Project No. 88495: Conservation of biodiversity in landscapes impacted by mining in the Chocó Biogeographic Region

Terminal Evaluation – Final Report

PROJECT N° / OUTPUT	88495
PROJECT TITLE	Conservation of biodiversity in landscapes impacted by mining in the Chocó Biogeographic Region
EXECUTING ENTITY	WWF
IMPLEMENTING AGENCY	UNDP – Colombia Country Office
GEF PROJECT ID	4916
GEF PROJECT GRANT	USD 5.850.000
PROJECT START DATE	07/05/2014
PROJECT TERMINATION DATE	31/07/2019
EVALUATION PERIOD	Until 31/06/2019

Christian Sieber, International Consultant

Luisa Lema Vélez, National Consultant

Lina Villa, Support to National Consultant

October 7, 2019

Contenido

Figures and tables

Acronyms and Abbreviations

ANLA	National Authority for Environmental Licences (*Autoridad Nacional de Licencias Ambientales*)
ANM	National Mining Agency (*Agencia Nacional Minera*)
BD	Biodiversity
CODECHOCO	Regional Autonomous Corporation for the Sustainable Development of Chocó (*Corporación Autónoma Regional para el Desarrollo Sostenible del Chocó*)
CORPOURABA	Corporation for the Sustainable Development of Urabá (Corporación para el Desarrollo Sostenible de Urabá)
GEF	Global Environment Facility
IIAP	Environmental Research Institute of the Pacific (*Instituto de Investigaciones Ambientales del Pacífico*)
M&E	Monitoring and Evaluation
MADS	Ministry of Environment and Sustainable Development (*Ministerio de Ambiente y Desarrollo Sostenible*)
METT	Management Effectiveness Tracking Tool
MME	Ministry of Mines and Energy (*Ministerio de Minas y Energía*)
NGO	Non-governmental Organization
NNP	National Natural Parks Unit
NP	National Park
NTFP	Non-Timber Forest Products
OIA	Indigenous Organization of Antioquia (*Organización Indígena de Antioquia*)
P4F	Partnership for Forests
PCN	*Proceso de Comunidades Negras* ("Black communities process", a civil society organization)
PIF	Project Identification Form
PIR	Project Implementation Report
PND	National Development Plan (*Plan Nacional de Desarrollo*)
POT	Territorial Land-use Plan (*Plan de Ordenamiento Territorial*)
POTA	Territorial and environmental use plan (*Plan de Ordenamiento Territorial y Ambiental*)
PPG	Project preparation grant
PRODOC	Project Document
PUMA	Use, management and employment of environmental goods and services plan (*Plan de Uso, Manejo y Aprovechamiento de los Bienes y Servicios Ambientales*)
REDD	Reduced Emissions from Deforestation and Degradation
SC	Steering Committee
SGP	GEF Small Grants Programme
TC	Technical Committee
TICCA	Territories and areas conserved by indigenous peoples and local communities
UNDP	United Nations Development Programme
USAID	United States Agency for International Development
USD	United States Dollar
UTCH	Technological University of Chocó (*Universidad Tecnológica del Chocó*)
UTL	Legislative Work Unit (of Congresspersons; *Unidad de Trabajo Legislativo*)
WWF	World Wide Fund for Nature

0. Executive summary

Project Title: Conservation of biodiversity in landscapes impacted by mining in the Chocó Biogeographic Region			
GEF Project ID:	4916	PIF Approval Date	April 2012
UNDP Project ID:	5035	CEO Endorsement Date:	2012, March 22
ATLAS Business Unit, Award # Project ID	00077977	Project Document Signature Date (date project began)	2014, May 07
Country:	Colombia	Date Project manager hired:	2014, November 01
Region	Chocó	Inception Workshop date:	2014, September 17
Focal Area	Biodiversity	Final evaluation completion date	2019, October 02
FGEF Focal Area Strategic Objective:	BD-1. Improve sustainability of protected area systems BD-2. Mainstream biodiversity conservation and sustainable use into production landscapes, seascapes and sectors	Planned closing date:	2019, April 07
Executing/ Implementing Agency:	WWF / UNDP	If revised, proposed op. closing date	2019, October 31
Other Executing partners		Ministry of the Environment and Sustainable Development (MADS), Ministry of Mining and Energy (MME); National Parks Unit (NNP); Regional Autonomous Corporations and local governments; Environmental Research Institute of the Pacific (IIAP); and World Wildlife Fund – Colombia (WWF).	

Project Financing	**at CEO endorsement (US$)**	**At time of final evaluation June 30, 2019 (US$)**
1) GEF Financing	5.850.000	5.687.353
2) UNDP contribution	2.800.000	3.054.184
3) Government:	7.842.752	3.147.357
4) Other partners:	20.000.000	18.098.468
5) Total co-financing (2+3+4):	30.642.752	24.300.009
PROJECT TOTAL COSTS (1+5)	36.492.752	29.987.362

The Project “Conservation of biodiversity in landscapes impacted by mining in the Chocó Biogeographic Region" (Project "Biodiversity and Mining")“ aimed at safeguarding BD in the Chocó biogeographic region from the direct impacts of gold, silver, and platinum mining, and indirect impacts of mining. The project addressed the topic in two components. A first component sought to strengthen the policy, legal and planning

frameworks in the mining sector assuring that these frameworks address the direct threats of mining operations on biodiversity. A second component aimed to contribute to biodiversity conservation in areas highly vulnerable to mining impacts. To achieve its objective, the project adopted a cross-sectoral and multi-layered strategy around six intervention lines: political, legal and planning framework of mining; land-use planning; protected areas; productive initiatives; capacity building; restoration.

The project was implemented by WWF, under the Civil Society Organization modality. UNDP acted as implementing agency, in accordance with applicable GEF rules. The project began in May 2014 and ended operations in July 2019. A total of USD 5,850'000 of GEF funds were invested.

This final evaluation aims at assessing the performance of the project at the end of its implementation. In doing so, it identifies good practices and formulates recommendations for future projects of a similar nature. The main conclusions are as follows:

The project addressed a subject that is highly relevant in the Colombian context. Its objectives were aligned with national and international policy frameworks. The idea of including a cross-sectoral (environmental-mining) and multi-layered approach was innovative and timely. However, the cross-sectoral approach did not fully materialize during implementation. The mining sector's involvement was limited and in response the project decided during implementation to strengthen the environmental perspective.

The project was designed in a participatory and agile process. Stakeholders at the national, regional and local levels participated in the process. The theory of change was clear, even though indicators at project objective level only had an explicit link to the protected areas outcomes, whereas no causal link to other outcomes could be observed. Some outputs were too ambitious or specific and had to be adjusted in the light of contextual changes. The lack of a gender strategy in the original design could not be fully resolved during implementation.

During implementation, the project adopted a strategy with a sense of opportunity and adaptability. In doing so, the project took advantage of existing processes and joined forces with other initiatives and stakeholders. This resulted in improved efficiency and effectiveness of project activities. WWF demonstrated an excellent political instinct and a great ability to articulate with other stakeholders. UNDP demonstrated flexibility and allowed adjustments in the implementation strategy which was a prerequisite for the implementation of an adaptive strategy.

The project achieved a good articulation between the local and national levels and managed to articulate local development and consultation processes with public policy making and advocacy at the regional and national levels.

WWF's profile, its organizational experience and way of work characterized the implementation and facilitated the achievement of the objectives. Since the design process, the project stressed the importance of involving ethnic communities in project implementation and considering them as partners and not just project beneficiaries. This participatory and respectful approach fostered confidence and ownership of the project by local partners. The project team's ability to provide high-quality technical assistance, combined with their ability to understand and adjust instruments and advisory to local processes and concerns, generated confidence in stakeholders and facilitated collaboration.

The project reached and, in 12 out of 15 indicators, exceeded the quantitative targets set in the results framework (revised targets). From a qualitative point of view, very good results were achieved (including the

partnership with SGP for bio-entrepreneurship, the declaration of new protected areas, the strengthening of 4 National Natural Parks, the advocacy work with congress) and intervention strategies were generally relevant, effective and efficient.

The project strengthened its governance and management during implementation. Regarding governance, community organizations were integrated into the SC and TC and the conclusion of implementation agreements with local stakeholders contributed to their empowerment. Regarding management, the project started in 2017 to develop project monitoring and management tools that substantially improved the planning, execution and knowledge management processes.

The project generated numerous valuable knowledge products which were used for advocacy. However, a more systematic dissemination of experiences and publication of results occurred late. After a slow start, the implementation period was particularly intense during 2017 and 2018, resulting in an abrupt transition between the implementation and closing phase.

The sustainability of results is heterogeneous and varies between the different intervention lines. The project, together with its partners, started working on the consolidation of results and the institutionalization of processes and products in late 2017. At that time, it also recognized the need for continued support and intensified fundraising efforts to assure continuous support for its agenda of work.

Rating of project performance[1]		
Criteria	**Comments**	**Qualification**
Monitoring & Evaluation[2]: Highly satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)		
Overall quality of M&E	The M&E framework had some design flaws: some indicators were too ambitious or accounted for the same action, whereas other dimensions of the project were not covered by indicators at the objective level. During implementation, design flaws were corrected, and some good practices developed.	MS
M&E design	The initial indicators were ambitious and indicators at objective level did not take into account the different dimensions the project intended to cover (conservation, income generation, good mining practices, etc.); also, there was some duplication (two indicators corresponded to the same activity).	MU

[1] The rating meets the criteria and thresholds defined in: (2017) Guidelines for GEF Agencies in Conducting Terminal Evaluation for Full-sized Projects. 19 p.

[2] The rating takes into account both design and implementation; a six-point rating scale is used where highly satisfactory (HS) means that there were no short comings and quality of M&E design / implementation exceeds expectations and highly unsatisfactory (HU) means that there were severe shortcomings in M&E design/implementation.

Implementation of M&E	The project continuously improved its M&E and valuable tools were developed during the last two years.	S
Implementation and execution rating [3]: Highly satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)		
Overall quality of implementation & execution	The project demonstrated an outstanding performance. Adaptive management, good performance on the ground; empowerment of public and private actors and communities.	HS
Quality of implementation	Flexibility to consider adjustments; commitment and agility in responding to the project's needs; limited visibility and involvement at the field level and from other areas of the agency	S
Quality of execution	Strategy with a sense of opportunity and adaptability; participatory approach; good articulation between the local and national levels	HS
Outcomes[4]: Highly satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)		
Overall quality of outcomes	The topic addressed is highly relevant for the country, the effectiveness in influencing public policies high and the capacity building and empowerment of stakeholders successful.	S
Relevance relevant (R) o not relevant (NR)	Highly relevant topic in the Colombian context; agile and participatory design process; innovative cross-sectoral approach, although some challenges in its implementation.	R
Effectiveness	Impact on regulatory processes; capacity building and empowerment of different stakeholders; impact on land-use planning; creation of new protected areas and strengthening of National Natural Park management; strengthening of community organizations and	S

[3] A six-point rating scale is used where highly satisfactory (HS) means that there were no short comings and quality of implementation / execution exceeds expectations and highly unsatisfactory (HU) means that there were major short comings in quality of implementation / execution.

[4] Project outcomes are rated based on the extent to which project objectives were achieved. A six-point rating scale is used to assess overall outcomes. Highly satisfactory (HS) means that the level of outcomes achieved clearly exceeds expectations and/or there were no short comings; and highly unsatisfactory (HU) means that only a negligible level of outcomes was achieved and/or there were severe short comings.

	accompaniment of entrepreneurs. Some downscaling of target indicators.	
Efficiency	Clear governance and responsibilities; cost-efficient implementation; accounting and financial management complied with all relevant norms, standards and procedures; continuous improvement in management processes.	HS
Sustainability[5]: Likely (L), Moderately Likely (ML), Moderately Unlikely (MU), Unlikely (U).		
Overall likelihood of sustainability risks	Sustainability strategies per intervention line. Active fundraising to assure continued support; limited and late dissemination of results.	ML
Financial resources	Local organizations and bioentrepreneurs were supported to secure continued funding. Some protected areas continue to lack financial resources and new areas do not even have an operational budget.	ML
Sociopolitical	Continuous efforts to engage with different stakeholders and empower community organizations increases the chances that the project's topics will remain on the agenda beyond the project's end.	L
Institutional framework and governance	The project's strategy to strengthen and empower existing processes and institutions rather than creating new actors increases the likelihood that processes/institutions will remain over time. The use of inputs for territorial land-use planning will depend on the political will of administrations that did not know the project.	L
Environmental	The formalization of new protected areas, capacity building, as well as the institutionalization of community protection mechanisms for restored areas are important elements of sustainability, however, the pressure on the environment remains and continues to be a severe risk, taking into account the challenges of coordination between the environmental and mining sectors, and the lack of productive alternatives in the region.	ML
Impact: Considerable (C), Minimum (M), Insignificant (I)		
Improved environmental status	4 new protected areas; 4 National Natural Parks strengthened; contribution to the conservation of 13,433.23 hectares of forest and an increase of 240.64 hectares of forest.	C

[5] Sustainability risks will be assessed taking into account the risks related to financial, sociopolitical, institutional, and environmental sustainability of project outcomes, and other risks that may affect sustainability. Sustainability will be assessed using a four-point scale where Likely (L) means that there is little or no risks to sustainability and Unlikely (U) means that there are severe risks to sustainability.

Environmental stress reduction	The declaration of 4 new protected areas and the strengthening of 4 National Natural Parks helps to protect these territories from the impacts of legal mining and other productive and extractive activities. Strengthening national natural parks helps reducing the threats of illicit mineral extraction in these parks. There is no significant reduction of environmental stress in the rest of the region.	C
Progress towards changing tension and status	A strengthened political, legislative and mining planning framework. Better social and institutional capacities at the national, regional and local levels on biodiversity conservation issues.	C
Overall project results	A highly relevant contribution to Colombia's mining-environment agenda. Despite some design deficiencies, the project achieved in an efficient way highly satisfactory results, thanks to its adaptive management and sense of opportunity.	HS

1. Introduction

1.1. Purpose of the evaluation

This final evaluation aims at assessing the performance of the project "Conservation of biodiversity in landscapes impacted by mining in the Chocó Biogeographic Region" (project "Biodiversity and Mining") at the end of its implementation. In accordance with the terms of reference defined by UNDP, the evaluation assesses the achievement of results using the OECD DAC evaluation criteria and the tools and methodologies developed for the evaluation of GEF projects. Besides serving an accountability purpose, the evaluators emphasized the learning aspect and sought to identify, and document lessons learned and good practices that could be replicated in future GEF projects.

1.2. Scope and methodology

This final evaluation covers the period from the start of the project in May 2014 to 30 June 2019. Given the fact that the project has been evaluated at mid-term (August 2017), particular emphasis was put on reviewing developments in the second half of the implementation period. This final evaluation was conducted in three phases. A **documentary review phase** aimed at developing a comprehensive vision of the project, fine-tune the interview approach, and identify additional information requirements. The **field phase** allowed to value the processes and products of the project and to interview relevant actors. The mission took place from August 13 to 23, 2019 and included a total of 29 meetings in Bogota, Quibdó, Tadó, Vigía del Fuerte and Cali[6]. The **analysis and systematization phase** finally consisted of assessing the information obtained, corroborating findings and filling information gaps before developing concepts and presenting the information in a systematized manner.

The methodological approach was based on the considerations and instruments recommended in the Terms of Reference for the evaluators and the "GEF Guide for Final Evaluations". The evaluation team, in its inception report, proposed to complement the methodological approach with the following elements:

- Focus on qualitative results. In addition to the verification of the reported quantitative results, emphasis was put on a qualitative analysis of the results.
- Identify change that is attributable to the project: Determine by means of stakeholder perceptions how the reported results can be attributed to the project.
- Additionality: the project's methodological approach was to complement different initiatives and ongoing processes; interviews sought to determine the specific added value of GEF resources.
- Triangulation: triangulation of information was used to verify and weigh the information received from the different actors and secondary sources.
- Mid-term evaluation. The project was evaluated in August 2017. Although the final evaluation covers the entire period (May 2014 - June 2019), emphasis was placed on the developments since the mid-term evaluation and on how recommendations emanating from it have been followed-up.

[6] See summary field report and list of interviewed persons in annex 5.2 and 5.4.

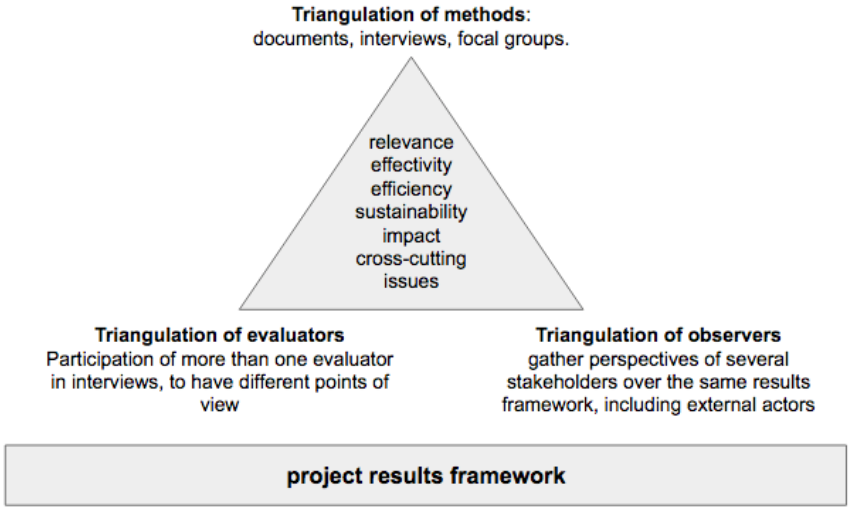


Figure 1: Strategies for triangulation of Information

1.3. Structure of the evaluation report

The report begins in chapter 2 with a description of the development context and the main characteristics of the project. Chapter 3 presents the main findings of the evaluation, particularly on project implementation, effectiveness and efficiency of results and the sustainability and impact of the intervention. Chapter 4 finally summarizes the conclusions and best practices and formulates recommendations for similar projects and on measures to be taken to ensure sustainability of the results achieved.

2. Description of the development context and the project

2.1. Context and theory of change

The project aimed at addressing three structural issues related to mining that negatively affect biodiversity conservation in the Biogeographical Chocó region. The first issue is related to gaps and inconsistencies in environmental and mining regulations that impede the implementation of rigorous processes to avoid environmental impacts of mineral resources extraction (lawful, illegal or informal). Addressing this problem was vital for the project as part of a preventive approach.

The second issue was related to existing impacts on biodiversity in high-conservation value areas and areas highly vulnerable to mining in the Biogeographic Chocó region. Even in national protected areas, extractive activities are leading to the deterioration of ecosystems. Neither the region, nor its collective territories were equipped with territorial land use or economic development strategies that promote the sustainable use of biodiversity. During the project formulation phase, the consultants evidenced a poor diversification of the local economy. Main sources of income came from extractive activities and there was no visible market presence of biodiversity-based products.

The third issue was related to capacity constraints of local, regional and national entities, and civil society organizations to actively address the challenges related to mining activities and its environmental

consequences. In an already complex socio-political context, biodiversity and mining governance requires multi-level efforts, collaboration between actors and shared visions for territorial development.

Addressing these three issues required a cross-sectoral approach, and the involvement of both environmental and mining authorities in the search for alternatives and in order to unlock and facilitate processes. The graph below summarizes the project's theory of change as understood by the evaluation team.

