### Phang-Nga Pilot site (Baan Bangwan, Kuraburi district)

7	Pol.L/C. Chaiwat In-on	Acting Chief Officer, Kuraburi district
8	Mr. Kaitpipat Srisook	Representative, Community Development Office
9	Mrs. Natawan Buakaw	Chief, District Agricultural Office
10	Mr. Chukiat Pinsuwan	Chief, District Fisheries Office
11	Mr. Chatchai Tongtaweewat	Mangrove Forest Resource Development Station 17
12	Mrs. Korbkaw Chotchoey	Mangrove Forest Resource Development Station 18
13	Mrs. Natnicha	Bank for Agriculture and Agricultural Cooperatives, Kuraburi District Branch
14	Mrs. Pornpimol Srisang	Government Savings Bank, Kuraburi District Branch
15	Mr. Paitoon Peetchon	On behalf of Chief Executive of the SAO
16	Mr. Pracha Kawijit	Ban Bang Tip Village Headman
17	Mr. Dolramahn Rawang-ngan	Council Member of the SAO
18	Mr. Udom Prasongpol	Council Member of the SAO
19	Mr. Noporn Horsakul	Council Member of the SAO
20	Mr. Yuttichai Muangkaw	Council Member of the SAO
21	Mr. Nirawut Wanyen	Council Member of the SAO
22	Ms. Kanjanee Donghoi	Thailand Environment Institute) TEI(
23	Ms. Paorampai Chotchoey	Thailand Environment Institute) TEI(
24	Ms. Wiyada Pengklaeng	Mangrove Forest Resource Development Station 18
25	Ms. Chawilak Kongmoon	Mangrove Forest Resource Development Station 18
26	Mr. Pachernsak Jeakkajorn	BEDO Field Staff
27	Ms. Pensom Darasang	Officer, District Office
28	Mrs. Rattiya Kawijit	Chief of CbSE, Ban Bang Tip
29	Mrs. Supaporn Rawang-ngan	Chief of CbSE, Ban Bang Tip
30	Ms. Araya Kawprasert	Government Savings Bank, Kuraburi District Branch
31	Mr. Prawet Awiruttapanich	Officer, Kuraburi District Fisheries Office

#### Ranong pilot site (Baan Muang Kluang, Kapoe district)

32	Mr. Chanakarn Tipprasertsook	Kapoe District Chief Officer
33	Mr. Preecha Hasjak	Chief of Mong Klong Learning Center (CbSE)
34	Mr. Pachernsak Jeakkajorn	BEDO Field staff
35	Pol.Maj. Chainarong Sangwaree	Inspector )Suppression (
36	Mr. Somchai Semmanee	Tourism and Sports officer, Ranong Province
37	Ms. Jutharat Prasittiporn	Assistant Village Headman) Moo 5(
38	Mr. Sathaporn Singkaw	Village Headman
39	Lt. Yongyoot Boonraeng	Chief of District Military Conscription Office
40	Mrs. Bussarakum muensa	Officer, Kapoe District Fisheries Office
41	Mrs. Jirawan Sawettadung	Chief of Ranong Tourism Association
42	Mr. Pitipong Wiparkkijanan	Member of Tourism Association
43	Mrs. Roonrapee Mahapantip	Advisory, Ranong Tourism Association
44	Mr. Jittisak Mahajan	OK Andaman
45	Ms. Laksanawan Krittasin	OK Andaman
46	Ms. Saijai Kawmanee	Officer, District Case Affairs

47	Mr. Umnaj Teprak	Public Health Executive
48	Mrs. Pattana Nontakaw	Chief of Kapoe District Agricultural Office
49	Mr. Narong Maneerat	Assistant Village Headman
50	Mrs. Nolphawee Sattayanont	Community Development Officer
51	Mr. Satja Pongyai	Chief of Kapoe District Office for Local Administration
52	Mr. Seelaiman Jangsuk	Village Headman
53	Mrs. Nattanan Sungsee	SS Kapoe Resort
54	Mrs. Rattana Chantra	Rattana Resort and Tour
55	Mr. Praran Chotinan	Rattana Resort and Tour
56	Mr. Preecha Preenang	Assistant Sub-district Headman
57	Mr. Sawang Yernyong	Sub-district Headman
58	Mr. Sirawit Singset	Assistant District Chief Officer
59	Ms. Kanjanee Donghoi	Thailand Environment Institute
60	Ms. Paorampai Chotchoey	Thailand Environment Institute