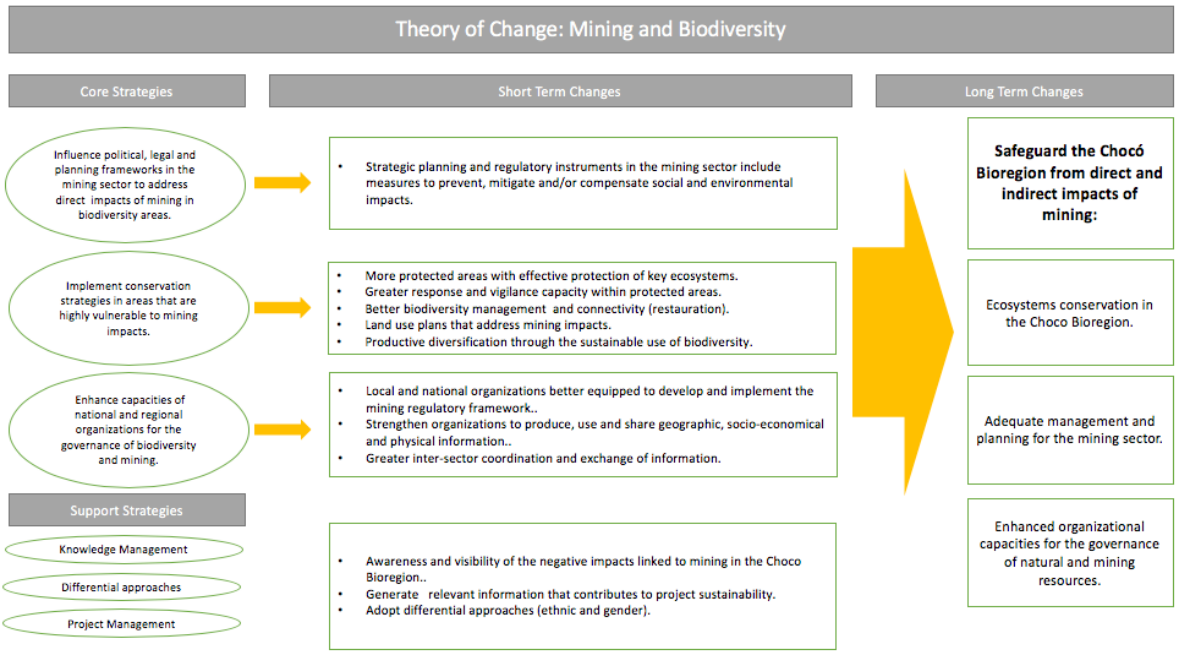


Figure 2: Theory of change Project Biodiversity & Mining

2.2. Objective and outcomes

The Project aimed at **safeguarding BD in the Chocó biogeographic region from the direct impacts of gold, silver, and platinum mining, and indirect impacts of mining (population growth, development of agriculture, forestry, fisheries and other sectors)**. The project was designed to address two types of problems through two components, with their respective outcomes:

Component 1: The policy, legal, and planning framework in the mining sector addresses the direct threats to biodiversity from mining operations.

- Outcome 1.1: Legal, policy, and planning instruments at the national level incorporate environmental and social criteria to prevent/mitigate and offset the direct impact of mining activity on biodiversity.
- Outcome 1.2: Improvement in capacity of selected national and regional organizations to apply the revised policy and regulatory mining framework.

Component 2: Protection of biodiversity in areas highly vulnerable to the indirect effects of mining.

- Outcome 2.1: Improvement in capacity of Regional Autonomous Corporations, Municipalities and community level organizations to generate, use and share geographic, socio-economic, and bio-physical information needed for spatial planning and management purposes that take into consideration the indirect impacts of mining.

- Outcome 2.2: Effective deployment of financial and human resources address cumulative indirect threats of mining (inappropriate infrastructure placement, including roads, farming, forestry, bush meat harvesting, and other development triggered by an increase in disposable incomes from mining activities); effective surveillance and enforcement over an area covering 2 m ha.
- Outcome 2.3: Six protected areas (two of them are new) protect 404,671 hectares of priority ecosystems in zones that are under high risk of development pressures.
- Outcome 2.4: Management effectiveness of 4 protected areas improves by 10% to 20% according to the Management Effectiveness Scorecard.
- Outcome 2.5: Biodiversity management and connectivity amongst forest fragments is improved through Landscape Management Tools (i.e., natural rehabilitation agroforestry systems, etc.) in 15,000 hectares of fragmented forests important for conservation of biodiversity.

To achieve the proposed outcomes, the project proposed a cross-sectoral and multi-layer strategy around six intervention lines: political, legal and planning framework of mining; land-use planning; protected areas; productive initiatives; capacity building; restoration. In addition, the project implemented a cross-cutting component on knowledge management and dissemination of results.

2.3. Indicators

The project proposed three indicators at the project objective level. These indicators did not experience adjustments throughout the implementation. Indicators at the project objective level and their targets measure solely results related to conservation areas and were defined in terms of 1) sustainable management of existing areas, 2) declaration of new protected areas and 3) improvement in management effectiveness.

Outcome indicators were revised in December 2015, and in July 2017 (following the recommendations of the mid-term evaluation). Six out of the twelve outcome indicators experienced modifications during project implementation, either regarding their formulation or regarding the set target. Different reasons led to the adjustments including changes in government priorities; a need to respond to some project design flaws; contextual opportunities or a need to further focus indicators. Indicators measure project progress in terms of policy documents, land-use planning instruments, changes in capacities, number and capacities of protected areas, avoided emissions, avoided deforestation, biodiversity-based productive initiatives, changes in income, and areas of degraded mining lands under restoration.

Detailed information on indicators and targets is presented in section 3.4.2. effectiveness. Annex 5.8 provides and overview of the adjustments of project indicators and targets in 2015 and 2017.

2.4. Key stakeholders

Civil society organizations	**WWF**: was the executing agency of the project. WWF began working in Colombia in 1964 and has a country office (formerly a program office) since 1993. This was the first GEF project executed by WWF Colombia. The project benefited from WWF's experience in the Colombian Pacific region and allowed WWF to strengthen its presence and network in the Chocó Biogeographic region.

International Organizations	**UNDP**: was the implementing agency. The project builds on previous efforts that aimed at strengthening the system of protected areas (several of them made with resources from previous GEF projects) and generating biodiversity-based markets.
Public or mixed entities	**Ministry of Environment and Sustainable Development (MADS)**: the project facilitated the ratification of the Minamata Protocol and made it possible to declare protected areas under the integrated management district figure. MADS leadership in the Pacific Agenda allowed to position the environmental dimension in the public debate. **National Parks Unit (NNP)**: 18% of the original budget (GEF resources) was allocated to the strengthening of national protected areas under administration of NNP and to the declaration of new regional protected areas which form part of the National System of Protected Areas administered by National Parks. The project produced new knowledge regarding the composition and state of national park ecosystems and the impact of mining activity in these areas and led to a reduction of illegal activities. **Environmental Research Institute of the Pacific (IIAP)**: was directly involved in land-use planning and restoration processes and participated in capacity-building. The project invested in improving the IIAP geographic information system and strengthened the institutions' relationship with black and indigenous communities and their role in research within the region. **Ministry of Mines and Energy (MME)**: the Ministry of Mines and Energy was directly involved during the projects' formulation phase and in the last years of implementation. However, its political agenda and relevant processes in the Pacific region related to formalization and legal mining did not form part of project implementation. **Municipalities**: the mayor's office of eight municipalities received technical inputs for the development of their land-use plans, information regarding the collective territories, mining activities and biotic and abiotic environmental elements within their jurisdiction. In addition, the project facilitated and strengthened relationships with community councils of black communities and authorities of indigenous reserves **Congressmen and Congresswomen:** got involved personally and through their legislative technical units (UTL). They strengthened their technical knowledge in mining and its impacts on biodiversity and learned about regulatory barriers that affect the harmonization of environmental and mining objectives. **Environmental authorities CODECHOCO and CORPOURABA**: Participated in the project formulation processes and contributed to the strengthening of environmental determinants in land-use plans. CODECHOCO also benefited from the declaration of regional protected areas in its jurisdiction; finally, many of the selected green businesses worked in close partnership with CODECHOCO and became main beneficiaries under the productive alternatives' intervention line. **Bioinnova**: strengthened its human resources and methodologies to support biodiversity-based businesses. This has sharpened its profile as a science, technology, innovation & development services provider and contributed to the strengthening of the entrepreneurial ecosystem in the Pacific.
Community Organizations	**Community councils ASOCASAN and COCOMACIA**: the councils were involved in the project as execution partners. The collaboration with community councils accounted for approx. 14%

	of GEF funds. As members of the project's SC and TC, they were actively involved in decision making. The project supported some of the council's priority processes, as regards to collective territories (the project supported the development of their environmental land-use planning instruments), and the promotion of economic development (the project supported the incubation of producer associations). **Indigenous People Organization of Antioquia (OIA)**: The OIA joins the project in 2016 by means of an agreement related to the impact of mining activities on the indigenous territories in Murindó, Vigía del Fuerte and Frontino. These impacts were predefined in the dimensions of territorial planning, development plans and strengthening of the indigenous reserves.
Private sector (corporate and business associations)	**Entrepreneurs**: The project launched a call for proposals to support biodiversity-based businesses. In collaboration with the UNDP Small Grants Program, 15 enterprises strengthened their administrative and management capacities, developed networks and market opportunities and received investments to improve their infrastructure and machinery.

3. Findings

3.1. Project design and formulation

The Biodiversity and Mining project was designed in an agile and participatory process. The project's Project Identification Form (PIF) was presented in March 2012 and approved in June of the same year. In July 2012, the project preparation grant (PPG) was approved. The project design phase was carried out between October 2012 and October 2013 with initiation workshops on November 12-13, 2012 in Bogota, a workshop on the results framework on June 4-5, 2013 in Bogota and meetings in Quibdó and Tadó at the beginning of July 2013. Main changes between the PIF and the PPG phase had to do with the geographical concentration of intervention (focus on municipalities and territories of black/indigenous communities of the middle and upper Atrato river and the upper San Juan river), the refining of several results (outputs) and a downward adjustment of co-financing amounts. The request for CEO endorsement was submitted in December 2013 and approved in January 2014. Implementation started in May 2014.

Stakeholders at the national, regional and local levels participated in the project design process. As a result of this participation, topics such as Law 70 or the strengthening of community councils and local land-use management agendas were integrated into the project design. In particular, black communities emphasized their active involvement from the beginning of the process as good practice. This active involvement not only marked the content of the project, it also strengthened the communities' ownership of the project and built trust, which subsequently benefited implementation.

The project was based on the hypothesis that, in order to safeguard the biodiversity of the Chocó biogeographical region from the direct and indirect effects of mining, it is necessary to work with a cross-sectoral and multi-level approach. The governance of the project appropriately reflected this cross-sectoral and multi-level approach. The project consisted of a public policy component, complemented by a conservation and sustainable use component. At the time of project formulation, such a cross-sectoral approach was innovative for a GEF project. Therefore, the scope for including more specific project objectives

addressing the mining sector was limited and the content was mostly focused on environmental aspects. This environmental focus subsequently limited the participation of the mining sector in project implementation. Nevertheless, the original focus foresaw a strengthening of the institutions of the mining sector through their articulation with relevant environmental institutions.

The original results framework reflected the structure of the project and the logic of intervention as put forward during the design process. The project's innovative element was the cross-sectoral approach, which was partially reflected in the logical framework. Although the three indicators at project objective level measured environmental impacts only, several outcome indicators aimed at capturing the projects' effects on the mining sector, particularly on the strengthening of institutions and the availability of information (see for example. IR 1.1.1. / 1.1.2 / 1.2.1). However, during project implementation indicators referring to the mining sector had to be adjusted and were mostly replaced by indicators measuring environmental results. By way of example: While the original design envisaged an articulation of the mining and environmental sectors by means of a unifying platform for information systems, the revised indicator 1.2.1 only measured the strengthening of the mining and environmental information system of IIAP.

The project design defined intervention strategies that had only an indirect relation with the project's main objective, namely the protection of the environment. Apart from improving the effectiveness of the management of protected areas or the declaration of new conservation areas, project activities envisaged contributing to the creation of a favorable environment, but did not directly and measurably impact on the safeguarding of biodiversity in the Chocó Biogeographical Region from the direct and indirect impacts of gold, silver and platinum mining. For the proposed strategy to be the means to achieve the final objective of the GEF project, it is necessary to make the bold assumption that Colombian rules, policies and instruments have a high effectiveness.

The indicators at project objective level are all related to protected areas; this reduces the contribution of other outcomes to the project's objective. While the effort in protected areas represented only 20% of the total project budget, other project components had no measurable impact on the project objective. The fact that all indicators at project objective level are related to protected areas misrepresents the importance of other results and makes it difficult to measure the contribution of those other results to the conservation of biodiversity in mining-affected landscapes.

The overly ambitious formulation of some outputs, combined with major changes in context, made it necessary to adjust the initial design. The outputs related to the alignment of information systems between the environmental and mining sectors and the development of a REDD project portfolio were overly ambitious. The results related to the approval of policies (including regulation and land-use planning) depended on processes that were beyond the control of the project. On the other hand, changes in political priorities, peace negotiations and the post-conflict process, expansion of illegal and criminal mining incentivized by high gold prices, the Constitutional Court's ruling on the Atrato river or the strengthening of municipal jurisdictions with respect to the development of mining projects were some of the contextual factors that called for adjustments in the project's strategy. The results framework included in its assumptions and risks the importance of political will to achieve the objectives, in particular under component 1. Other risks, such as the dynamics of the peace process (in 2013 only at its very beginning) and its impact on the land-use planning or the repercussions of the expansion of criminal and illegal mining were not reflected in the project's risk mitigation strategy.

The project was able to capitalize links to other initiatives, far beyond what was planned for in the original design. During the design phase, potential links were identified with other GEF projects, mostly implemented by UNDP, in the focal area biodiversity. In addition, the project document proposed coordinating implementation with USAID's BIOREDD program (later done so with the Oro Legal project of the same donor) and signed a letter of intent for co-financing. During implementation, the project was able to articulate with other initiatives at different levels and different scopes, including some at the national level (development of the REDD National Strategy led by the ONUREDD program), and others at the regional level (UNDP Small Grants Program). See Chapter 3.4.2. Effectiveness, Productive Initiatives for further information.

The project sought to contribute to existing processes that experienced difficulties or delays. The project design sought to generate, strengthen and accelerate processes that were already underway under a baseline scenario, thereby following the GEF resource investment logic. Examples include the project's attempt to address obstacles related to the adoption of the new mining code (which later was replaced by other actions that capitalized on ongoing legislative and regulatory processes), and the efforts to improve the effectiveness of national protected areas.

3.2. Alignment with strategic objectives of planning documents in place at the time of design

Contribution to the 2030 Agenda and the Sustainable Development Goals. Although the 2030 Agenda did not yet exist at the time of project formulation, the project's design and, in particular, its strategies on capacity building, land-use planning, biodiversity-based productive alternatives, and more protected areas with increased efficiency all contribute to SDG 15, Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss:

> 15.1 By 2020, ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands, in line with obligations under international agreements.
>
> 15.2 By 2020, promote the implementation of sustainable management of all types of forests, halt deforestation, restore degraded forests and substantially increase afforestation and reforestation globally.
>
> 15.6 Promote fair and equitable sharing of the benefits arising from the utilization of genetic resources and promote appropriate access to such resources, as internationally agreed.
>
> 15.9 By 2020, integrate ecosystem and biodiversity values into national and local planning, development processes, poverty reduction strategies and accounts.

The project design is aligned with the United Nations Development Assistance Framework in Colombia in its two goals of peacebuilding and sustainable development. The project contributes specifically to results 1.2, 2.3, 2.4 (UNDAF 2015-2019), which relate specifically to issues such as inclusive governance, citizen participation, the effectiveness of local governments, economic inclusion of rural populations, strengthening of small producers and socio-environmental resilience. The project directly benefits black and indigenous populations and promotes ethnic approaches to territorial planning.

The project is consistent with UNDP's Strategic Plan (2014-2017) and UNDP's Colombia Country Program Document 2015-19. The project is mainly aligned with results 1, 2 and 5 of UNDP's Strategic Plan. A further alignment with result 4 that aims to accelerate gender inequality would have been desirable. One of the

programmatic priorities of the Country Program Document is inclusive and sustainable growth. The project design specifically contributes to reducing the environmental impacts of the extractive industry and promoting a sustainable use of biodiversity to strengthen livelihoods of vulnerable populations.

The project is aligned with the two objectives of the GEF focal area Biodiversity, namely BD1-Improve Sustainability of Protected Area Systems and BD-2 Mainstream biodiversity conservation and sustainable use into production landscapes, seascapes, and sectors. Under the first objective, the project aimed to contribute to the result 1.1, improved management effectiveness of existing and new protected areas. Under the second objective, the project sought to contribute to the result 2.1, increase the sustainably managed landscapes and seascapes that integrate biodiversity conservation, and 2.2., incorporating measures to conserve and sustainably use biodiversity incorporated in legal and policy frameworks.

The project results framework is aligned with the National Development Plan "Prosperity for all", effective at the time of project design. The project contributes to line III. Sustainable Growth and Competitiveness, in particular by supporting technology in the dissemination and processing of environmental information (III.B.2.b.) and by strengthening the sustainable development of the mining sector (III. C.4). In line VI. Environmental sustainability and risk prevention, the project contributes to the strategic action of Biodiversity and ecosystem services (VI. A.2.a.).

Finally, the project design is aligned with several national policies, including the National Biodiversity Policy (1996), the National Policy for the integral management of Biodiversity and its Ecosystem Services (2012), and the National Restoration Plan (2010).

3.3. Project implementation

The project was implemented by WWF, under the Civil Society Organization modality, in accordance with the rules and regulations for UNDP cooperation in Colombia. UNDP acted as implementing agency, in accordance with applicable GEF rules. The highest governance instance of the project was the Steering Committee (SC), originally composed of WWF, the Ministry of Environment and Sustainable Development (MADS), IIAP, and UNDP/GEF. Its composition was subsequently adjusted to include the Ministry of Mines and Energy (MME), NNP, CODECHOCO and a representative of the community councils.

The project was implemented by the Project Management Unit (PMU) operating within WWF and led by the project coordinator.

Hereafter we discuss the main implementation features and its repercussions on the achievement of project results:

- **Adaptation management, and a strategy with a sense of opportunity and adaptability.** The project's dependence from public policy processes outside the control of the project and developments in the Colombian context required constant adjustments in the implementation strategy. The project successfully adjusted to this changing environment, without losing sight of its ultimate objective. When deemed necessary, the project team proposed adjustments to the results framework using the processes established for this purpose (SC). The project team was aware that results would not be achieved in isolation. Therefore, the project formed alliances, supported ongoing processes and achieved results through catalyst interventions. Examples of this positive "opportunism" were actions towards the ratification of the Minamata Convention or the project's contributions to the construction of the "Pacific Vision".

The project managed to create synergies with other programs and develop collaborations that enhanced its impact. Examples of such synergies are the collaborations with UNDP's Small Grants Program (SGP) in support of productive initiatives (see Chapter 3.4.2. Effectiveness). The collaboration with the National Forum for Colombia in capacity building and training of congressmen greatly enhanced the results due to the complementarity profile of the two organizations (WWF: environment; National Forum for Colombia: mining-energy).

- **Good articulation between the local and national levels.** The project successfully intervened at different levels and managed to articulate local development and consultation processes with public policy making at the national level. In Colombia, where policies often do not adequately reflect the reality on the ground, contributing to a strengthened link between the local reality and national policies is particularly valuable. The project's work on productive initiatives illustrates the articulation of different levels: the project supported initiatives at the local level, worked with regional autonomous corporations on the regulation of non-timber forest products (NTFP) and intervened at the national level to amend the decree 1076 of 2015.

- **Alliances: A close working relationship with and trust from ethnic communities**. Since the design process, the project stressed the importance of involving ethnic communities in project implementation and consider them as partners and not just project beneficiaries. Through its different intervention lines, the project contributed to the strengthening of technical, political, and institutional capacities of the communities. The underlying assumption was that strengthened community structures will help reducing the pressure of (illicit) mining on biodiversity. This participatory and respectful approach fostered confidence and ownership of the project by local partners. The project did not impose its own agenda, but rather identified local processes and concerns. This approach generated trust and opportunities for collaboration with local organizations. These confidence building processes took time and delayed project execution in 2014/15.

- **Difficulty to involve the mining sector.** The efforts to associate public institutions at the national and subnational levels to project implementation were not carried out with the same commitment. At the national level, the project received support from MADS in its role as GEF focal point and responsible agency for environmental policy. MADS was represented in SC meetings by its sectoral affairs directorate, and the project supported its green market office in the development of regulations; however, broader involvement or training of MADS staff has not been observed. With the MME, the project did not manage to establish a close and harmonious collaboration throughout the project. Differences in political priorities, work strategies, and institutional and personal perceptions, combined with high turnover of officials in the MME, impeded the development of a closer collaboration. MME's perception was that the project had an environmental-sector bias because it was implemented by an environmental NGO. Articulation with other stakeholders in the mining sector and the public force was circumstantial. With NNP the project established a good collaboration. At the subnational level, the project developed good working relationships with CODECHOCO, CORPOURABA and IIAP. The collaboration with local municipalities were subject to the ups and downs of political processes.

- **Consistency in support and work through local partners**. Most public institutions, communities and entrepreneurs in Chocó have previous experience with international cooperation or national government programs. When comparing this project with other support received, interviewees applauded the continuity of support and the accompaniment received. A close monitoring was

possible because the project worked with local partners (e.g. BioInnova, IIAP) and the project's team was willing to ensure a frequent presence on the ground.

- **Limited dissemination of results.** The project's political agenda received excellent media coverage and was widely disseminated. Other knowledge products produced by the project did not experience the same dissemination and could not reach decision makers. As an example, inputs for the construction of territorial land-use plans were submitted to municipal authorities without a proper appropriation strategy that increases the likelihood of their use by current or future governments. Similarly, the course materials developed for the diploma training course "Territory, Biodiversity and Development Challenges in the Pacific", taught in May 2018, was only in the editing stage at the time of this evaluation. And finally, the analysis of environmental compensation opportunities in collective territories was not made public at all.

Accounting and financial management

In the opinion of the external auditors, accounting and financial management was in line with applicable rules, standards and procedures. The project was audited in 2015, 2016, 2017 and 2018. The latest audit report published in March 2019 gives a clean, unqualified opinion and concludes that "the internal accounting and administrative control system within which the project is being implemented is adequate, and allowed to register, report and control operations in due form, in line with the rules, policies and procedures defined in the UNDP programming and finance manuals and those established by WWF" [7].

Budget execution was satisfactory, although initially low and until 2016 unbalanced throughout the year. As of 2016, the execution rate always exceeded 80%. However, in the first three years most of the budget was disbursed in the third quarter. The introduction of a quarterly monitoring system improved repartition of disbursements and aligned planning and disbursement.

Year	Budget	Disbursed	%
2014	118,955	13,332	11.2
2015	1,365,154	860,669	63.0
2016	1,817,434	1,575,522	86.7
2017	1,700,000	1,581,920	93.1
2018	1,658,852	1,463,198	88.2
2019	355,358	124,933	35.2

Table 1: Budget execution

The devaluation of the Colombian peso during the implementation period benefited the project (exchange rate used in design phase 1 USD = 1700 Colombian pesos; exchange rate as of June 30, 2019: 1 USD = 3,200 Colombian pesos).

The project provided few management funds for the executing agency. According to the PRODOC, the project management budget was USD 278,571 for 5 years of implementation (4.76% of the total budget). This

[7] Audit report on financial and administrative aspects, Unión temporal GAE & ASELAN, March 4, 2019

budget does not allow to cover management expenses, and therefore negatively affects transparency over these costs. Costs for office rent, equipment, public services, legal support or support from administrative staff not contracted by the project are either subsidized by the executing agency with own funds, or they are integrated into the expenses of results 1 & 2. While the evaluators are not affirming that the latter happened in this project, they believe a more realistic management budget could help to increase transparency on the real management costs emanating from the implementation of such a project.

Co-financing

The GEF co-financing policy requires implementing agencies, in collaboration with receiving countries and executing agencies, to identify, document, monitor and report on sources and type of co-financing. During the design phase the project secured a significant co-financing amount of USD 30'642'752. US$30'399'454.63 were subsequently confirmed in writing by legal representatives. At the time of this evaluation the status of co-financing reported is as follows:

Organization	Amount confirmed	Source	Certified period	Certified amount
CODECHOCO	1,454,706.00	PRODOC	2014-2016	136,146.45
	1,285,884.00	Letter of intent		
CORPOURABA	25,000.00	PRODOC	2015-2016	251,278.25
	251,278.25	Letter of intent		
Regional Commission of Competitiveness	720,588.00	PRODOC	2016	722,410.38
	722,410.38	Letter of intent		
Corporación Autónoma Regional del Valle de Cauca	995,294.00	PRODOC	2012-2015	1,231,783.00
	1,231,783.00	Letter of intent		
Office of the Governor of Antioquia	664,065.00	PRODOC	2014-2015	101,971.41
	125,000.00	Letter of intent		
IIAP	1,500,000.00	PRODOC		
	1,500,000.00	Letter of intent		
NNP	1,441,334.00	PRODOC	2015	93,077.62
	1,441,334.00	Letter of intent		
MME	1,041,765.00	PRODOC	2013-2014	610,689.66
	1,041,765.00	Letter of intent		
WWF	1,000,000.00	PRODOC	2014-2019	1,011,699.75
	1,000,000.00	Letter of intent		
USAID	19,000,000.00	PRODOC	2015-2019	16,649,767.53
	19,000,000.00	Letter of intent		
UNDP	2,800,000.00	PRODOC	2014-2017	3,054,184.00
	2,800,000.00	Letter of intent		
TOTAL PRODOC	**30,642,752.00**		**TOTAL**	**23,863,008.05**
TOTAL LETTERS OF INTENT	**30,399,454.63**			**24,300,008.70**

Co-financing not reported in the PRODOC	
ASOCASAN	19,413.76
OIA	85,207.24
COCOMACIA	332,379.66
Total	**437,000.66**

Table 2: Reported co-financing

Apart from being able to demonstrate that the initially identified co-financing was mobilized, it is of interest to understand how these resources were used and how they benefited the achievement of results. However, neither the PRODOC nor its management tools defined in more detail how the co-financing actually contributes to the achievement of project objectives. Therefore, there is no systematic evidence and the contribution of co-financing to the achievement of project results was not regularly monitored in the SC. Nonetheless, and as detailed above, the project managed to create synergies with other projects (see e.g. restoration work with USAID/Oro Legal, or with UNDP/SGP in productive initiatives) and thus managed with some co-financing alignment around specific objectives.

UNDP as implementing agency

UNDP successfully assumed its implementing agency role. UNDP participated in the project's steering structure, monitored implementation and provided technical, administrative and management support to the executing agency. In addition, UNDP got involved in the implementation of activities related to component 1.

The project benefited from UNDP's commitment and flexibility to change, its experience and close ties with the Colombian government and its convening power. The project benefited from the extensive experience of UNDP's sustainable development division in working with the Colombian government and implementing GEF projects. UNDP's direct access to the highest government, its macro vision, its active participation in the peace process and a large portfolio of complementary projects are considered important assets for the project. In addition, UNDP provided legitimacy and ensured a convening power that WWF, as an environmental NGO, did not have to the same amount. The project management unit repeatedly turned to UNDP when it became necessary to convene congressmen, invite to the Steering Committee or ensure high-level participation in fora. During implementation, UNDP showed commitment and readiness to accompany the executing agency. A fluid working relationship was developed over time. UNDP allowed adjustments in the implementation strategy which was a prerequisite for the implementation of an adaptive strategy. In addition, UNDP was willing to consider different modalities of execution.

UNDP had a limited role in implementation, except for the policy component. UNDP ensured rigorous monitoring of the annual work plan and budget implementation. Monitoring was mostly desk-based, with sporadic visits to the territory. Because of this monitoring modality, UNDP's visibility in the territory was limited (with the exception of the SGP). Early attempts to involve the UNDP Quibdó regional office failed and the involvement of other areas within UNDP (gender, poverty) was rather limited. One notable exception was UNDP's active involvement in the implementation of component 1. In the second quarter of 2017, UNDP decided to participate in the design and implementation of an advocacy strategy to push the mining-environment agenda in congress. Previously, WWF in coordination with the National Forum for Colombia assumed this task. The reallocation of funds from component 1 to a new component 4 and the necessary adjustments to assure a coordinated intervention of UNDP and WWF temporarily increased human resource costs, until respective roles were defined. Although the intention of involving UNDP was to strengthen advocacy and take the work from a technical level to a more political discussion, UNDP refrained from getting involved in activities that could be considered political lobbying.

The project did not access and learned from UNDP's in-house expertise and experience in topics such as poverty, entrepreneurship or gender. Although the sustainable development division assured close monitoring, the project did not benefit from the experience of other UNDP divisions and fully capitalize the comparative advantage of UNDP as implementing agency. Accessing this expertise could have strengthened

the project's implementation line productive initiatives (e.g. by getting an early warning to strengthen the market focus) or the insertion of a gender approach, which in this project was not a cross-cutting issue.

WWF as executing agency

WWF's profile, its organizational experience and way of work characterized the implementation and facilitated the achievement of the objectives. The project benefited from WWF's longstanding work experience in the Pacific and its ease of working with local actors. At the start of the execution, WWF performed a re-validation/contextualization of the project and proposed valuable adjustments in the design. In particular, the idea of working with local actors was strengthened. Negotiating an entering into agreements with community councils as active members of the project is considered a good practice, as already mentioned in the Mid-term Evaluation. Although the lengthy negotiation of such agreements delayed implementation and initially increased the administrative burden for WWF, it subsequently contributed to the strengthening of the administrative capacity of local partners, both community councils and local institutions.

WWF's way of working, combining technical capacity with soft skills, built trust with stakeholders. The project team's ability to provide high-quality technical assistance, combined with their ability to understand and adjust instruments and advisory to local processes and concerns, generated confidence in stakeholders and facilitated collaboration. A frequent presence of project coordinators in the regions, close contacts with the different entities and a capacity to listen characterized the work of the technical team. Several local stakeholders qualified during the interviews the model of intervention as exemplary and the evaluators were able to testify the close relationships of trust that were established. The confidence in technically sound work, well-articulated with communities was not limited to the local level. UTLs, for example, highlighted WWF's important role in providing technical proposals for the revision of the Mining Code that adequately reflected community concerns.

WWF proved to have an excellent political instinct and a great ability to articulate with other stakeholders. As an environmental NGO, WWF drew on a substantial institutional expertise in political advocacy which benefited the implementation of component 1. The collaboration between the project team and the rest of WWF staff was smooth, giving the project access to the broad experience of the organization. A strong political instinct allowed WWF to identify processes of strategic relevance, stakeholders with leverage and catalyst actions. This characteristic was very important for the successful implementation of the "sense of opportunity" strategy. The project coordinator took a leading role in the implementation of this strategy and the project more broadly. In doing so, he took advantage of his professional experience and networks, and demonstrated exceptional dedication. While the environmental profile of the executing agency facilitated articulation with the environmental sector, it may have limited its accessibility to and trust from the mining sector.

Continuous improvement in management processes. WWF continuously strengthened its project management and from 2017 onwards developed valuable management tools. Although WWF fulfilled its reporting obligations from the very beginning, monitoring tools and knowledge management processes did not live up to the needs of a project with multiple intervention lines and decentralized teams. The project hired a monitoring officer in the second half of 2016 and conducted an internal assessment of processes and instruments. As a result, it began a process of continuous improvement and professionalized several processes, including the project's repository, and project monitoring and management tools. For more details see chapter 3.4.3. below.

3.4. Results

In this chapter we will analyze the results of the project. After a general introduction, we discuss the relevance of what was proposed and accomplished, and the difficulty and efficiency with which the project achieved the main results.

The project managed to make a highly relevant contribution to Colombia's mining and environmental agenda and attained relevant results in the different work areas. Although there were significant changes in context and some design deficiencies, the project responded with an adaptive strategy which allowed to achieve and exceed the quantitative objectives determined in the original and revised results framework. The quality of the results achieved is very satisfactory overall, in particular the impact on regulatory processes, training and empowerment of various actors, the creation of new protected areas, the strengthening of the management of NNP and community organizations, and the development of productive alternatives. Regarding its efficiency, the project made good use of resources and increased the impact through alliances at all levels. The governance and tasks were clear, and the management processes experienced a significant improvement during implementation.

3.4.1. Relevance

After having analyzed the overall design and formulation of the project in Chapter 3.1, we will establish below the relevance of each intervention line and its alignment with the needs and objectives of the country.

➢ Political, legal and planning framework of mining

The proposal to influence the mining policy framework and promote intersectoral synergies (mining - environment) is highly relevant for the country but did not fully materialize during project implementation. The country's mining-energy position and the governance challenges of mining and biodiversity are key issues for Colombia, as reflected in the 2014-2018 and 2018-2022 National Development Plans. Additionally, the context of high gold prices, the high levels of mining informality and the use of mining resources for armed groups financing, put pressure on key ecosystems and further complicated mining-biodiversity relations. The project made an innovative commitment by promoting intersectoral synergies for better territorial management (greater coordination between actors and information management). This is consistent with the Inter-Ministerial Environmental Agenda in force at the time of formulation. This agenda promotes coherence and articulation in public policy decision making and includes intervention lines that were incorporated into the project, such as ecosystem services, prevention and control of environmental degradation, and competitive and sustainable production processes. The failure to achieve ownership of the project by stakeholders in the mining sector and significant synergies amongst the environmental and mining governmental areas is further addressed in the section on effectiveness.

The adaptive project strategy allowed redefining relevant instruments that would contribute to the achievement of the project objectives. Although the instruments prioritized in the PRODOC (Mining Code, Environmental License and guidelines for Mining Reserve Areas) responded to recognized gaps in the country and to the regulatory priorities of the moment, the political changes during the project made it unfeasible for the project to fulfil these objectives. The project managed to adapt in a timely and strategic manner to diverse political windows of opportunity that occurred throughout the implementation and adjusted the instruments to be influenced accordingly. The project had a methodological discipline to prioritize key instruments through

a structured process of mapping mining threats to biodiversity, identifying actors and legislative agendas; this was complemented with access to strong networks and the solid political intuition of the Project Coordinator.

The impact on mining policy through Congress was relevant but insufficient to promote the intersectoral synergies necessary to improve the governance of mining and natural resources. The lack of active participation and the absence of appropriate representation of mining sector entities (MME, ANM) in the design, governance and project activities compromised its relevance to the sector. The differences in strategic priorities of the project and the MME were evidenced, for example, in:

- Interest of the project to influence a reform to the Mining Code while the MME did not intend to promote said reform.
- Interest of the project to articulate information of the Mining Cadaster in a platform that integrated mining and environmental information, while the country and the ANM were late with the commitment to update the cadaster and only made the update possible in 2018 after confirming technical and financial cooperation from Canada.
- Existence of an inter-ministerial agenda between MADS and MME, which was not used as a guideline for the prioritization of project actions.

Additionally, the project work with the Congress was interpreted by some Government actors as a lack of alignment of the project with the Executive Branch, which discouraged active participation in the project decision-making spaces.

➢ Territorial planning

The project produced high-quality information and made it available to municipalities with very low capacity. The lack of information and the weak capacity of the municipalities of the Biogeographic Chocó region to access it is a great challenge for the development of robust land use planning instruments. In addition, ethnic considerations in existing territorial planning instruments were marginal, in a region where most of the territory is collectively owned by ethnic groups. Also, relevant mining information was non-existent in territorial planning documents, in a region where mining is the activity that most affects social and ecological conditions. These conditions prove the relevance of these results for the supported municipalities.

The construction of the instruments of environmental planning for collective territories responded to a need expressed by community organizations. The fact that the construction of these documents was participatory and inclusive, allowed to strengthen the knowledge of the communities vis-à-vis their own territories and their ability to hold territorial planning dialogues at different levels. The process of building these instruments also strengthened the relationship that the communities had with the regional, municipal and environmental authorities, who lead land use planning. Finally, this process strengthened the control of local (community) authorities on the inputs considered in territorial planning, the acknowledgment of zoning of collective territories, and the definition of priority conservation areas in 8 territorial land-use plans (POT).

➢ Protected Areas

The four national parks that were involved in the project lacked up-to-date data on the state of their ecosystems and the degradation caused by mining and had low capacity to respond to illegal events in their jurisdiction. The work with these four protected areas gave rise to strengthening the relations of park authorities with local communities and governments, allowing the improvement of NNP governance over

some jurisdictions. Also, the project generated biological knowledge about the state of the parks, where research had not been performed for years. Finally, the project generated capacity and empowerment in park managers to deal with illegal mining, in collaboration with armed forces and local authorities.

The relevance of strengthening the sub-national and private systems of protected areas has become evident, to the extent that Colombia is about to fulfil the goal on protected terrestrial and marine areas. Although the declaration of the new protected areas, aided by the project, is relevant for the country. The fact that these new areas do not have a budget to bring their management plans into action, or do not even have management plans, makes the result less relevant.

➢ Productive initiatives

The integration of an element of sustainable use of biodiversity was relevant but insufficient in the original design. The promotion of the sustainable use of natural resources as a conservation strategy responds to the objectives of the Convention on Biodiversity, the Aichi Goals and the National Sustainable Biocommerce Program and the Green Business Plan. Therefore, it was appropriate to insert an element of sustainable use of biodiversity in the project. The PRODOC foresaw the use of sustainable production systems based on non-timber forest products (NTFP) as a strategy for the conservation and use of biodiversity products and for a reduced dependence on mining activities. Originally it was planned to work only with two products (jagua and naidí) and with a limited budget. The approach of focusing on two chains only and the low budget would not have allowed to benefit from economies of scale in the support provided and would have left an overly circumstantial argument about the potential of bioenterprises as an alternative to mining.

During the execution, the project was able to strengthen the intervention in productive alternatives and generated a relevant experience that evidenced the challenges and opportunities of bioenterprises in Chocó. Although bioenterprises are still a weak alternative to what mining can offer in terms of occupation and income, it was of great importance to invest in the promotion of pilot value chains that inspire and demonstrate the potential of bioenterprises as alternatives for development and for the conservation of natural resources.

➢ Capacity building

Capacity building was not considered as a transversal strategy in the design of the project but was enhanced during execution. In its design, the project did not define a cross-cutting capacity building strategy but referred to the importance of institutional strengthening and defined two products related to the topic (products 1.2.2 and 2.4.3). Both products left the executing agency room to develop and implement formal and non-formal training activities. As we will see in the subchapter Effectiveness, WWF was able to take advantage of this room and implemented an empowerment strategy that fostered capacity building not only in formal and non-formal training programs, but also as a transversal axis in its interaction with project partners.

➢ Restoration

The design of the project sought to contribute to the National Restoration Plan, validating methodologies and protocols for the Biogeographic Chocó. Given the particular characteristics of the region in terms of biodiversity, demography and ethnicity, this effort would allow adapting existing instruments and generating recommendations for more successful restoration processes. The intentions to join forces with USAID's

BIOREDD project and to improve the Restoration Protocol of the IIAP - instead of creating a new one - were sound design decisions, consistent with the intentionality of GEF resources. The most recent estimation of areas degraded in Colombia by alluvial mining add up to 79,000 ha[8], thus the intention of testing restoration protocols in areas degraded by mining was more than relevant. Having said this, the delay in the implementation of this phase prevented the restoration exercise from effectively being a pilot to adjust planning instruments, that the country would benefit from the possibility of systematizing a multi-year response to a restoration process of areas degraded by extraction of minerals, and that the knowledge collected through this experience had the expected relevance. This point is addressed in detail in the effectiveness section.