**Kanchanaburi pilot site (Tambon LoomSoom, Saiyok district)**

61	Ms. Lawan Majiakjorn	Chief, Village # 5; CbSE Chairperson
62	Mr. Tiwa Sudprasert	Assistant Chief, Village # 5 ; Conservation Group Leader
63	Mrs. Hunsa Charoensuk	Assistant Chief, Village # 5; CbSE member
64	Ms. Chandra Majiakjorn	Assistant Chief, Village # 5; CbSE member
65	Mr. Sarot Pookrod	Deputy Mayor, Loom Soom TAO
66	Mr. Surasit Nontasut	Policy and Plan Officer, Loom Soom TAO
67	Mr. Nikom Buatoom	CbSE member
68	Mrs. Noodao Buatoom	CbSE member
69	Ms. Surisa Saimai	CbSE member
70	Ms. Namphueng Nimpo	CbSE member
71	Mrs. Saipin Muandrun	CbSE member
72	Ms. Anongnart	CbSE member
73	Mr. Taweesak Sriwilai	Member of Loom Soom TAO
74	Mr. Sutat Laosakul	Chief, Forestry R&D Center, Central Region
75	Ms. Anongnart Chuechan-ad	Bank of Agriculture and Agricultural Cooperatives
76	Ms. Boontida Ketsomboon	Senior Officer, Raks Thai Foundation
78	Ms. Suthirat Kotchasawat	Field Coordinator, Raks Thai Foundation
79	Mr. Charasrawee Chaithong	Field staff, Raks Thai Foundation
	Mr. Teeradet Peng-aram	BEDO field staff

**Prachinburi pilot site (Tambon Dong Bang, Prachantakham district)**

80	Mr. Somnuek Somjai	Mayor, Dong Bang TAO
81	Ms. Nonticha Pidsup	Secretary, Dong Bang TAO
82	Mr. Chamras Sattaya	Chair, Dong Bang TAO Council
83	Mr. Preecha Nham-Ngern	Chief, Viillage #3; Leader of Conservation Group
84	Mr. Bunlue Chodok	Chief, Viillage #5
85	Mrs. Nongluck Inlai	CbSE member
86	Mrs. La-ong Udomsup	CbSE member
87	Ms. Lawan Moonchua	CbSE member
88	Ms. Thongthip Marit	CbSE member
89	Mr. Tanusin Puenbart	CbSE member
90	Ms. Chutima Plaek-khem	Officer, Prachinburi Energy Office
91	Mrs. Sukanya Phraprathum	Officer, Prachinburi Cooperatives Auditing Office
92	Ms. Ploychomphoo Ruamkhet	Officer, Prachinburi Cooperatives Auditing Office
93	Ms. Sumitra Chaiyat	King Mongkut's University of Technology North Bangkok (Prachinburi campus)
94	Ms. Boontida Ketsomboon	Senior Officer, Raks Thai Foundation
95	Ms. Suthirat Kotchasawat	Field Coordinator, Raks Thai Foundation
96	Mr. Charasrawee Chaithong	Field staff, Raks Thai Foundation
97	Mr. Teeradet Peng-aram	BEDO field staff

**UNDP**

98	Dr Sutharin Koonphol	Programme Specialist, Team Leader Inclusive Green Growth and Sustainable Development
----	----------------------	--

## **Annex 4**

### **List of Documents Reviewed**

#### **Project design and inception**

- Initiation Plan (2007)
- Project Identification Form (PIF) (2009)
- Project Document (ProDoc)(2011)
- Request for CEO Endorsement
- Response to comments by GEF Secretariat dated March 9, 2011
- Project Inception Report 2012
- Project Mid Term Review 2014

#### **Progress reports and work plans**

- Quarterly Progress Reports – Jan-Mar 2012 to Jul-Sep 2014
- PIR-2013- PIMS3642; PIR-2014- PIMS3642, PIR 2015 - PIMS3642
- Annual Work Plans (AWP) – 2012 to 2015
- Tracking Tool for Biodiversity Projects in GEF-3, GEF-4, and GEF-5 (Nov 15)

#### **UNDP/GEF**

- GEF (2010) The GEF Monitoring and Evaluation Policy 2010. Global Environment Facility, Evaluation Office. Evaluation Document No.4, November 2010.
- United Nations Development Programme Evaluation Office, 2012, Guidance for Conducting Terminal Evaluations of Undp-Supported, Gef-Financed Projects
- UNDP Country Programme for Thailand (2007-2011)
- Country programme for Thailand 2012-2016
- UNPAF Thailand 2007 – 2001& 2012 - 2016

## Annex 5

### Evaluation Question Matrix

Evaluative Questions	Indicators	Sources	Methodology
<b>Relevance - How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels?</b>			
Is the project in line with UNDP and the Global Environmental Facility's (GEF) policies and strategies? i.e. <ul style="list-style-type: none"> <li>o UNCBD</li> <li>o GEF biodiversity focal area</li> <li>o United Nations Framework Convention on Climate Change</li> </ul>	Project planning and approval documents.	Project documentation. UNDP documents, UNDP managers. Related National Policies and Plans	Document analysis; Stakeholder consultation
Are the original objectives still relevant at the time of evaluation? Have significant changes in the project context or GEF policies been retrofitted to the design?	Changes made in MTR  Changes to monitoring framework and results	Project documents, UNDP documents, Stakeholder interviews.  Project annual and quarterly reports,	Document analysis; Stakeholder consultation
Is the project consistent with the National Government and the Regional Government's strategies, policies and plans? i.e Thailand's environment and sustainable development objectives?	Programme implementation is consistent with national / international commitments to biodiversity conservation	Project documentation. Government reports. Government policy, laws and regulations. Stakeholder interviews.	Document analysis; Stakeholder consultation
How compatible is the project with strategies, policies and plans in economic development and environment led sectors?	Programme implementation is consistent with National Socio-Economic Development Plan and National Environmental Development Plan	Project documentation. The 10 <sup>th</sup> National Socio-Economic Development Plan and the National Environmental Development Plan of the same period. Stakeholder interviews.	Document analysis; Stakeholder consultation
Was the project design flexible enough to adapt to emerging challenges?	Changes made to monitoring framework	Project documentation. Annual and quarterly reports. MTR report.	Document analysis; Stakeholder

		Stakeholder interviews.	consultation
How is the project relevant with respect to other donor-supported activities?	Crossover of information and experience. Replication in other projects	Project documentation. Documentation from other projects. UNDP managers. Stakeholder interviews.	Document analysis; Stakeholder consultation
Were the project's beneficiaries appropriately targeted and were their specific needs accommodated in the project design?	Level of participation within communities at design and implementation. Perceived level of community ownership in project / survey.	Project documentation. Stakeholder interviews. Annual and quarterly reports. MTR	Document analysis; Stakeholder consultation
Were there any innovative aspects to either project design or implementation that contributed to better project efficiency, effectiveness and overall impact?	Actions taken. Reduction in implementation bottlenecks, Adaptive management applied.	Project documentation. Stakeholder interviews.	Document analysis; Stakeholder consultation
<b>Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?</b>			
To what extent have the expected outcomes and objectives of the project been achieved	Project implementation results.	Project documentation. Stakeholder interviews. Annual and quarterly reports. MTR	Document analysis; Stakeholder consultation
Were project risks identified in the PIF sufficiently mitigated in the design (e.g., failure to secure necessary institutional coordination arrangements, non compliance with certification, climate related risks, civil strife)	Risks identified and mitigated. Monitoring tools developed and in use.	Project documentation. Stakeholder interviews. Annual and quarterly reports. MTR	Document analysis; Stakeholder consultation
How is risk and risk mitigation being managed?	Monitoring tools developed and in use. Regular reporting to Project Board, used for decision-making.	Stakeholder interviews. Project documentation.	Document analysis; Stakeholder consultation