3.4.2. Effectiveness

The project reached and, in 12 out of 15 indicators, exceeded the quantitative goals established in the results framework (original and revised goals). Next, we present the main indicators for each intervention line and we provide a discussion and qualitative assessment of the main results obtained and the factors that facilitated or hindered the way they turned out. We emphasize on the effectiveness of the strategies adopted to achieve the proposed results.

➢ Political, legal and planning framework of mining

Indicator	Target[9]	Actual outcome[10]	Rating
IR 1.1.1. Number of national-level legal, policy, and planning instruments incorporate environmental and social criteria to prevent, mitigate, and offset the direct impact of mining activity on BD and ecosystem services	APPROVED JULY 2017: At least 5 legal o regulatory instruments at the national level (e.g., National Development Plan, Payment for Ecosystem Services, Minamata Convention and Law 70) include recommendations on how to prevent, mitigate and offset the impact of mining activities on biodiversity and/or considerations for the conservation of BD and ecosystem services.	Fourteen (14) legislative or regulatory instruments of national level incorporate environmental and social criteria to prevent, mitigate, compensate and restore the impact of mining on BD and ecosystem services[11].	HS

[8] UNODC, Gobierno de Colombia. 2018. Explotación de oro de aluvión; Evidencias a partir de la percepción remota. 146 pp. Available in: http://www.biesimci.org/Documentos/Documentos_files/Evoa_2016.pdf (accessed, 08/09/2019)

[9] This section refers to the final version of indicators and targets. For a complete report on the changes to indicators and targets during implementation, see Annex 5.8.

[10] Color codes: Green: complete, the indicator shows a successful achievement; Yellow: the indicator shows an expected completion at the end of the project; Red: the indicator shows few achievements; It is unlikely to be completed at project closure.

[11] Mining Code bill; Minamata Law; PND 2018-2022; Paramo Law bill 056/18 Environmental Compensations; Bill 053/18 Mine Closure; draft Decree on NTFP; Sentence 445/2016; Decree 1007/18 on payments for environmental services; CONPES 3886/17 payments for environmental services; proposal on Law 70 regulation; Tax Law reform 1819/16; PND 2014-2018; Compensations in collective territories.

COMMENTS: *The project tripled the goals established in terms of the number of instruments to which it made contributions and / or accompaniment.* *The level in which the project contributed and had impact on the different instruments is highly variable; nevertheless, the evaluators verified that the stakeholders received high quality technical inputs from the project.* *The advocacy work was maintained throughout the project, evidencing the executing entity's commitment to the objectives of the project beyond the targets.*			
IR 1.1.2. No. of mining planning instrument that incorporate the results of the Strategic Environmental Assessment and/or the management and conservation of biodiversity and ecosystem services in the Biogeographic Choco.	APPROVED JULY 2017: At least 4 legislative, regulatory and/or planning instruments, regional and/or local (e.g., Departmental Development Plan (Chocó), CODECHOCO Annual Operational Investment Plan, Pacific Vision and Regional Environmental Management Plan (PGAR)), including the Results of the Strategic Environmental Assessment and/or recommendations and guidelines to prevent, mitigate and offset the impact of mining activities on biodiversity and/or considerations for biodiversity conservation and ecosystem services.	Inputs provided for eight (8) planning or regulatory instruments of regional nature, ensuring articulation, where possible, between the different levels (national, regional, municipal, community).	HS
COMMENTS: *The project doubled the goal in terms of number of instruments.* *There was a high level of involvement in the Atrato River Constitutional Court Sentence and in giving visibility to the Pacific Vision process through the fora organized by Proyectos Semana.* *For the other instruments accounted for in the final outcome, the evaluation could not determine the level of contribution to final instruments; however, the stakeholders recognize the high quality of the technical inputs received from the project.*			
APPROVED JULY 2017: No. of environmental sector entities at the regional level with an information system that improves the decision-making process to reduce the impacts of mining on biodiversity	APPROVED JULY 2017: The IIAP has an information system that allows monitoring of the impact of mining on biodiversity. (Baseline: IIAP has an information system that does not allow monitoring of the impact of mining on biodiversity)	Three entities, 1 from the environmental sector, IIAP, and two community organizations, ASOCASAN and COCOMACIA, were strengthened with information systems that improve and facilitate the decision-making process in order to reduce the impacts of mining on	MS

		biodiversity.	

COMMENTS:

The strengthening of the geographic information systems of IIAP and two community councils should allow for better information to address mining and biodiversity issues.

The commitment to strengthen systems in community organizations and supply them with equipment is innovative.

Although the adjustments to this indicator respond to situations that were beyond the control of the project, these affected the original intention of integrating the information systems of the environmental and mining sector at the national level for better decision making.

The project exceeded the quantitative goals in terms of support to legislative instruments, both nationally and regionally with mixed contribution levels in the different instruments. Although the project's advocacy strategy makes it difficult to correlate the actions carried out with the approval or adoption of the instruments, the evaluators corroborated that the project provided high quality technical inputs and generated favorable conditions for political dialogue that affected the content adopted or proposed in some instruments (e.g. Minamata Convention Law, National Development Plans, Paramos Law, Atrato River Sentence). In other legislative instruments, the project effectively contributed quality technical information, but with less tangible impact on the final results (e.g. Departmental POT of Chocó, modern POT of Quibdó and Buenaventura).

The project successfully developed and implemented an advocacy strategy through a win-win collaboration model with the Congresspersons UTL. The project was highly successful in building trust and common work plans with the UTL of several Congresspersons with different political affiliations. The UTL members agree that the project gave them valuable and helpful technical information to understand the country's mining-environmental problems, the existing legal gaps and even understand how different types of mining operations work. They also emphasized that the project brought them closer to the territories, connecting them with local actors and information. The project became a close advisor to different legislative initiatives by directly working with them. The collaboration with the National Forum for Colombia, as well as the profile of the Project Coordinator and its network and connections in the sector, were fundamental for the success of this strategy.

The articulation with local communities allowed to bring regional visions and needs to the analysis of national political instruments. The project was successful in encouraging the participation of regional organizations in national political processes and instruments. The project took advantage of the mandate of Minister Luis Gilberto Murillo and his connection and interest in the Pacific to amplify local voices nationwide. For reasons beyond the scope of the project, the processes of Pacific Vision and Regulation of Law 70 lost traction.

The project managed to put mining and biodiversity issues in the Pacific on the public and political agenda at various times during its implementation. The project was successfully enrolled and actively participated in a great diversity of processes, initiatives, working groups, etc. In these, the project provided high quality technical inputs and promoted the importance of harmonizing mining and conservation interests in the country. The events organized with Proyectos Semana, among other outreach efforts, contributed positively to this objective.

The project generated important information to understand the problems associated with the indiscriminate use of mercury in the Pacific region. While this was not originally foreseen in the project, research on mercury levels in people, sediments, fish and air not only supported the efforts of the project to promote the ratification of the Minamata Convention, but can be considered as an important contribution to address issues of public health and informal and illegal mining.

The strengthening of the geographic information systems of IIAP and two community councils was important but insufficient to reduce the impacts of mining on biodiversity. The changes approved in Outcome Indicator 1.2.1 were important to promote greater empowerment of ASOCASAN and COCOMACIA for land use planning and surveillance and will allow IIAP to provide better information on mining impacts to the Environmental Information System of Colombia. However, the project's intersectoral work commitment was heavily reflected in this indicator, which was the one that materialized intersectoral collaboration in a stronger way. The fact that few indicators reflected intersectoral work is a design weakness that could have been corrected while maintaining the original intention of working with both the mining and environmental sectors.

➢ Territorial planning

Indicator	Target	Actual outcome	Rating
IR 2.1.1. APPROVED MARCH 2018: Number of documents to mainstream biodiversity into territorial planning that contribute to the new "modern POTs"	APPROVED MARCH 2018: 8 documents for 8 modern POTs (Baseline 0)	Technical advice for the revision and adjustment of 8 POTs, so that these include priority conservation areas and areas to mitigate the direct and indirect impacts of mining on biodiversity and ecosystem services.	S

COMMENTS:

The project delivered documents with solid information for the adjustment of land use planning instruments in eight municipalities (Medio Atrato, Vigía del Fuerte, Tadó, Bojayá, Murindó, Frontino, Quibdó and Buenaventura).

The documents produced by the project included a diagnosis of the status of the planning instrument, relevant ethnic aspects and an analysis of mining activity, among others.

The actual incorporation of the information delivered in the respective territorial planning instruments will depend on the follow-up each administration gives to the information received. The condition of effective incorporation originally foreseen in the design phase for this indicator could not be achieved, and the indicator was downscaled in March 2018.

In addition, the project built environmental management instruments for the collective territories of two major black community councils. Elements of these instruments were included in the planning documents of the environmental authorities of the region.

Based on this experience and working with an indigenous organization, the project built the document "Considerations to include elements of the ethnic differential approach to the rural component in the territorial planning in the Colombian Pacific".

The adjustments of results that were approved throughout the execution make it difficult to evaluate the effectiveness of the territorial management component. The evaluators found that the documentation handed in to the eight municipalities contains valuable and necessary information for the territorial planning process. However, the lack of control of the project on the use and practical application of this information does not allow to assess whether the strategy was or will be effective. As far as the initial intention of incorporating conservation elements into planning instruments is concerned, the project should have considered in the design that the administrative and political times do not coincide with those of execution of the project, and incorporate strong advocacy strategies. The project was able to verify the use of the information delivered in the cases of Tadó, Bojayá and Medio Atrato, municipalities that are currently in their planning progress (PIR 2019), but it is not clear for the evaluation what is the scope and the concrete implications of this. Finally, it is worth mentioning that in the interviews carried out, CORPOURABA said that thanks to the project and specifically because of the quality of work and the insistence of the team, fundamental territorial land-planning processes for indigenous peoples had been reactivated.

The support for the construction of the Territorial and Environmental Use Plan (POTA) of COCOMACIA and the Plan for the use, management and exploitation of environmental goods and services **(PUMA) of ASOCASAN was successful** and has resulted in a transfer of knowledge from ASOCASAN to the administration of the municipality of Istmina, and the inclusion of community planning elements in the investment plans of CODECHOCO and CORPOURABA. Consistent with its strategy of empowerment and articulation with local communities, the project strengthened natural resource management capacities in ASOCASAN and COCOMACIA, supporting the development of their own territorial management strategies.

The project was very successful in developing the municipal planning instruments and those of the Community and Indigenous Councils (PUMA and POTA) in an articulated way. The project evidenced that an important part of the areas of the prioritized municipalities are established as Collective Territories of Black Communities (80%) and Indigenous Reserves (24%). Based on this, the project integrated elements of the diagnoses and strategies of the community instruments into the proposals for territorial planning of the municipalities. This strategy integrates community visions into planning and promotes potential synergies in their implementation, as it promotes greater participation and incidence of social organizations in municipal

processes. The ethnic focus in the land-use plans is an important contribution of the project that was systematized in the document "Considerations to include elements of the ethnic differential approach to the rural component in territorial planning in the Colombian Pacific". The document, which is pending publication, was prepared by COCOMACIA, ASOCASAN and OIA and constitutes an opportunity for various actors to incorporate the ethnic differential approach in projects and territorial planning processes.

Municipality	Area (ha)	Indigenous reserves		Community councils of black community		Total collective territories	
		Area (ha)	% municipality area	Area (ha)	% municipality area	Área total (ha)	% municipality area
Murindó	126,665	59,765	47.2%	62,240	49.1%	122,005	96.3%
Vigía del Fuerte	165,802	33,344	20.1%	116,754	70.4%	150,098	90.5%
Frontino	134,949	43,734	32.4%	4,485	3.3%	48,219	35.7%
Medio Atrato	181,395	46,387	25.6%	134,994	74.4%	181,381	100.0%
Bojayá	360,752	207,551	57.5%	145,177	40.2%	352,728	97.8%
Tadó	75,667	7,282	9.6%	63,080	83.4%	70,362	93.0%
Quibdó	350,168	86,745	24.8%	234,075	66.8%	320,820	91.6%
Buenaventura	626,766	12,307	2.0%	375,463	59.9%	387,770	61.9%
Total	2,022,164	497,115	24.6%	1,136,268	56.2%	1,633,383	80.8%

Tabla 3: Municipalities and collective territories with inputs for the adjustment of POT

The project fostered articulation between actors (NNP, Community Councils, Municipalities, CAR) around planning, promoting territorial land-use planning approaches and strengthening relations among them. In a context in which agencies such as NNP and regional environmental authorities show institutional weaknesses to produce results on all fronts they must attend, the project effectively became a catalyst for processes and articulation. Both institutions recognized the technical and relational value that the project brought them, allowing them to improve interactions with the Community Councils, as well as to better understand their visions. The Community Councils, for their part, recognize the close support of WWF in their land management plans and the importance of having connected them with other actors.

➢ Protected Areas

Indicator	Target	Actual outcome	Rating
IR 2.3.1. Number of new multiple use protected areas created	2 (Baseline 0) / 70,000 ha	4 new protected areas with a total extension of 547,058 ha.	HS

COMMENTS: *The project supported three initiatives already underway to declare regional protected areas. The project was a key contributor for the declaration processes to be successfully completed. In addition, it supported a route of declaration of an area of national order that ended in a designation as National District of Integrated Management.* *Only one of these areas, the Regional District of Integrated Management of the High Atrato, has a management plan today. None of the areas have enough budget for their management.*			
IR 2.4.1. Four (4) protected areas with better control and surveillance in the control of access/resource use measured by METT	Las Orquídeas NP: 3 – Protection systems are largely or totally effective in controlling the use of Access/resource. Tatamá NP: 3 - Protection systems are largely or fully effective in controlling the use of access/resource Farallones de Cali NP: 3 - Protection systems are largely or fully effective in controlling the use of access/resource Munchique NP: 3 - Protection systems are largely or fully effective in controlling the use of access/resource	334,671 ha, corresponding to four (4) National Natural Parks: Farallones de Cali (47%), Tatamá (53%), Munchique (20%), La Orquideas (25%)	HS
COMMENTS: *The project established agreements with different entities that supported the strengthening of the management of four national parks. The actions included diagnoses of impacts of mining, training in mining inspection of protected areas, and monitoring of conservation targets.* *During the last year of the project, it was sought that other actors continued supporting the work or generated strategies that increase the sustainability of the actions.*			
IR 2.5.1. Avoided emissions (tCO2-e) due to tropical rainforest deforestation at the end of the project	610,649 tCO2-e (Baseline 0)	1,442,519 tCO2e	S

COMMENTS: *After carrying out two baseline studies, the SC chose not to adopt a REDD strategy to achieve this Indicator.* *The project took care of a zoning agreement in a community forest within the territory of COCOMACIA as an emission prevention strategy. This strategy is subject to change according to community policies, it does not form part of the national carbon accounting, it does not have the financial support of a market mechanism, nor is it articulated to the national system of protected areas, so the evaluation considers that its additionality to the emission prevention scenario for the country is neither significant nor verifiable. The reported figure is due to an analysis of the coverage change between 2014 and 2019.* *In addition to this action, the project approved the diagnosis and publication of an Investment Portfolio for the Implementation of Measures and Actions to Reduce Deforestation and Forest Degradation in the Pacific Region.*			
IR 2.5.2 Avoided deforestation (ha) at the end of the project	2,034.80 ha (Baseline 0)	13,433 ha	MS
COMMENTS: *The project accounted the zoning agreement on a community forest within the territory of COCOMACIA, as a strategy of avoided deforestation. The delimitation of the community forest zone did not arise from an analysis of trends in deforestation or as a pressure containment strategy, so it is not possible to determine its actual effect on avoided deforestation.*			

The project supported the declaration of four protected areas. It supported three declaratory processes of regional areas that were already underway and intervened in a diagnostic and declaratory route of a national order area, being a key stakeholder in that the process ended successfully in the creation of a National Integrated Management District. Three of the areas were declared under multiple use figures (Integrated Management District, two regional and one national) and one of them with a restrictive use figure (Protective Forest Reserve).

Only one of these areas, the Regional District of Integrated Management of Alto Atrato, has a management plan today. The declaration processes did not occur simultaneously to the formulation of management plans and their respective action plans, which compromises the efficiency of the protected areas as a conservation strategy. While none of the areas has enough budget for administration, which is a recurring condition in Colombia, the effectiveness that these areas have is mainly supported by the limitations of use these areas impose when obtaining use permits on the territories. The authorities that manage these areas are unlikely to carry out robust monitoring, control and surveillance activities.

The support to four national parks resulted in an improvement in their management effectiveness. The project established agreements with different entities that supported the strengthening of the management of four national parks. The actions included biodiversity characterizations, diagnoses on impacts of mining, updating of surveillance and control protocols, and strengthening of the control over mining in the protected areas. It is notable that it was possible to control the mining activity in Farallones de Cali NP, and progress was made towards its control in Munchique NP. Although the Tatamá NP did not have active mining within the park, it is a threat to the area and work was done to reduce the risk of having miners entering the park. Las Orquídeas NP did not see a significant benefit from the project. During the last year of the project, strategies were sought that would increase the sustainability of the actions, such as strengthening the control on visitors' access and ecotourism management in Farallones de Cali NP; sustainability elements will be discussed in section 3.7.

The support that the protected areas received from the project resulted in greater empowerment of the heads of parks. As an intangible consequence of the project, some of the heads of parks strengthened their position to approach decision makers, governments and armed forces. The use of the political capital of WWF and the project team in the service of protected areas enhanced the contact network for the park managers and brought them closer to allies in the protection of these conservation areas.

The original project design was adjusted and the development of a REDD project was no longer supported. Applying the adaptive management of the project, and in view of the decision not to move forward with a REDD proposal, the project adopted the zoning agreement of a community forest within the territory of COCOMACIA as an emission prevention strategy. WWF estimates that this area, of 13,433 hectares, prevented 1,442,519 tCO2e emissions between 2014 and 2019. This area is likely to be declared as territories and areas conserved by indigenous peoples and local communities (TICCA), it was included in the inputs for territorial planning of the municipality of Vigía del Fuerte and it is within a community MRV strategy. The fact that the area did not result from an assessment of containment of deforestation threats makes the additionality and effectiveness of this action unclear.

In addition, the project carried out the diagnosis and publication of the *Investment Portfolio for the Implementation of Measures and Actions to Reduce Deforestation and Forest Degradation in the Pacific Region*[12]. The document was developed in coordination with ONUREDD and within the framework of the National REDD Strategy. Its construction was done with Afro, indigenous and local and national institutions, and proposes five thematic intervention dimensions (Low deforestation and degradation development, Biodiverse Territory, Government of the territory, Participation, knowledge management and training, and Monitoring, control and surveillance) with concrete actions that contribute to the reduction of deforestation. For each of the intervention dimensions, the document proposes the scope of the intervention, presents existing regional programs and local initiatives, and proposes enabling conditions that in an articulated manner could address the main causes of deforestation and capitalize on development opportunities.

➢ Productive initiatives

Indicator	Target	Actual outcome	Rating
IR 2.5.3. Number of initiatives for the sustainable use of BD in phase of commercialization	PRODOC: Two Non-timber forest products (2) NTFP: Naidí - açai palm (*Euterpe oleracea*) and jagua (*Genipa americana*) APPROVED DECEMBER 2015: Products do not have to be specifically naidí and jagua, they can be any NTFP.	The project supported 15 productive initiatives in sustainable agricultural systems, exploitation of NTFP and ecotourism, 13 of which got access to or expanded their market (8 national market, 5 local market).	HS

[12] Available in: https://www.unredd.net/documents/un-redd-partner-countries-181/latin-america-the-caribbean-334/colombia-706/16784-portafolio-pacifico-acciones-e-inversiones-para-la-reduccion-de-la-deforestacion-y-acciones-e-inversiones-para-la-degradacion-de-los-bosques-en-la-region-del-pacifico.html

COMMENTS: *The project managed to multiply its support to productive initiatives thanks to the alliance with SGP.* *13 bioenterprises were linked to markets (+ 550%).* *The stability and profoundness of relationships with buyers varies amongst bioenterprises. They all need further consolidation. Three ventures have already secured continuous support thanks to contacts developed by the project.* *The project contributed to an improvement in income through an increase in economic activity and the creation of new jobs.*			
IR 2.5.4. Change in the average annual income of members of the local community (including men and women) from the sale of açai (*Euterpe oleracea*) and jagua (*Genipa americana*)	APPROVED JULY 2017: Revenue increase target by end-of-project initiatives: 10% - Goal in increased income from men at the end of the project: 7% - Goal in increased income from women at the end of the project: 7%	The project reports an aggregated revenue increase of 184% between 2016 and 2018 (95% for women and 309% for men). The project contributed to the generation of 49 new jobs (part-time, full-time and indirect employment)	HS
COMMENTS: *This is a remarkable achievement, as in the context of Chocó formal employment is scarce.*			

Thanks to a successful alliance with SGP, the project supported 15 productive initiatives in different stages of development. The broadening of the scope of work in productive initiatives was possible thanks to an alliance with the SGP, implemented by UNDP with GEF funds. Instead of supporting only two value chains, as initially planned, the project and the SGP made an open call to select 15 productive initiatives related to the sustainable use of biodiversity. These 15 bioenterprises were supported with technical and financial assistance during the 2016-2018 period. The alliance with SGP was a success in several aspects:

- The alliance allowed to quintuple the funds to support productive initiatives.
- The intervention took advantage of the complementary profiles of SGP and WWF. While SGP had experience in managing competitive grants, WWF had technical capabilities to accompany the implementation of the financial resources.
- To avoid a complicated integration of two operational schemes, a pragmatic solution was chosen: each actor executed the resources under its modality, but in close coordination with the other. This scheme worked without formal agreements, thanks to an institutional and personal commitment of both institutions to achieve this articulation.

A fruitful collaboration with BioInnova. The strategy of providing technical assistance to bioenterprises through BioInnova ensured proximity to the enterprises and contributed to the strengthening of an important stakeholder in the emerging bio-entrepreneurship ecosystem in Chocó. BioInnova strengthened its ability to manage funds and provide technical assistance, developed its understanding of markets and, with WWF support, expanded its network of contacts and was able to mobilize new resources (e.g. Partnership for Forests, P4F).

The project understood that, for a successful production process, the enterprises needed comprehensive support. The project implemented a comprehensive strengthening approach and worked not only in the production process (acquisition, transformation and sale of the product/service) but also supported the bioenterprises in administrative, legal, accounting, financial and logistic issues. With a group of 15 enterprises it was possible to implement joint trainings such as the Diploma in Microenterprise Strengthening taught by the Technological University of Chocó (UTCH) or thematic workshops (e.g. with Invima, in best management practices). The shared learning experience and the creation of a group of bio-entrepreneurs was a valuable contribution to the incubation of a bio-entrepreneurship ecosystem. In Bahía Solano, for example, the four tourism services ventures supported by the project began to promote each other's services.

The project was able to complement the work in value chains with interventions in support of an enabling environment at regional and national levels. In particular, the project sought to eliminate regulatory barriers that affected the use of biodiversity products. At the national level, the project promoted the Technical Group on NTFP, which drafted a modification of the Unified Environmental Regulatory Decree, that still waits for its adoption (link with component 1). At the regional level, the project supported the elaboration of the resolution for the issuance of exploitation permits for NTFP and three NTPF management plans. While the project managed to boost these processes, its impact on speeding up the granting of exploitation permits by the CARs was more limited. These processes are still slow and continue to be an obstacle for the commercialization of NTFPs (Art & Jewelry for example ist still waiting for the permission to use the damagua tree bark).

A greater involvement of buyers in the accompaniment of bioenterprises would have been useful to develop the value chains with a market perspective. Including the market perspective in the selection of the enterprises, in the preparation and approval of business and investment plans or in the business training modules ensures that the development of the enterprise is done according to the market needs. Although the market potential was a criterion for the selection of specific enterprises and there were a few market-related activities, they only started in 2016 (e.g. visit to BioExpo in Barranquilla in coordination with the MADS Green Business initiative), and the intervention strategy did not include market actors in the accompaniment of bioenterprises. Instead of considering clients only as buyers of products and services, their more active involvement in advice and training would have strengthened the market perspective. Entrepreneurs expressed that they would have liked to have greater contact with potential buyers (collaboration with MinkaDev started only in May 2018) and for example have a market access module in the diploma on micro-enterprise strengthening.

➢ Capacity building

Indicator	Target	Actual outcome	Rating
IR 2.4.2. Change in the capacity to articulate management and monitoring to generate, use and share the geographical, socio-economic and bio-physical information necessary for land use planning with the UNDP Skills Development Scorecard (200	Number of people trained: 200 "Total trained people: 200 Goal: 20% increase in current capacity Local level - Espavé (a=2,4; b=1,6; c=0,9; d=1,2; e=1,2) - ASOCASAN (a=2,2; b=2,1; c=1,65; d=1,2; e=1,6)	4,919 people from 154 entities trained (43% women) 118 non-formal training events. Aggregated capacity improvement: 46% (8 of	HS

trained persons: Regional Autonomous Corporation officials, coordinators of protected areas at the national level, Municipal authorities, supervisory bodies and public prosecutors and representatives of community organizations) a. Engagement capacities b. Capacities to generate, manage and use information and knowledge c. Capacities for the design of strategies, policies and regulations d. Management and implementation capacities e. Monitoring and evaluation capacities	- COCOMACIA (a=1,6; b=1,0; c=0,9; d=1,2; e=1,6) Nivel regional: - IIAP (a=2,4; b=1,8; c=2,1; d=1,6; e=2,0) - CODECHOCO (a=2,0; b=2,6; c=1,2; d=1,6; e=2,4) - Munchique NP (a=2,8; b=1,0; c=0,9; d=0,8; e=1,2) - Farallones NP (a=3,2; b=1,0; c=1,2; d=0,8; e=2,0) - Las Orquídeas NP (a=2,4; b=1,6; c=1,8; d=1,6; e=2,4) Nivel nacional: - ANLA (a=2,0; b=1,2; c=1,5; d=0,8; e=0,8) - ANM (a=1,6; b=2,0; c=1,8; d=0,8; e=1,6) - MME (a=2,4; b=2,4; c=2,1; d=2,4; e=2,4)- MADS (a=3,0; b=1,8; c=0,9; d=1,2; e=2,0)"	the 13 organizations reported in 2019)	
COMMENTS: *Empowerment strategy fostered capacity building.* *Diploma training courses and numerous events managed to sensitize institutions and people at all levels about the mining-environmental problem.* *It is difficult to establish a direct causality between training events and institutional strengthening, as measured with the UNDP capacity assessment score card.*			

The project implemented an empowerment strategy that contributed to capacity building. Instead of simply training and fulfilling the proposed indicators, the project adopted a more comprehensive intervention strategy that sought to build capacity in organizations by means of delegating responsibilities and empowerment.

The project helped build capacities in mining-environmental issues at different levels of the government and in civil society. The organization of a total of 118 non-formal training events (fora and thematic discussions), the preparation of technical inputs to feed into debates (e.g. "The Minamata Convention - this is how Colombia acts against mercury"[13]) and the organization of formal training in alliance with academic institutions, not only positioned mining-environmental issues on the public agenda, it also endowed the actors with technical arguments and new perspectives (linking local reality to the national debate). WWF demonstrated good political instinct and ability to align with other actors for the organization and operation of non-formal training activities.

It is difficult to measure the contribution of training activities to institutional strengthening. The UNDP capacity scorecard was the tool to measure capacity building for the 13 selected entities. According to this tool, COCOMACIA, Tatamá NP and ANLA were the entities that were strengthened the most. The three

[13] http://www.wwf.org.co/?308752/Minamata-Colombia-frente-al-mercurio

capacities (out of a total of 6) that were strengthened the most were involvement capacity (A), capacity to generate, manage and use information and knowledge (B) and monitoring and evaluation capacity (E).

Organization[14]	Aggregated improved capacity (increase in % between baseline and June 2019)
COCOMACIA	75%
Tatamá NP	74%
ANLA	72%
Farallones de Cali NP	64%
ANM	56%
Munchique NP	55%
ASOCASAN	34%
Las Orquídeas NP	30%
MADS	26%
WWF	26%

Table 4: Improved capacity, as per scorecard

The results show the difficulty of capturing and quantitatively attributing institutional strengthening to specific formal and non-formal training activities. Without questioning the contribution of the project to the strengthening of capacities of partner entities, the numbers reported do not adequately reflect the project activity. For example, it is noteworthy that ANLA is among the most strengthened, however, the project never established a strong link with this entity. COCOMACIA and ASOCASAN, who are both institutions that benefited from significant institutional support, report considerably different results.

The formal training activities responded to the needs of the project but were not designed with a perspective of integration to the existing academic offer. The project implemented two formal trainings. Between 2016 and 2017, the diploma in micro-business was organized in partnership with the Technical University of Chocó (UTCH) and BioInnova, involving 45 people, of which 30 were representatives of the projects supported by the project. Between August 2017 and May 2018, two parallel versions of the diploma "Territory, Biodiversity and Development Challenges in the Pacific" were carried out in Bogotá (for national and UTL institutions) and Quibdó (institutions and communities in the region) with the Institute for Intercultural Studies of the Javeriana University. In both formal trainings, courses were tailored to the needs of the project. This allowed "to develop a training program that generates conceptual and methodological tools and bases on key issues for project actors, including both the institutions and the participating communities and grassroots organizations."[15] The disadvantage of such an approach is that it is hardly integrable to the existing academic offer. In fact, there are no replication plans for either of the two diplomas (see chapter on Sustainability).

[14] MNE, IIAP and CODECHOCO have not reported data from 2019.

[15] Document "Análisis de la oferta de formación - junio 2015".

The diploma "Territory, Biodiversity and Development Challenges in the Pacific" was a broad training in socio-environmental, political and economic issues that benefited from the complementary profiles of WWF and the Institute for Intercultural Studies of Javeriana University. The diploma received good reviews from the participants. While the national actors valued the possibility of dialogue with the territory (joint closure event), the communities highlighted the high level of expertise of the lecturers on relevant issues. Main criticisms, directed to the Quibdó edition, were the poor adaptation of the methodology to the context (they demanded less master classes) and the lack to ensure greater empowerment of the people from the territory. The course material is still being systematized. The intention is to publish a booklet with memories of the course that can serve as input for similar trainings in future occasions.

Involving the Congress in training activities was innovative and produced interesting results. The alliance with National Forum for Colombia allowed the implementation of education and training activities for congresspersons on mining and environmental issues. The combination of traditional training instruments (technical working groups, diploma) with non-traditional activities (field visits) helped to sensitize political decision makers (or, in their absence, their technical teams) on the problem and created capacities that, according to the beneficiaries, helped in the formulation of several legislative texts.

➢ Restoration

Indicator	Target	Actual outcome	Rating
IR 2.5.5. Area (ha) of degraded mining land in short- and medium-term restoration processes (protocol) in key biodiversity areas	100 ha (Baseline 0)	118 ha with plant material established for assisted restoration.	S
COMMENTS: *Field actions began in July 2018, which prevented the project from being able to monitor and assure maintenance to the restoration area until the process was advanced. This delay was due to the frustrated intention of articulating restoration efforts with those of other organizations with similar actions in the region.* *The adaptive strategy in the face of implementation challenges was innovative and could be a high impact and low-cost restoration alternative in the Biogeographic Chocó region.* *The late start of the activities did not allow the project to capture lessons learned about the evolution of the restoration process applied in this experience, nor to follow up on the establishment, successful or not, of the coverages introduced.*			

The design of the project was intended to generate synergies with actors with different restoration schemes and protocols; This was well intentioned but led to significant delays that could have been avoided. The time taken to consider the IIAP Protocol, and to identify the intervention areas, as well as the difficulties to effectively join efforts with the Legal Gold project, were the claimed cause of the delay in initiating restoration activities. Even the mid-term evaluation, carried out in the fourth year of execution, considered that the achievement of the result was unlikely (see Mid-term Evaluation Report). The executing agency was late in taking decisions regarding the high costs of restoration under the IIAP protocol and in recognizing the technical and conceptual differences with the restoration strategies of the Legal Gold project. Restoration activities

took traction only towards July 2018 and were done under a different scheme than that of the pilot initially planned in the design (see next point).

In an adaptive way, the project managed to create a cost-effective and innovative community restoration process. After the mid-term evaluation and seeking the achievement of the results, the project defined an innovative intervention strategy that was characterized by the following:

- COCOMACIA was invited to lead the restoration process in previously defined areas.
- The process was based on ancestral and traditional knowledge identifying that the forest provides plants of medicinal, economic and cultural value. This scheme could be replicated in other restoration efforts to ensure appropriation of the process by the communities.
- The seedlings were not cultivated in nursery but were collected from surrounding forests in COCOMACIA's territory. This was done in joint missions of elderly and youngsters, facilitating the transfer of knowledge about different species and their use.
- COCOMACIA hired committed people from the community for planting and maintenance, achieving results in very tight timeframes.
- Since no soil remediation was done, and the mercury stayed in the areas, plant species for human consumption were avoided in the restoration process.
- The Local Community Councils that are members of COCOMACIA included in their regulations sanctions that protect restoration actions.
- Mercury measurements made within the framework of the activity generated knowledge and were used in Sentence T-622.

The actors involved in the process perceive it as a very positive initiative, which opened new opportunities for community restoration at much lower costs (Approx. 120 million under the IIAP Protocol vs. 15 million under the Community Process). However, the downside is that this approach does not include soil remediation and limits the future use of the area.

Due to the short time of implementation, the restoration is still at an early stage and the project lost a valuable learning opportunity from the results of the process. Although it is very positive that the maintenance of the seedlings is guaranteed by CODECHOCO during the year following the completion of the project, and COCOMACIA has expressed its commitment to give continuity and replicability to the process, it must be recognized that the project will not be able to systematize important learnings such as the results of the restoration, the impacts on the water component, the results in soil recovery and the learning of the socio-environmental model that was tested.

Similarly, this process led to the publication *Leaving A Territory To Our Renascents. Lessons learned and recommendations for recovery processes of areas degraded by mining in the collective territory of COCOMACIA.* The layout, publication and dissemination of the guide is still pending.

Research on mercury mobility and the state of mercury contamination covers an important knowledge gap of the country. Its publication, however, was considered a sensitive issue for the government, so the results were shared with the entities involved, but were not made public.

3.4.3. Efficiency

Project management

Clear governance and responsibilities: The governance and responsibilities within the project were clearly defined, as proposed in the PRODOC. The SC and TC met according to what was planned. While the SC served primarily to socialize implementation progress and obtain approval of annual work plans, the TC was an important venue for discussion and co-creation. The work of both committees was adequately documented in minutes. The biggest change in governance had to do with the integration of community actors into the mechanisms of government and project execution, an adjustment that was formalized at the end of 2015[16].

Annual planning was carried out through annual work plans, an instrument that was consulted with the SC after approval by the TC. Clear processes were followed for the selection of contractors, both organizations and individuals, and the implementation of activities. In the definition of expedited routes of execution, different alternatives were considered, and administrative capacities were verified before signing agreements and contracts. Based on a brief review of agreements and contracts, and without analyzing individual cases in detail, the evaluators conclude that the cost-efficiency was reasonable for the contracted products.

The hiring of an information systematization and knowledge management officer strengthened project management. Due to the fact that the project team was dispersed in two locations (Cali and Bogota), undertook frequent trips to the field, worked on different topics and with a large number of partners, it was necessary to adjust its way of operation to the needs of the project. It started in 2016 with periodic meetings, but only few management tools; at the end of 2016 the project hired an information systematization and knowledge management officer. This hiring marked a change in project management. Following an in-depth internal assessment of the project at the beginning of 2017, a simplified presentation of the project (mental maps) was developed, the repository organized, and several internal monitoring instruments and management processes developed (e.g. contractor monitoring chart; matrix of lessons learned, etc.). These additional instruments, aside from the official instruments (PIR, annual operational plan, quarterly reports), improved monitoring and evaluation. Although not all instruments were appropriated and used with the same rigor by the entire team, it is evident that the centralization of the knowledge management function gave the team peace of mind and freed up the Coordinator's and the technical team's time to focus on the implementation of activities.

Risk monitoring met the donor's expectations. Risk monitoring was ensured through the UNDP Atlas system and its inclusion in the quarterly technical reports. However, it is evident that after December 2016 (quarterly report no. 8), there was no update of risks in the quarterly reports. The Mid-term Evaluation recommendation to strengthen risk monitoring was not followed-up. Despite the fact that the GEF did not consider it appropriate to add another risk management process, in the opinion of the evaluators it would have been necessary to strengthen the context monitoring and risk analysis using the existing instruments (periodic updating of the risks), given that the social and political context of the project considerably changed with the implementation of the Peace Agreement with the FARC in November 2016.

The project benefited from the direct implementation scheme, and the complementarity of WWF and UNDP increased efficiency. While WWF, as a civil society organization, had agile processes and greater flexibility to

[16] See Minutes III. Steering Committee, December 2nd 2015.

develop partnerships and contract products, UNDP ensured the quality of processes and gave institutional support to WWF's actions.

The project is considered cost-effective. A lean implementation structure, clear supplier selection processes and a successful use of synergies with other actors allowed the results to be achieved at a reasonable cost. The geographical concentration (focus on municipalities and territories of black/indigenous communities of the middle and upper Atrato river and the upper San Juan river) and the use of synergies between the intervention lines were other factors that allowed getting a good cost-efficiency ratio.

Communication

The project generated valuable information and used it, amongst others, in different advocacy arenas. Systematic dissemination beyond project activities was more challenging. At the end of 2016 the project approved a communication strategy. The strategy defined four communication objectives:

A. **Report** on the effects of mining on biodiversity in the biogeographic Chocó region.

B. **Generate** a public debate and a sense of urgency in those responsible of establishing and implementing regulations on the protection of biodiversity from mining practices.

C. **Visibilize** the biodiversity of Chocó to promote a stronger sense of belonging and trigger actions from the communities that inhabit the region to safeguard it.

D. **Favor** joint work between the key actors of the GEF Project, allowing everyone to feel part of the progress and achievements, thereby benefiting the transparency of the project.

These objectives show a close connection between advocacy work and communication goals. The project was very successful in organizing, supporting and participating in meetings with an important communicational value. On the other hand, the project was not as keen to ensure that the valuable information it generated was widely disseminated beyond an event or activity, and arrived in a timely manner to the authorities, local actors and public opinion. As an example: the project website contains only a small part of the information generated and is not updated. Some actors interviewed would have liked more active communication and greater use of existing platforms (e.g. Radio COCOMACIA) to disseminate generated information.

3.5. Country implication

As detailed in section 3.2, the project design sought an alignment with the strategic objectives of the planning documents in effect at the time of design, including national policies and commitments to international agendas. In the case of the ratification agenda of the Minamata Protocol and the regulation of the use of non-timber forest products, the country involvement was materialized.