What lessons can be drawn regarding effectiveness for other similar projects in the future?	Project implementation results.	Project documentation. Stakeholder interviews. Annual and quarterly reports. MTR	Document analysis; Stakeholder consultation
To what extent were stakeholders – including the project implementing partner, service providers and the expected beneficiaries – involved in the design of the project, and what was their sense of ownership?	Level of participation within communities at design and implementation. Perceived level of community ownership in project / survey.	Project documentation. Stakeholder interviews. Annual and quarterly reports. MTR	Document analysis; Stakeholder consultation
Was the rationale for this project based on sound science and understanding of the ecosystem services and their interrelationships with key habitats and species their relationships with local communities and their livelihoods?	Biodiversity status reports Perceived level of community ownership in project / survey.	Project documentation. Stakeholder interviews.	Document analysis; Stakeholder consultation
<b>Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?</b>			
Was the government (national and provincial) actively involved in the design?	Project design documents and associated reports	Stakeholder interviews. Project documentation.	Document analysis; Stakeholder consultation
Was the design process participatory? Did it take into the concerns and needs of local government and local communities?	Levels of community participation in planning and implementation. To what extent have resource rights / tenure issues been addressed. Level of effort made for capacity building in communities.	Stakeholder interviews. Project documentation.	Document analysis; Stakeholder consultation
How well were the project's resources used in achieving the expected outcomes?	Cost management reporting.	Stakeholder interviews. Project documentation. MTR	Document analysis; Stakeholder consultation
How efficient are partnership arrangements for the project?	Levels of cooperation assessment.	Stakeholder interviews. Project documentation. MTR	Document analysis; Stakeholder consultation

Was project support provided in an efficient way?	Cost management reporting.	Stakeholder interviews. Project documentation. MTR	Document analysis; Stakeholder consultation
Did the project efficiently utilize local capacity in implementation?	Levels of community participation in planning and implementation. Level of effort made for capacity building in communities. Community project outputs.	Stakeholder interviews. Project monitoring documents Project documentation. MTR	Document analysis; Stakeholder consultation
What lessons can be drawn regarding efficiency for other similar projects in the future?	Results of evaluation.	Stakeholder interviews. Project documentation.	Document analysis; Stakeholder consultation
Did UNDP and implementing agency take the initiative to suitably modify project design (if required) during implementation in response to any changes in circumstance or emerging opportunities?	Problems identified in annual and quarterly reports and implemented interventions.	Stakeholder interviews. Project documentation. MTR	Document analysis; Stakeholder consultation
Was the logical and monitoring framework adequate to address identified challenges for project and were the project outcomes and outputs measurable and achievable within the project timeframe?	Evaluation of monitoring procedures. Monitoring mechanisms and their effectiveness.	Stakeholder interviews. Project monitoring documents Project documentation. MTR	Document analysis; Stakeholder consultation
Has adequate staffing/resource given for project management?	Results monitoring.	Stakeholder interviews. Project monitoring documents Project documentation. MTR	Document analysis; Stakeholder consultation
Did the implementing agency initiate any modifications in response to changing circumstances or opportunities?	Results monitoring.	Stakeholder interviews. Project monitoring documents Project documentation. MTR	Document analysis; Stakeholder consultation
Was prompt action taken to ensure the timely implementation of recommendations from the mid-term review and resolve any implementation concerns?	Changes made to working arrangements in line with MTR	Stakeholder interviews. Project monitoring documents Project documentation.	Document analysis; Stakeholder

		MTR	consultation
Have the flow of funds and procurement procedures been suitable for ensuring timely implementation?	Planned work started and completed on time	Stakeholder interviews. Project monitoring documents Project documentation. MTR	Document analysis; Stakeholder consultation
Have counterpart funds been provided adequately and on time?	Planned work started and completed on time	Stakeholder interviews. Project monitoring documents Project documentation. MTR	Document analysis; Stakeholder consultation
Did UNDP mobilize sufficient technical expertise in the project design?	Issues related to project design identified.	Stakeholder interviews. Project documentation.	Document analysis; Stakeholder consultation
<b>Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?</b>			
Were interventions designed to have sustainable results given the identifiable risks?	What are project results set against planned outputs	Stakeholder interviews. Project documentation.	Document analysis; Stakeholder consultation
What issues emerged during implementation as a threat to sustainability?	Experience of stakeholders / project partners during implementation.	Stakeholder interviews. Project documentation.	Document analysis; Stakeholder consultation
Are the implementing agency and supporting organizations sufficiently resourced to continue the program after project completion?	Exit strategy	Stakeholder interviews. Project documentation.	Document analysis; Stakeholder consultation
Are there social or political risks that may threaten the sustainability of project outcomes? What are they?	Socio-political analysis of current national / regional situation	Stakeholder interviews. Project documentation.	Document analysis; Stakeholder consultation