The heads of the parks supported by the project had a strong involvement in the actions carried out within their parks. Although the project did not directly transfer resources to protected areas, park managers were an active part in carrying out activities.

Beyond creating policies, the involvement of the national government was marginal. The government should have had a more active role in actions as important as restoration, diagnoses of mercury mobility and concentrations, or territorial planning with an ethnic focus. This involvement did not occur, mainly because the government did not have the human resources or the financial capacity to participate more actively in

project activities. In particular, the central government regretted that actions related to capacity-building for the promotion of bioenterprises occurred only at the local level, impeding the participation of MADS staff.

The inclusion of regional actors in project-related processes was evident in all the intervention areas of the project. As mentioned, WWF involved community councils in decision-making and project execution as a matter of priority, and included other local agencies (IIAP, UTCH and CODECHOCO).

3.6. Integration of cross-cutting issues

Integration of the dimension inclusion of local populations

The Do No Harm approach was guaranteed through a close relationship with local communities. In both the design phase and in its execution the project was sensitive to conflicts. The project took sufficient time to understand the regional and local contexts and build trusted relationships with local organizations. This enabled the project to manage activities with the leadership, logic and forms of the communities involved.

The project had a clear ethnic focus that was deployed since its formulation and evident throughout the intervention. This approach is reflected in the governance of the project, in the implementation alliances and in the policy and management recommendations emanating from the project and included guidelines to insert gender, ethnic and intergenerational approaches.

Integration of criteria of the Country Program Document (CPD)

The results of the project are consistent with the UNDP Strategic Plan (2014-2017) and with the UNDP Program Document for Colombia 2015-2019. As detailed in section 3.2, the project is aligned with results 1, 2, and 5 of the UNDP Strategic Plan. Also, it helps reduce the environmental impacts of the extractive industry and the sustainable use of biodiversity to strengthen the livelihoods of vulnerable populations, both objectives recorded in the CPD.

Integration of a gender approach

The project design did not include a gender strategy. In the implementation, gender approaches were incorporated into some activities, however, the intervention was not mainstreamed into the project. The project incorporated the gender approach building on the definitions and policies of WWF, UNDP and GEF, and identified products that could be optimized by the approach. The absence of a comprehensive gender strategy and the lack of a diagnosis before implementation limited the possibilities of the project to contribute to gender equality.

Gender-sensitive approaches were mainly incorporated into training and entrepreneurship activities through the promotion of women's participation in project activities. In its early stages, the project identified training and entrepreneurship activities as areas of opportunity to incorporate gender sensitive approaches (PIR 2016). Since 2017, the participation of men and women in events and in the business strengthening process was monitored. The mid-term evaluation recommended strengthening of the gender approach both at the level of the project team and within the activities (Mid-term Evaluation Report). These recommendations resulted in a timely intervention for training in gender equity and new masculinities for the project team and for local partners, who expressed their appreciation on the intervention.

The project strengthened the gender approach in COCOMACIA and promoted the incorporation of gender variables in its PUMA. The process of strategic review in the planning and institutional processes of COCOMACIA created an opportunity to influence in the participation of women and to raise the profile of the existing gender commission. The updated strategic plan defines specific work areas: reduction of domestic violence, social and political participation of women, financial sustainability for the gender commission and mitigating the effects of mining on women.

3.7. Sustainability

In this section we will analyze the probability that the results of the project remain over time, the actions or omissions of the project to ensure sustainability and the externalities (outside the scope of the project) that may affect the permanence of the results in the future. After some general reflections, we will assess the sustainability of each intervention line.

WWF finalized the sustainability strategy as of the end of 2017 and recognized the need for continued financing. The sustainability strategy of the project according to PRODOC sought to adopt conservation protocols and insert them into the priorities of local and community entities (environmental sustainability), build capacities and participation of the different actors and institutions in planning, decision-making and processes for the management and monitoring of conservation and sustainable use actions (social and institutional sustainability) and generate benefits at the end of the project (financial sustainability). In addition, the strategy sought to generate lessons learned and best practices that could be replicated inside and outside the country. As of the end of 2017, the project team began to materialize this strategy, formulating sustainability strategies for different project stakeholders and the different results. Together with the stakeholders, the project worked on the consolidation of results and the institutionalization of processes and products. At the same time, it has been mentioned that the project supported processes that fall (begin and end) outside the project lifecycle, and that many of them will depend on the availability of continuous resources. Thus, the project actively supported the search for continued resources that could give continuity to the work carried out.

The change of government and the reorientation of political priorities caused rupture in some political processes and negatively affected the sustainability of the project. The change of government had a limited effect on the execution of the project, given its advanced state of implementation in mid-2018. The greatest effect was felt in specific sustainability / continuity actions that the project sought to advance with the outgoing government, and which were halted or suspended by the incoming government, or which experienced delays due to slow executive decision-making at the beginning of a presidential term. Examples of this rupture are the lack of continuity in the development of the proposal of the GEF-6 “Pacific” project that sought to give continuity to the “Biodiversity and Mining” project, delays in the approval of the Minamata Convention Law or the projected decree for the regulation of non-timber forest products.

Delays in the systematization of various experiences and the publication of results could reduce their outreach and use. An accelerated pace of implementation of activities throughout 2017 and 2018 resulted in an abrupt transition between the implementation and closing phase starting January 2019. Several systematization processes began only when the project team completed the implementation of activities. Due to this late start and the long review and editing processes, several publications will be available only at the time of project closure (e.g. Practical guide for the formulation of collective territory management plans; Community restoration and monitoring; Conservation strategies for biodiversity in areas impacted by mining

in the Pacific region). This will negatively affect the outreach. There are also other examples where the project processed the information generated on time and made it available to the public (e.g. Characterization of the NWFP value chains in the Biogeographic Chocó) or actively used it for political advocacy (e.g. The Minamata Agreement - this is how Colombia acts against mercury).

Different context factors affected the sustainability of the results achieved. The project was successful in promoting spaces and capacities for dialogue, in building shared and collaborative visions, among regional institutional actors and ethnic communities. Being able to maintain and deepen this dialogue will ultimately depend on contextual factors, outside the control of the executing or implementing agency: the dynamics of national, regional and local politics, the management of public institutions, the security situation, among others.

➢ Political, legal and planning framework of mining

Out of the 14 national and 8 regional instruments that the project supported, at least 8 and 4, respectively, were incorporated into laws, decrees or other public policy instruments. This fact represents in itself an element of sustainability of the project. Legislative advances in the other instruments are beyond the control of the project. Nonetheless, WWF expressed the intention to continue advising some laws relevant for the conservation of biodiversity (PIR 2019). Situations like this underpin the added value of an executing agency with missional purposes that are highly aligned with the objectives of the project.

The delivery of technical inputs to different actors and training to the UTLs does not guarantee the legislative future of the instruments but contributes to the sustainability of the efforts made. The increased technical and conceptual capabilities within the UTLs and in congresspersons, who now have a better understanding of mining and environmental issues, is intended to give continuity to the actions of the project. The technical inputs that were handed in to the UTLs are also an important element of sustainability. In order to give sustainability to the model of articulation with the legislature, it would be important to document and socialize it with social and community-based organizations that can give continuity to this approach.

The close collaboration with local actors and their perception of having strengthened their advocacy capacity at the national level, constitutes a sustainability factor for the project. The process of building a territorial vision of development preceded the project, led by entities such as PCN, COCOMACIA, ASOCASAN, IIAP among many others (e.g. Pacific Vision and previous exercises); the same can be said of processes such as the regulation of Law 70. It is foreseeable that these local and regional entities will continue advocating for and supporting these policy processes; now they will do so with improved information and strengthened capacity. Empowering and working closely with stakeholders interested in issues related to mining and environment is a sustainability strategy that the project put into practice throughout implementation.

➢ Territorial planning

Several technical inputs were developed with stakeholders that will have advocacy capacity in the future. This is the case of the *Proposal of Ecological Structure, Environmental Determinants, Ecosystem Services and Mining Issues for the municipality of Tadó*, developed in conjunction with ASOCASAN, and delivered early in the project (it was the first input delivered, only one delivered in 2017). In this case, the community council has a strong political influence in the municipality, and its participation in the construction of the product guarantees its appropriation. It is very likely that ASOCASAN will take the reins of political lobbying towards the update of the territorial planning instrument of the municipality, making use of the recommendations and

information provided by the project. A similar situation exists in the political relationship of COCOMACIA and the municipality of Medio Atrato. The political conditions to influence the use of inputs by other municipalities are not particularly favorable.

The delivery of inputs to municipal administrations does not guarantee their inclusion in territorial planning instruments. The municipalities who benefited from improved information for land-use planning had different levels of involvement in the processes of diagnosis and construction of inputs. Some of them barely participated in these constructions. In two cases, the inclusion of the technical elements delivered by the project depended on external consultants hired by the National Government. In addition, the project is closing its activities on par with current local governments; that is, the use of inputs, delivered between September 2017 and February 2019 to municipal administrations, will depend on governments that are not yet in power.

Community environmental management instruments were built from and appropriated by the communities. It is very likely that this process will continue, and these products are used by the community councils for the use of their territory and for lobbying with mining, infrastructure, environmental, and other sort of entities that intend to take action within their territories.

Knowledge management on planning processes in collective territories and in municipalities with collective territories was late but progresses. Based on its experience, the project built a guide for territorial planning of territories of black communities, and a guide for the inclusion of ethnic considerations in municipalities with ethnic collective territories. These publications are still in process and should be disseminated after project closure; the ability of WWF, UNDP or MADS to make them effective and efficient is uncertain.

➢ Protected areas

The project accompanied the declaration of protected areas processes until their subscription by the respective authorities. Through its strategy of converging with existing initiatives, the project was able to support declaration processes until the adoption of the declarations by regional and national environmental authorities. In one case (Alto Atrato) the accompaniment was from the beginning to the end of the process. The declared polygons should remain protected areas. It is unlikely that the areas will undergo changes in the future, if not for expansion purposes.

Only one of the four protected areas created under the project has a management plan today, and the budget for the administration of the four declared areas is uncertain. The national system of protected areas has a historical budget deficit condition, which is aggravated when the administrator of two of the protected areas is CODECHOCO, one of the environmental authorities with the lowest budget in the entire country. Now, even without a management plan or under the extreme circumstance that the areas would have no management actions implemented, it is likely that the simple existence of protection polygons registered in the National Registry of Protected Areas guarantees a more limited use of these territories.

The work with the supported national natural parks strengthened collaborative relationships with other actors, who may continue to support the management of protected areas. This is the case of the strengthened contact with the Army for the defense of the territories against illegal mining or the support of the Mayor of Cali for the control and surveillance of Farallones de Cali NP, or the close work of Tatamá NP with ASOCASAN community council. In general, the broadcast of mining problems in the parks generated a mobilization of actors beyond the duration of the project.

The budget of the protected areas for continuing work of biodiversity monitoring, control and surveillance is insufficient. Although financial sustainability of protected areas has been one of the most recurring investments of the GEF in Colombia, the budget allocation continues to be deficient for all protected areas in the country, and this is the case for the national parks that benefited from the project. Only one park, Farallones de Cali, had an increase for the administration budget; the budget was doubled, but is still insufficient.

The area that accounted for avoided deforestation and emissions, which was delimited within the framework of the COCOMACIA POTA, had a participatory process for its definition and delimitation that strengthens its appropriation. This is an indispensable element in the sustainability of the area chosen as an indicator of avoided deforestation and avoided emissions. There is also the interest of the community that the area enters the National Registry of Protected Areas once the considerations about the TICCAs in Colombia are resolved.

The portfolio of feasible REDD projects was appropriated by the national government. The publication *Investment Portfolio for the Implementation of Measures and Actions for the Reduction of Forest Deforestation and Degradation in the Pacific Region* is framed within the National REDD Strategy, in which MADS played a leading role. The carbon market scenario took an important turnaround for the country after the creation of a carbon tax in 2017, which triggered an unplanned national demand. Much of the inventory included in the publication had already gone through validation processes under voluntary carbon market standards, and the rest of the portfolio will probably be considered by new investors.

➢ Productive initiatives

The sustainability of most of the supported productive initiatives still depends on continued support. The sustainability of the support provided to productive initiatives is achieved when the enterprises manage to finance their operations through consolidated sales and when they have the necessary human and working capital to implement their production process and business management. The 15 enterprises are in different stages of this consolidation process:

- A first group consists of enterprises that have solid production processes and relatively consolidated markets (e.g. Nativho's/Selvaceutica). They gained access to new sources of financing for scaling up processes.
- A second group of enterprises includes those who have established their production process and have (a) first buyer(s). However, these enterprises need to consolidate and diversify markets and strengthen production processes or administrative issues (e.g. Planeta or Arte & Joya). Continuous support is important for business consolidation.
- A third group of enterprises is still in an early phase of consolidation. They have a product, they made first sales, but they need to consolidate the process of production and business management to meet all market requirements (quality, quantity, continuity in sales) (e.g. Vamos Mujeres or Barule). It is likely that they would cease to exist without continuous support.

The project managed to link some businesses to new sources of financing. Considering the continuous support needs of the three groups mentioned before, and as part of the sustainability strategy, the project successfully sought to link the enterprises to new sources of financing. P4F and Acumen financing was secured for three businesses. While the second and third group will probably still depend for a time on non-

reimbursable resources (international cooperation or central government initiatives), group one will gradually be eligible for social investment funds.

The business ecosystem for bioenterprises is still very weak and there are numerous barriers. The strengthening of BioInnova as a provider of services for bioenterprises and the work with CODECHOCO on barriers to NTFP contributed to an improvement of the business environment for bioenterprises. However, given its incipient level, continuous support will be needed to boost the sector.

➢ Capacity building

The contents of the formal training responded to real needs and the project offered spaces to apply what was learned. The project used formal training as a training tool for project beneficiaries. Therefore, sustainability must be measured in the skills acquired by the participants and their ability to implement what was taught. The participatory processes of content definition and the selection of participants indicate that the public chosen and the subjects taught were relevant and its subsequent use is likely. Most graduates of the diploma training programs were involved in political, business or institutional processes supported by the project, which offered possibilities to implement what was taught.

The intention was not to institutionalize the diploma training. However, an earlier systematization of the contents would have been useful. As mentioned above, the diploma training courses were developed according to the training needs of the project and were not conceived as a contribution to the academic offer that would last over time. Nor was a train-the-trainers approach implemented. Therefore, it is unlikely that certificate programs in their original form will be reproduced in the future. Also, the copyright of contents remained with WWF, an institution that does not have a teaching vocation in the first place. However, systematization is important because the materials can serve as input for future similar programs. It would have been useful to have the publication ready at an earlier stage, for its timely dissemination with the partner entities of the project (even to share with participants).

The sustainability of non-formal training spaces (forums, workshops) is hardly measurable. These are specific events that contribute in general to raising awareness about the problem and to move agendas. Proyectos Semana, for example, reported that the collaboration with the project gave visibility to the Pacific agenda within the institution, which resulted in additional support for events on related issues. Maintaining a topic on the political agenda is a joint effort. WWF was successful in connecting to other actors with shared agendas, and thus in impacting the public agenda.

➢ Restoration

The restoration pilot that was established in the project has several elements that make its sustainability likely:

- Having chosen an area that protects the water supply for the Quibdó aqueduct is an element of sustainability to the extent that it is easier to generate ownership of the pilot in various actors, given its strategic importance.
- The process of community restoration was cost-effective, generated work opportunities, provided visibility to the process, and favored transfer of ancestral knowledge.
- The incorporation in the regulations of the Local Community Councils of sanctions to gold mining in restored areas generates an element of governance of the effort made.

- The experience was systematized in a Restoration Guide, an openly accessible document easy to transfer to other community organizations. The document is pending publication and dissemination.
- The maintenance of the restored plots is guaranteed by CODECHOCO for the first year after the end of the project. This increases the survival of the plant material at a vital moment in the process when they still could not survive without additional care.

3.8. Progress to impact

In this section we will analyze the progress towards impact. A few weeks after the completion of the implementation phase, it is not possible to measure the long-term impacts. This will depend on the sustainability of the results achieved. Hereafter, we limit ourselves to an assessment of progress and perspectives towards achieving the desired impacts.

According to the theory of change, the ultimate goal of the project was to safeguard biodiversity in the Chocó biogeographic region from the direct and indirect impacts of mining.

The project demonstrates excellent performance when assessed against the three objective indicators. In particular, it achieved the following:

- Strengthened the management of four protected areas, and thus contributed to the conservation of 334,671 ha in Tatamá, Farallones de Cali, Las Orquídeas and Munchique national parks. The target was achieved (100%).
- Increased the area of protected areas by 334,671 ha with the creation of 4 new protected areas. The target was exceeded by 782% (70,000 ha).
- Improved the management effectiveness of the four national parks by more than 20%, as per the effectiveness scorecard.

There are elements that indicate that the project can have an impact and contribute to verifiable improvements of the ecological state in the benefited territories over time. Some preliminary results support this statement:

- Previous experiences show that a territory that is declared as protected area has a lower risk of environmental degradation tan a territory that lacks that condition. This, independently of the management capacity or the existence or lack of resources for its operation[17]. Thus, it is likely that the declaration of these four new protected areas does help preserve those territories from the impacts of mining and other productive and extractive activities.

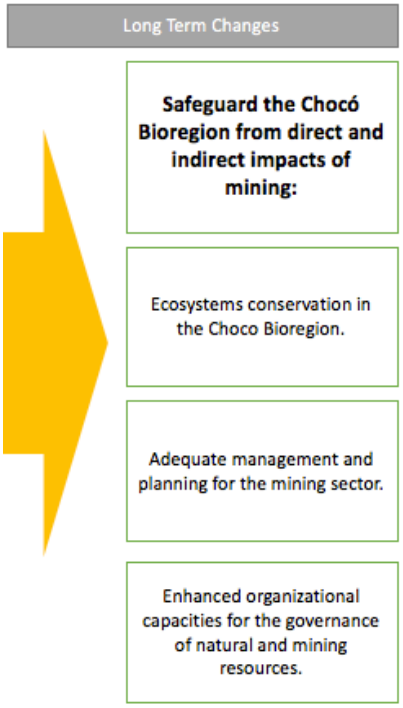


Figure 3: Long-term impact

- The four benefited national parks showed that with concerted support and in partnership with other actors, it is possible to push back mining pressures and prevent them from entering the protected area (Tatamá NP case) or to remove miners from the parks (Farallones de Cali NP case). Particularly interesting is the case of Farallones de Cali NP, where it was possible to evict the mining activity from the territory of the park and establish an effective access control (Committee for the control of invasions and ecosystem conservation of the municipality of Cali) with a direct impact on the affected ecosystem.
- The project showed that forest cover improved in COCOMACIA's territory. Specifically, the project contributed to the conservation of 13,433.23 hectares of forest and an increase of 240.64 hectares of forest in the Ocaidó river between 2014 and 2018, which resulted in the storage of 1,442,519 tCO2-e carbon.
- The initiation of a restoration process on 116 hectares of land degraded by mining has already improved the ecological conditions in these territories, regardless of the availability of future resources to continue the process.

The three objective indicators are closely linked to work in protected areas and capacity building. The contribution of the other intervention lines to the long-term impact and the improvement of the ecological state is less direct. Hereafter, we establish the possible contribution of other project results to the ultimate goal of safeguarding the Biogeographic Chocó region from the impacts of mining:

- **Improved social and institutional capacities** at national, regional and local levels in biodiversity conservation issues, in harmony with local territorial views, will impact the future political debate on natural resource management and the protection of natural heritage.
- **Strengthened political, legislative and mining planning frameworks** offer better tools to demand and implement actions in favor of the conservation and sustainable use of biodiversity. Taking the example of the Minamata law, it has favored the development of the Single Mercury Plan (goal in 2018-2022 National Development Plan, PND).
- **Knowledge and technical information** on mining-environmental issues: The technical inputs of the project (studies on mercury) informed the ruling of the constitutional court on the Atrato River

[17] See, for example, Cuartas, MF. 2018. State of 101 protected areas in Latin America. Duke University

(Sentence T-622). The information generated by the project will serve as input, as long as adequate dissemination is achieved.

- **Successful productive initiatives** can serve as proof that there are productive alternatives to mining.

3.9. Additionality of GEF resources

As explained in section 3.3., the project adopted a strategy with a sense of opportunity. Recognizing the need to adjust some objectives and making use of their solid knowledge of the political landscape, the executing and implementing agencies identified ongoing processes where the project could join efforts in order to achieve its indicators and successfully culminate processes. This adaptive management required several changes in the original design of the project but its basic structure was maintained.

Some illustrations of this strategy are 1) the contribution to the process of the National REDD Strategy with the publication Investment Portfolio for the implementation of Measures and Actions to Reduce Deforestation and Forest Degradation in the Pacific Region, 2) leverage of three processes of protected area declaration that were already underway, 3) collaboration with the GEF / PPD to support a large portfolio of local enterprises.

The evaluation of the strategy used for the investment of the project resources shows that it concurs with the incremental value principles of the GEF.

4. Conclusions, lessons learned and recommendations

4.1 Conclusions

The project addressed a subject that is highly relevant in the Colombian context. Its objectives were aligned with national and international policy frameworks. The idea of including a cross-sectoral (environmental-mining) and multi-level approach was innovative and timely. However, the cross-sectoral approach did not fully materialize during implementation. The mining sector's involvement was limited and in response the project decided during implementation to strengthen the environmental perspective.

The project was designed in a participatory and agile process. Stakeholders at the national, regional and local levels participated in the process. The theory of change was clear, even though indicators at project objective level only had an explicit link to the protected areas outcomes, whereas no causal link to other outcomes could be observed. Some outputs were too ambitious or specific and had to be adjusted in the light of contextual changes. The lack of a gender strategy in the original design could not be fully resolved during implementation.

During implementation, the project adopted a strategy with a sense of opportunity and adaptability. In doing so, the project took advantage of existing processes and joined forces with other initiatives and stakeholders. This resulted in improved efficiency and effectiveness of project activities. WWF demonstrated an excellent political instinct and a great ability to articulate with other stakeholders. UNDP demonstrated flexibility and allowed adjustments in the implementation strategy which was a prerequisite for the implementation of an adaptive strategy.

The project achieved a good articulation between the local and national levels and managed to articulate local development and consultation processes with public policy making and advocacy at the regional and national levels.

WWF's profile, its organizational experience and way of work characterized the implementation and facilitated the achievement of the objectives. Since the design process, the project stressed the importance of involving ethnic communities in project implementation and consider them as partners and not just project beneficiaries. This participatory and respectful approach fostered confidence and ownership of the project by local partners. The project team's ability to provide high-quality technical assistance, combined with their ability to understand and adjust instruments and advisory to local processes and concerns, generated confidence in stakeholders and facilitated collaboration.

The project reached and, in 12 out of 15 indicators, exceeded the quantitative targets set in the results framework (revised targets). From a qualitative point of view, very good results were achieved (including the partnership with SGP for bio-entrepreneurship, the declaration of new protected areas, the strengthening of 4 National Natural Parks, the advocacy work with congress) and intervention strategies were generally relevant, effective and efficient.

The project strengthened its governance and management during implementation. Regarding governance, community organizations were integrated into the SC and TC and the conclusion of implementation agreements with local stakeholders contributed to their empowerment. Regarding management, the project started in 2017 to develop project monitoring and management tools that substantially improved the planning, execution and knowledge management processes.

The project generated numerous valuable knowledge products which were used for advocacy. However, a more systematic dissemination of experiences and publication of results occurred late. After a slow start, the implementation period was particularly intense during 2017 and 2018, resulting in an abrupt transition between the implementation and closing phase.

The sustainability of results is heterogeneous and varies between the different intervention lines. The project, together with its partners, started working on the consolidation of results and the institutionalization of processes and products in late 2017. At that time, it also recognized the need for continued support and intensified fundraising efforts to assure continuous support for its agenda of work.

4.2. Good practices, lessons learned and recommendations for UNDP/GEF projects

Chapter 3 contains observations and recommendations related to the different project intervention lines. Hereafter, we present good practices and lessons learned and summarize main recommendations regarding design, implementation, sustainability and impact that can be applied to other UNDP/GEF projects.

For design

- A cross-sectoral approach is valuable, but it needs to be adequately reflected in project indicators and objectives, the project's governance and implementation strategy. In order to make sure that all sectors involved commit to the agenda of work, they must form part of the project design and benefit from its activities. The executing agency should be able to assume a role as "bridge builder" and be seen as a facilitator in the dialogue between environmental organizations and agencies and the other sectors involved.

- The implementation modality and the tip of executing agency should be defined according to the project objective. For a project with an important policy component, implementation through an NGO with experience in advocacy seems appropriate. It is recommended to analyze and take advantage of the complementarity of profiles between implementing agency and executing agency.
- Involving the executing agency in the design process can speed up the project inception phase. If the executing agency was already involved, it is not necessary to re-validate the project proposal and the project benefits from established relationships and knowledge acquired during the design phase. In the case of this project, the executing organization attributed some of the delay in implementation to the fact that it had not had a participation with larger decision-making capacity during formulation.
- In order to ensure sustainability of the intervention, it is necessary to prioritize implementation strategies and objectives that aim at strengthening processes rather than focusing only on the achievement of specific goals. In advocacy, it is recommended to define outcomes related to developed models/processes and not to a number of approved instruments.
- Differential and gender approaches should be incorporated from the design stage; specific strategies, indicators and targets must be in line with the particular development context.

For implementation

- It makes a lot of sense to engage communities from project design and consider them as partners and not just as project beneficiaries. Adopting a participatory approach ensures ownership and alignment with local agendas.
- It is important to define implementation mechanisms that contribute to the strengthening of local institutions. As far as this project is concerned, the possibility of signing agreements with project partners allowed to work with community councils in their role as stakeholders and beneficiaries.
- Defining clear objectives, but continually review their relevance and consider alternatives is important to ensure the best use of resources. A strategy with a sense of opportunity and adaptability is more likely to achieve relevant results than a mechanical execution. Prerequisites for adaptive management are good communication between the implementing and executing agencies and robust governance and management processes.
- It is important to mobilize the knowledge and experience of the implementing entity.
- It is desirable to budget sufficient resources for monitoring, evaluation and knowledge management. This investment results in better performance and technical focus.
- Investing into the project's administrative and accounting capacities helps to strengthen the accompaniment of these support functions and their integration into the project from the very beginning.
- It is essential to timely develop and implement a strategy for the dissemination of results; otherwise project learnings and knowledge products will not be used to their full potential in benefit of the country, and opportunities of adding value could be lost.
- Ensuring an adequate presence in the field streamlines processes, increases their relevance and builds trust among partners and allies.

- Apart from monitoring risks related to specific results and products, it is important to implement an appropriate monitoring of contextual risks.

For sustainability and impact

- With the aim of assuring sustainability of the project activities it is advisable to give the project Steering Committee a strategic role and involve it in planning sustainability;
- It is necessary to define together with the main partners strategies to disseminate the publications that are about to be finalized.
- The mining-environment agenda needs continued support given the magnitude of the challenge and the lack of resources to address it. The need for better integration of these two sectors remains intact and there is an opportunity to build upon the results achieved. Possibilities for continued support should be sought within existing projects (e.g. GEF-6 Pacific/GEF Gold) or considering the development of new initiatives.

5. Annexes

5.1. Terms of reference

1904
TERMINOS_DE_REFER

5.2. Summary of field visit

The evaluation team visited the cities of Bogota and Cali, where WWF, the Ministry of Environment and Sustainable Development (MADS), UNDP and several of the main implementation partners of the project have their main offices. In addition, the team visited the region where the project was implemented, particularly the municipalities of Quibdó, Tadó and Vigía del Fuerte, interviewing community, private and local government actors that were part of the project's activities. The full itinerary of the field mission is contained in annex 5.3 and the list of persons interviewed in annex 5.4.

The WWF project team took care of the agenda and established contacts with the different entities and organizations, however, did not participate in the interviews. Three people from the project team accompanied visits to bioenterprises in Quibdó, Tadó and Vigía del Fuerte.

In total, 28 meetings were held with different counterparts, totaling 34 men and 28 women interviewed during the field mission. The intention was to select entities and organizations in a way that the evaluation team gets a complete picture of the main project stakeholders (MADS, National Natural Parks, community councils COCOMACIA and ASOCASAN, and IIAP), and representative samples of partners and beneficiaries. In particular, an attempt was made to capture the direct perceptions of academy and non-governmental allies, and from supported bioenterprises, key beneficiaries of capacity building, local government authorities and organizations that were involved as part of the project's sustainability strategy.

The results of the mission were presented to representatives of UNDP, WWF and MADS on the last day of the mission, to receive feedback and ideas for improvement.

The field mission was essential to identify the following elements of the evaluation:

- The importance of WWF's relationship of trust it managed to build with local actors, and that community councils became project partners, not beneficiaries. This circumstance was freely expressed by almost all the people interviewed.
- The level of local, regional and national incidence that the GEF project achieved in terms of mobilization of political agendas and institutional processes (work with congressmen, articulation with regional environmental authorities, etc.).
- The scope of dissemination and appropriation of the information produced by the GEF project, identify gaps in knowledge management, deficiencies in disclosure and the actual scope of the products delivered to the municipal and environmental authorities.
- The complex socio-economic context in which productive projects are being incubated, facing high production and transportation costs, which represent an obstacle to scale-up their operation.
- The maturity level of bioenterprises regarding their production structure and level of sales as evidenced during the field visit or in conversations with beneficiaries. It was noted that several of the supported bioenterprises were not producing at the time of the visit, while others did have a regular production structure, with a guaranteed sales market.
- Elements that facilitated or compromised the sustainability of the bioenterprises, including continued support for their incubation, which came from other organizations and were facilitated through the GEF project.
- Non-quantifiable capacity-building processes, reflected in the empowerment of national parks directors, community leaders, promoters and members of congressional working parties (UTL).

5.3. Mission schedule

		Tuesday 13	Wednesday 14	Thursday 15	Friday 16	Saturday 17	Sunday 18
< 8:00		BOG 5:00		UIB 7:00		to Tadó	
8:00-9:00		Meeting evaluators	Proyectos Semana		CI: Arte y Joya	to Tadó	VGF 9:00
9:00-10:00				UTCH / BioInnova	CN: Rest. Pacurita	Barule	Planeta CHB
10:00-11:00		WWF, PNUD, MADS opening	UTLs congresistas		CI: Selvacéutica		
11:00-12:00				COCOMACIA	CODECHOCO	ASOCASAN	
12:00-13:00							
13:00-14:00						from Quibdó	
14:00-15:00		Project team Bogotá	MADS	Focus group Bio-entrepreneurs Quibdó	Nathivos	from Quibdó	CORPOURABA
15:00-16:00							
16:00-17:00							MDE 16:15
17:00-18:00			Partn. for Forests	FISCH		MDE 17:35	
Overnight		Bogotá	Bogotá	Quibdó	Quibdó	Medellín	Medellín

	Monday 19	Tuesday 20	Wednesday 21	Thursday 22	Friday 23		
< 8:00		CLO 7:03					
8:00-9:00			IIAP	F. Nal. Colombia			
9:00-10:00		Project team Cali	NNP Bogotá		CN:ICCO; CI:PNUD		
10:00-11:00					Debriefing		
11:00-12:00		PCN	Crepes & Waffles				
12:00-13:00							
13:00-14:00							
14:00-15:00		U. Javeriana	Minka Dev				
15:00-16:00	Evaluators internal meeting						
16:00-17:00		NNP Cali					
17:00-18:00							
> 18:00		BOG 21:10		MME			
Overnight	Medellín	Bogotá	Bogotá	Bogotá			

5.4. List of interviewed persons

Organization	Person	Position or function
ASOCASAN	Aristarco Mosquera	Member, Representative of CODECHOCO in the SC
	Heyler Moreno	President of the Community Council
Asociación Arte y Joya	Leslie Johanna Valoyes	President
Asproderma	Octavio Rojas	General Manager
Barúle	Winston Cuesta	Entrepreneur
BioInnova	Adriana Elisa Parra Fox	Director
COCOMACIA	John Ericson Mosquera	Interethnic promotor
	Oliverio Palmerio Córdoba	Interethnic promotor
	Nelson Mosquera Córdoba	Member of the Board
	Rosendo Blandón Córdoba	Legal representative
	Willinton Murillo Pinto	Advisor
	Fanny Rosmira Salas Leny	Member of the board
	Claudio Quejada Mena	Member of the board
	Oswaldo Palacio Torres	Member of the board
	Darío Córdoba	Interethnic promotor
	Nelly (NN. Restauración)	Interethnic promotor
CODECHOCO	Alex Mauricio Jiménez	Director of planning
Congress units of legislative work (UTL)	Luisa Fernanda Moreno	Advisor UTL Angélica Lozano
	Paola Navarro	Advisor UTL Crisanto Pisso
	Nicolás López	Advisor UTL Luciano Grisales
Cooprojosefa	Luis Emiro Martínez Martínez	Legal representative
CORPOURABA	Cesar Mena	Coordinator in Vigía del Fuerte
	Ana Lucía Vélez Montoya	Expert Subdirección Gestión Ambiental
Crepes & Waffles	Ricardo de la Pava	Coordinator of projects
	Leticia Herrera Martínez	Director of quality
	Mónica Bello Senior	Head of quality
Foro Interétnico Solidaridad Chocó (FISCH)	Avid Manuel Romaña Peña	Representative

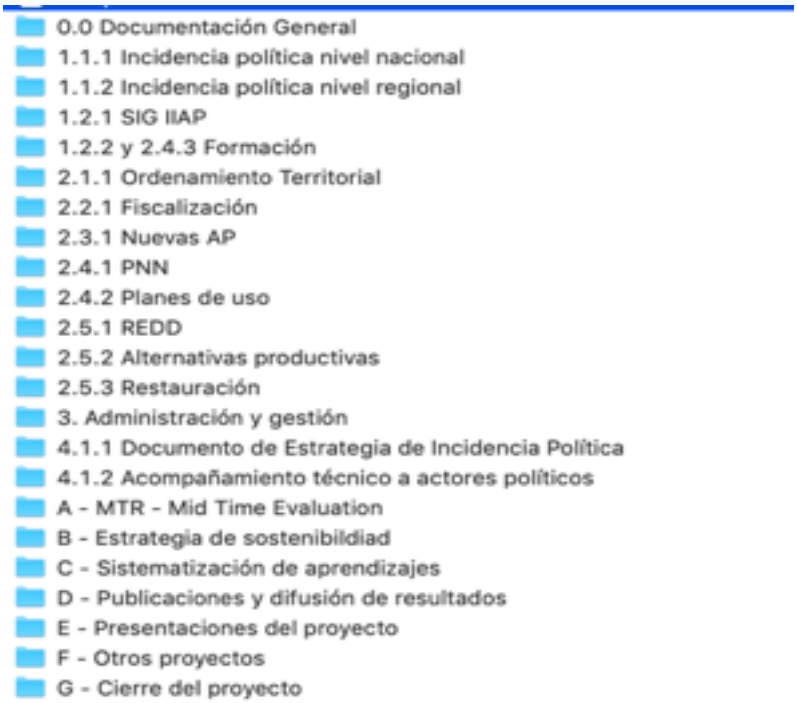
Foro Nacional por Colombia	Juliana Pena	
ICCO	Gloria Montoya	Project coordinator
Instituto de Investigaciones Ambientales del Pacífico (IIAP)	William Klinger	Director
Independent professional	Celia Vásquez	Former WWF consultant, in charge of local restoration process
Independent professional	Vanessa Coronado	Former Head of the Environmental & Social office, Ministry of Mines and Energy
Ministry of Environment and Sustainable Development (MADS)	Laura Camila Bermudez	International Affairs Office, GEF focal point GEF
	Yaisa Bejarano	International Affairs Office, advisor
	Rubén Guerrero	DBBSE, Coordinator, Forest Management
	Alexandra Crane	Sectoral affairs
	Elías Pinto	Sectoral affairs
	Ana Karina Quintero	Green businesses Unit
Minka Dev	Eliana Villota	Co-founder
Nativho's	Johanna Rincón Rojas	Legal representative
Partneship for Forests (P4F)	Luis Ríos	Country Manager
Proceso de Comunidades Negras (PCN)	José Absalón Suárez Solís	Member of the PCN
Planeta	Luz Arleida Cuesta	President
	Nemecio Palacios	President
	Jesús Alexon Asprilla	Member
	Celso Mosquera	Member
	Modesto Mosquera	Member
	Julio Alejandro Palacios	Treasurer
	José La Cruz Mosquera Córdoba	Legal representative
	Francisco Abraham Romaña	Member
National Parks Unit	Luz Mila Sotelo	Sub-directorate for the management of protected areas, representative in the SC and the TC
	Juan Carlos Troncoso	Director of the Tatamá National Park

	Jaime Alberto Celis	Director of the Farallones de Cali national park
	Héctor de Jesús Vásquez	Former director of Las Orquídeas National Park (current Director of Cueva de los Guacharos National Park)
UNDP – Country office Colombia	Sandra Aristizábal	Environment and Sustainable Development Program, Program Officer
	Felipe Lesmes	Policy specialist
PNUD – Small Grants Programme	Ana Beatriz Barona	National coordinator SGP
Proyectos SEMANA	Camilo Martínez	Director of projects
Selvaceutica	Yinith Cuesta	Representative
Universidad Javeriana in Cali – Instituto Estudios Interculturales	Gaia Pagano	General coordinator
	Alejandra Erazo Gómez	Researcher
Vamos Mujeres	Benilda Gamboa	Legal representative
Vida Salvaje	Balmes Mosquera	Founder
WWF	Mary Lou Higgins	Director WWF-Colombia
	Sandra Valenzuela	Director Planning and Development
	Ximena Barrera	Director Politics
	Luis Germán Naranjo	Director Conservation
	Mauricio Cabrera	Project coordinator
	Jairo Gamboa	Coordinator of component 2
	Felipe Barney	Advisor productive alternatives
	Juliana Castellanos	Assistant Finance and Administration
	Beatriz Agüera	Advisor knowledge management
	Carlos Mauricio Herrera	Specialist in planning of protected areas

5.5. Reviewed documents

1. Project document (PRODOC)
2. Presentations and minutes of steering committees and technical committees.
3. Inception workshop report.
4. Mid-term evaluation report.
5. Management Response
6. Quarterly reports to UNDP 2014-2015-2016-2017-2018.
7. Project Implementation Review (PIR) reports 2015, PIR 2016, PIR 2017 y PIR 2018.
8. Annual reports 2015-2015.
9. UNDAF – United Nations Development Assistance Framework 2015-2019 –UNDAF-.
10. Country Program Document (CPD).
11. UNDP Strategic Plan.
12. Tracking tools (initial and mid-term).
13. National Development Plans.
14. Overview of main contracts of the project (requested by evaluation team).
15. Report on co-financing
16. GEF 5 Programing Document

In addition, WWF provided the evaluation team access to an excerpt from WWF's Corporate One-Drive where the project's documentary archive is located. This greatly facilitated the triangulation of information allowing access to specific plans and products of the different work streams. The file contains the following main folders:



5.6. Matrix of evaluation questions

Evaluation criteria	Questions	Indicators	Sources
RELEVANCE: Did the project adapt to the priorities and policies of the target groups, recipient and donor? Were the project's objective and strategy relevant to national priorities? Was the intervention approach appropriate for the given development context?			
Alignment with strategic objectives	Is the project relevant to achieving environmental and development priorities at the local, regional and national levels?	Priorities of National Development Plans and regional priorities reflected in the design of the project.	National Development Plans 2010-14; 2014-18, 2018-22
	Does the project address the main objectives of interest of the GEF, the UNDP Country Program Document 2010-14/15-19 and UNDAF?	GEF, UNDP Country Program and UNDAF priorities reflected in the design of the project.	UNDP Country Programme Document (CPD) 2010-14/2015-19, UNDAF, UNDP strategic plan
Design coherence	Is the project coherent in its design (theory of change; logical framework; duration vs. expected results; governance structure)?	Clarity of problem analysis. Concordance between challenges and proposed actions: theory of change.	PRODOC; Presentations and minutes of SC and TC meetings; Inception report; Mid-term evaluation report; Interviews
Ownership and adaptability	Did relevant actors at the national, regional and local levels develop ownership of the project?	Level of awareness of the project in officials at the national, regional and local levels. Level of integration of project activities into stakeholders' own strategies/processes.	Interviews
	What kind of partnership-/collaboration-agreements were reached with the different partners/beneficiaries?	Existence of collaboration agreements.	Annual and quarterly reports; PIR, Agreements
	Did the project succeed to adjust to changes in context? Were the recommendations of the management response taken into account?	Documented adjustments of results. Follow-up to recommendations of the mid-term evaluation.	UNDAF, PND 2014-18; Mid-term evaluation; SC minutes. Interviews with stakeholders outside the project.