Are there ongoing activities or external factors that pose an environmental threat to the sustainability of project outcomes? What are they?	EIA Economic development plans Existing commercial operations	Stakeholder interviews. Project documentation. EIA reports	Document analysis; Stakeholder consultation
How might a second phase of the project build on the project successes and address its identified deficiencies?	Stakeholder consultation Project reports	Stakeholder interviews. Project documentation.	Document analysis; Stakeholder consultation
Have the entities/people that will carry on the project been identified and prepared?	Exit strategy. Community participation in management / community ownership .	Stakeholder interviews. Project documentation.	Document analysis; Stakeholder consultation
Is there evidence financial resources are committed to support project results after the project has closed?	Exit strategy	Stakeholder interviews. Project documentation.	Document analysis; Stakeholder consultation
To what extent was an integrated conservation and development model effectively been developed and replicated beyond the project sites?	How many projects or interventions used project experience?	Stakeholder interviews. Project documentation.	Document analysis; Stakeholder consultation
Has an exit strategy been prepared for the project and agreed upon by the key partners?	Project documentation.	Stakeholder interviews. Project documentation.	Document analysis; Stakeholder consultation
What (if any) inter-agency coordination arrangements are proposed to be put in place after project completion? How will they work efficiently, effectively and sustainably?	Exit strategy	Stakeholder interviews. Project documentation.	Document analysis; Stakeholder consultation
Are the economic activities promoted by the project generating economic profits or losses (net of subsidies)? What is their likely resilience to future shocks?	Project reports Economic analysis	Stakeholder interviews. Project documentation. National / regional economic studies.	Document analysis; Stakeholder consultation
<b>Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved</b>			

ecological status?			
Did the implementing agency put in place an effective M&E system and does it generate information on performance and impact that is useful for project management to take decisions?	Effectiveness of log frame Reporting system in place	Stakeholder interviews. Project documentation. Monitoring Framework Monitoring documentation National / regional economic studies.	Document analysis; Stakeholder consultation
Did the institutional and behavioural changes, expected at design stage, occur to ensure scaling up of project outputs?	Biodiversity impact studies Economic impact studies	Stakeholder interviews. Project documentation.	Document analysis; Stakeholder consultation
Has the project made verifiable environmental improvements?	Biodiversity reports EIA	Stakeholder interviews. Project documentation. National / regional biodiversity studies.	Document analysis; Stakeholder consultation
Has the project made verifiable reductions in stress on environmental systems?	Biodiversity reports EIA	Stakeholder interviews. Project documentation. National / regional biodiversity studies.	Document analysis; Stakeholder consultation
Has the project demonstrated progress towards these impact achievements?	Biodiversity reports EIA	Stakeholder interviews. Project documentation. National / regional biodiversity studies.	Document analysis; Stakeholder consultation
Has the local communities' perceptions of the need for ecological protection changed?	Studies / research on attitude changes. Level of perceived community ownership of project.	Stakeholder interviews. Project documentation. Community attitude surveys National / regional biodiversity studies.	Document analysis; Stakeholder consultation
How has the project impacted on overall management of the selected ecosystems? Has the project contributed to wider awareness of the required global efforts to protect these ecosystems and their species?	Biodiversity monitoring	Project documentation. Stakeholder interviews.	Document analysis; Stakeholder consultation

Does the project provide relevant lessons and experiences for other similar projects in the future?	Replication of project components occurring.	Project documentation. Stakeholder interviews.	Stakeholder consultation Document analysis;
How has the nature of poverty in the impacted communities changed in response to the project (is progress sustainable?)	Increase in incomes against pre project base line. Level of community ownership in project.	Stakeholder interviews. Project documentation. National / regional economic studies.	Document analysis; Stakeholder consultation

## Annex 6 Evaluation Consultant Agreement Form

### ANNEX E: EVALUATION CONSULTANT CODE OF CONDUCT AND AGREEMENT FORM

#### Evaluators:

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

#### Evaluation Consultant Agreement Form<sup>4</sup>

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

Name of Consultant: Andrew Sillitoe

Name of Consultancy Organization (where relevant): \_\_\_\_\_

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

Signed at place on date

Trefeglwys 26 Nov 15

Signature: 

## Annex 7 Report Clearance Form

*(to be completed by CO and UNDP GEF Technical Adviser based in the region and included in the final document)*

Evaluation Report Reviewed and Cleared by

UNDP Country Office

Name: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

UNDP GEF RTA

Name: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_