Complementarity	Did the project design take into account the existence of other initiatives/projects in relevant topics?	Explicit references to other projects/programs in PRODOC, reports, minutes and testimonies	PRODOC; Interviews with other donors.
	Was the project able to coordinate/leverage synergies with other donor-supported initiatives?	Achieved and documented partnerships/collaborations.	Project reports; Interviews with other donors.
EFFECTIVENESS: To what extent did the project achieve its objectives? How well did the project achieve the results and objectives?			
Achievement of results	To what extent were the envisaged objectives achieved in a quantitative and qualitative manner?	Concordance between what was proposed and what has been achieved according to indicators of the logical framework.	PIR reports; Quarterly reports, tracking tools. Interviews with project partners/beneficiaries
	What were the main success factors that facilitated the achievement of the objectives?	Documented and/or reported achievements.	PIR reports; Quarterly reports, tracking tools. Interviews with project partners/beneficiaries
	What were the main barriers that hindered/impeded the achievement of the objectives?	Documented and/or reported obstacles.	PIR reports; Quarterly reports, tracking tools. Interviews with project partners/beneficiaries
Capacity building	Did the project contribute to capacity building at the institutional and individual level?	Improved effectiveness according to effectiveness scorecard / UNDP Capacity Development scorecard.	UNDP capacity development scorecard; Effectiveness scorecard. Interviews with project partners/beneficiaries.
Adaptive management and risk mitigation	Did the project take advantage of opportunities mitigate risks that were presented during implementation?	Evidence of adjustments in project execution (restructuring) when necessary due to changes in context	Context analysis Interviews
Lessons learned	What lessons can be learned regarding effectiveness for other similar projects in the future?	Documented or witnessed lessons learned. Conclusions of the evaluation team.	Data collected during the evaluation. Interviews

EFFICIENCY: Is the quality and quantity of achieved products satisfactory in relation to the supplies used?			
Inputs vs. Output	Was the cost of the products achieved reasonable?	Expenditure in view of the results achieved compared to the expenses of similar projects. Discrepancy between planned and used financial resources.	Financial reports
Management mechanisms (strategic management; technical committees, etc.)	Quality of planning processes? Results orientation?	Formal and informal communication and reporting procedures between the Executing Agency, UNDP and other SC and TC members.	Minutes SC and TC; Logical Framework, PIR Reports, Annual/Quarterly Reports. Interviews.
Internal organization	Were the project team and contracted services adequate to achieve the results?	Coherence, consistency and efficiency in the structure and dynamics of project management. Ability to take decisions and follow up on decisions made.	PRODOC, Organization Charts, List of awarded contracts. Interviews.
	Did the changes/adjustments made to the internal organization/processes increase the efficiency of the project?	Incidence of changes in design and approach.	Mid-term evaluation report.
Tracking Systems (M&E)	Was the project results framework/logical framework used as a management tool?	Evidence of changes approved by SC and reflected in the Logical Framework.	PRODOC; SC and TC minutes; Annual reports.
	Were M&E systems and tools, systematized information, reports known to actors?	Degree of knowledge of management tools by project partners.	Interviews.
Financial management and co-financing	Is there accurate and timely financial information?	Availability on time and quality of financial reports.	Financial reports
	Were financial resources used efficiently?	Expenditure in view of the results achieved compared to the expenses of similar projects. Discrepancy in planned and used financial expenses.	Financial reports Interviews

	Was the intended co-financing mobilized? Were co-financing resources used strategically (they allowed to do more things/achieve better results?	Planned co-financing resources vs. actually obtained. Origin and destination of co-financing.	Financial reports. Annual reports. Interviews with other donors.
	Did the project suffer implementation delays that affected the scope of the objectives? Causes and consequences?	Documented evidence of delays and their causes.	Annual reports
Use of local resources	Did the project consider using local resources, where available, for the development of activities/achievement of products?	Proportion of the use of local expertise vs. national/international. Existence of analysis of local capacity /absorption capacity of local actors/institutions.	List of contracts. Interview with partners and beneficiaries.
Communications	Was there good internal communication, on time and with feedback mechanisms?	Clear and well-known internal communication procedures.	SC and TC meeting minutes. PIR Interviews
	What external communication channels were used? Were the messages appropriate for the target audience?	Availability and quality of communication products.	Project website; Publications; Social Media; PIR Interviews
IMPACT: What positive and negative changes, direct or indirect, intentional or not did the project produce? Are there any indications that the project has contributed to reducing environmental stress or improving ecological conditions?			
Impact on direct effects	Are there any indications that the project safeguarded biodiversity in the Chocó region from the direct impacts of mining?	Indicators of the project's objective.	PIR. Interviews.
Impact on indirect effects	Are there any indications that the project impacted on the indirect effects (population growth, development of agriculture, forestry, fisheries and other sectors)?		PIRs Interviews.
Attribution	To what extent can the impacts be attributed to the project?	Causality between project activities and reported impact.	Interviews with stakeholders outside the project.

		Existence of external factors that contributed to the reported impact.	
SUSTAINABILITY: How likely will the project's benefits continue after the end of the project? Existing environmental, institutional, socio-economic and financial risks for the long-term sustainability of project results.			
Exit strategy/Continuity proposal	Was an exit/continuity strategy included in the project design?	Existence of an exit strategy in the design of the intervention.	PRODOC
	Was the exit strategy prepared/ implemented in each intervention area of the project?	Exit/continuity strategy for each product.	Quarterly and annual reports; PIR
Environmental sustainability	Are there risks related to the environmental benefits achieved during the project (e.g. future national park management; POT application, etc.)?	Existence of (new) environmental threats. Evidence of environmental degradation processes in the areas of intervention of the project.	Interviews
Institutional sustainability	Are the actors trained/knowledge institutionalized in order to continue assuming their responsibilities without the support of the project?	Level of incorporation of results into processes/policies of partner institutions.	Interviews; policies/strategies of partner institutions.
	Has an appropriate transfer of responsibilities been made in areas where the project directly managed products/processes?	Existence of structures, strategies, systems, capacities to assume activities/results of the project.	Interviews
	Are there risks that legal frameworks, policies, governance processes jeopardize the continuity of the project's benefits?	Existence of political risks. Government commitment to the results achieved (allocation of funds; support for a regulatory framework conducive to ensuring continuity)	National development plan 2018-22; Interviews
Socio-economic sustainability	Are there market incentives to maintain the results achieved?	Existence of market incentives.	Market analysis. Interviews with bio-entrepreneurs.
Financial sustainability	Do the actors have the necessary funds and/or financing strategies to continue	Financial needs to cover recurring costs and their coverage.	Interviews

	making use of the products developed under the project?	Proof of future financial commitments of the government or international cooperation.	
	Did the project actively seek/support to seek sources of funding to continue interventions?	Existence of future financial commitments.	Interviews with implementing agencies and other donors.
ADDED VALUE AND UNDP COMPARATIVE ADVANTAGE:			
UNDP support	Quality of support provided by GEF agency (UNDP).	Knowledge, consistency and swiftness in UNDP participation.	Interviews with executing agency.
Synergies	Were synergies identified and leveraged with other UNDP activities?	UNDP contribution to the achievement of results.	UNDP strategic Plan; UNDAF, Interviews.
TRANSVERSAL ASPECTS: GENDER / HUMAN RIGHTS / SDG			
Integration into the project design	Has gender equity and human rights/do no harm been taken into account in the project design?	Quality of gender/human rights strategy in PRODOC	PRODOC; PIR reports.
Data availability	Did the M&S system allow to obtain gender-aggregated data?	Existence of gender-aggregated data	Technical Reports, PIR reports.
	Did the project show its contribution to the SDGs?	Alignment of project results with CONPES 3918. Contribution of the project to national goals.	CONPES 3918, Project Reports, PIR:

5.7. Interview guide with specific questions for semi-structured interviews

This document is an indicative guide with specific questions for the semi-structured interviews. Upon completion of the documentary review, specific questions will be added for particular stakeholders.

Contextualization questions

1. What is your role in the organization and how long have you been working for XXX?
2. How would you describe the purpose of your organization?
3. How did your organization interact with the project?
4. Was your interaction with the project continuous, timely, or marginal? Please explain.

Cross-sectional questions relevant for all areas of intervention

Efficiency	Two aspects that you would highlight regarding the way of working and collaborative style of WWF within the framework of this project. Two things that could be done better in the collaboration between WWF and your organization.
Value-added of UNDP	How did you perceive UNDP's participation in the development of project activities? Do you think the fact that UNDP was involved in these processes made any difference?
Additionality of GEF resources	If the project had not contributed to these processes, what do you think would be the state of these processes? What difference did the project make in the development of (results of each area of intervention)?
Gender, human rights, SDG	What specific strategies did the project and WWF develop to incorporate the following topics: - gender equality - Sustainable development goals - Protection of vulnerable populations What other cross-cutting topics did WWF address?

Intervention area "Policy"

Criteria	**Questions**
Relevance	Between 2013 and 2019 there has been a major development of regulatory and political instruments to address the mining/conservation relationship and conflict. In your view, which are the most important ones? Do you think the Biodiversity and Mining project meets these priorities? Which ones would you have focused on? What do you think will be the most important effect of the new policies and regulations to which the project contributed?
Effectiveness	What is the main contribution of the project in terms of the development of legislative or regulatory instruments?

	How has the role of local authorities changed in mining-environmental governance in recent years? Did the project have an impact on these changes? Why? Highlight two project advocacy strategies or activities that you found successful and innovative.
Impact	What do you consider will be the most important effects of the new policies and regulations to which the project contributed? Do you believe that these policies and regulations will be implemented?
Sustainability	Is your organization currently involved in any legislative or regulatory process on mining-environmental issues? Which one(s)?

Intervention area "Land-use planning and restoration"

Criteria	**Questions**
Relevance	What is the importance of working on land-use planning instruments in your municipality / collective territory? Between 2013-2019, what progress did the land use planning of your municipality / collective territory experience? What are the biggest challenges you encounter when managing mining impacts on biodiversity in your municipality/territory?
Effectiveness	What was the main contribution of the Biodiversity and Mining project to the improvement of plans/schemes? Highlight the elements that you consider most relevant and innovative in the new land use planning of your municipality/collective territory. Several ecosystem restoration efforts have been made in the biogeographic Chocó region. What differentiates the effort under this project and what are 2 learnings of this experience?
Efficiency	Without participation of Biodiversity and Mining, what would have been the result of the process? What was the added value of the project?
Impact	In what specific aspects (name 2-3 examples) the incorporation of a differential ethnic approach changed the way territorial planning is done in your municipality? What changes would you expect to occur in terms of production planning (agriculture, forestry, fisheries, others) in the next 5-7 years?
Sustainability	What are the 3 biggest challenges of implementing land use planning instruments in the municipality/collective territory and what strategies has the project designed to address them? Is there evidence that the territorial planning practices and strategies developed with the project have been replicated in other municipalities / collective territories? What are the main learnings from the technical approach that was used in the restoration effort? How can restoration efforts be financed and sustained over time?

Intervention area "Productive initiatives"

Criteria	**Questions**
Relevance	What are the main challenges and opportunities for bio-entrepreneurship in the Chocó Biogeographic area? Do you think the Biodiversity and Mining project met these challenges and opportunities?

	To what extent can the development of businesses based on biodiversity/exploitation of NTFP reduce dependence on mining activities? Is it a viable alternative that can contribute to conservation?
Effectiveness	To what extend did the Biodiversity and Mining Project manage to a) strengthen your business plans? b) improve your production processes (including infrastructure, compliance with quality standards, sustainability of production processes)? c) strengthen your organization and staff (administrative, accounting capacities)? d) improve your market access? e) support access to financing? Did the project facilitate the approval of NTFP use permits?
Impact	Did the Biodiversity and Mining project contribute to an increase in your organization's revenue? Have workers seen an increase in their income as a result of increased sales? Were new jobs created? Was the environment (regulatory, institutional, market) improved for bio-entrepreneurs in the Biogeographic Chocó region? What is needed for this improvement to happen?
Sustainability	Is the sales market for your product/service secured without ongoing project support? What do you need to be able to continue developing your activity successfully? What studies or management strategies are you using to ensure the conservation of the natural resource that your entrepreneurship supports?

Intervention area "Protected areas"

Criteria	**Questions**
Relevance	Which are the biggest challenges you encounter in managing impacts of mining on biodiversity in protected areas? Which are the protected areas most affected by gold, silver and platinum mining activity? What changes do you see in the management of protected areas in recent years? Which protected areas can be considered references in the Biogeographic Chocó region? What makes them referents? What are the prospects for TICCAs development in the Biogeographic Chocó region? What opportunities and challenges do they have?
Effectiveness	What was the direct contribution of the project to the definition of new protected areas? (DMI Alto Atrato, Under Baudó, Cabo Manglares, RF Rio Bravo) In what ways did the project support conservation initiatives in collective territories?
Efficiency	Without the participation of the Biodiversity and Mining project, what would have been the result of the process? What was the added value for the project?
Impact	How useful are the instruments developed by the project for protected areas? Which of the management practices implemented through the project in the 4 parks have had the greatest impact? What changes do they generate for the ecosystem? In the absence of the project, how will the actions previously supported by the project be continued in the parks?

Sustainability	How can the results obtained in the 4 parks be used to strengthen the management of other Parks? What strategies have been developed to maintain carbon sinks through REDD initiatives? Does the REDD project have a market?

Intervention area "Capacity building"

Criteria	**Questions**
Relevance	What are the main human capital gaps/institutional weaknesses affecting your institution fulfilling its mandate? How did the Biodiversity and Mining project address these needs? Was the project aligned with your institution's training/capacity building strategies?
Effectiveness	How would you rate the quality of the training activities supported by the project (examples)? Did the events in which you participate had a clear objective, involved the relevant actors, and had a systematization and follow-up strategy? Was the dissemination of the generated information adequate? If any, what kind of ex-post monitoring has the Biodiversity and Mining project done to the training activity?
Impact	Do you think that the individual and institutional capacities created will help reduce the pressures on biodiversity from mining activities? Examples? Which individuals or organizations that have benefited from training have shown positive changes in their professional performance or as leaders? How?
Sustainability	Was the training program developed under the Biodiversity and Mining project institutionalized in your institution/is part of your institution's academic offer? What do you need to continue offering the activity?

Governance and Operations

Criteria	**Questions**
Relevance	Was the implementation scheme appropriate for the project objective? What would you design differently in a follow-up project?
Effectiveness	Did the project instances (SC/TC) live-up to their respective roles and allow effective strategic/operational management? Did the adjustments in its composition improve the effectiveness? To what extent did the project manage to adjust its governance/processes/organization to the needs of a changing environment? Examples? Did the planning, M&E and reporting tools enable the project team to lead the implementation and UNDP to oversee it?
Efficiency	Was the amount of time you spent on internal processes (vs. implementing activities) adequate/too much/too little? Were the decision-making/internal communication processes clear/efficient?
Sustainability	Did the project systematize learning and best practices? Is the information generated by the project available and accessible to project counterparts and other stakeholders?

5.8. Changes in indicators and targets during project implementation

The indicators at project objective level and their targets were not changed during project implementation.
These are the ones below.

Indicators at project objective level	PRODOC target
IO 1. Area (ha) of four (4) existing protected areas under sustainable management protects local ecosystems	334.671 ha
IO 2. Total area of protected forests (ha) by new multiple use protected areas created to reduce the impacts of mining	70.000 ha
IO 3. Change in the management effectiveness of four (4) protected areas according to the management effectiveness scorecard (METT)	1. Las Orquídeas NP: from 67 to 87 2. Tatamá NP: from 43 to 63 3. Farallones de Cali NP: from 53 to 73 4. Munchique NP: from 70 to 80

The output indicators and targets underwent several revisions, in December 2015, as a result of an internal management review exercise, and in July 2017, in response to suggestions of the mid-term evaluation. Below we summarize the changes that occurred to project indicators and targets.

Initial indicator	PRODOC target	Revised indicator	Revised target
IR 1.1.1. Number of national-level legal, policy, and planning instruments incorporate environmental and social criteria to prevent, mitigate, and offset the direct impact of mining activity on BD and ecosystem services	Updated legal, political and planning tools that incorporate environmental and social criteria to prevent, mitigate and offset the direct impact of mining activity on BD and ecosystem services: a) Mining code, b) Required environmental license for the exploitation phase c) Framework for environmental impact assessment		APPROVED IN DEC 2015: The Compensation Manual for the Pacific region, National Development Plan, Minamata Convention and National Mining Policy include recommendations and guidelines for preventing, mitigating and offsetting the impact of mining activities on biodiversity. APPROVED JULY 2017: At least 5 legal o regulatory instruments at the national level (e.g., National Development Plan, Payment for Ecosystem Services, Minamata Convention and Law 70) include

Initial indicator	PRODOC target	Revised indicator	Revised target
			recommendations on how to prevent, mitigate and offset the impact of mining activities on biodiversity and/or considerations for the conservation of BD and ecosystem services.
IR 1.1.2. No. of mining planning instrument that incorporate the results of the Strategic Environmental Assessment and/or the management and conservation of biodiversity and ecosystem services in the Biogeographic Choco.	5 (Baseline 0)	APPROVED JULY 2017: At least 4 legislative, regulatory and/or planning instruments, regional and/or local (e.g., Departmental Development Plan (Chocó), CODECHOCO Annual Operational Investment Plan, Pacific Vision and Regional Environmental Management Plan (PGAR)), including the Results of the Strategic Environmental Assessment and/or recommendations and guidelines to prevent, mitigate and offset the impact of mining activities on biodiversity and/or considerations for biodiversity conservation and ecosystem services.	At least 4 legislative instruments.
IR 1.2.1. No. of mining and environmental sector entities articulated to the unifying information systems platform	Environmental sector: 5 (National Parks, IIAP, ANLA, CODECHOCO, CORPOURABA) Mining sector: 1 (ANM)	APPROVED JULY 2017: No. of environmental sector entities at the regional level with an information system that improves the decision-making process to reduce the impacts of mining on biodiversity	APPROVED JULY 2017: The IIAP has an information system that allows monitoring of the impact of mining on biodiversity. (Baseline: IIAP has an information system that does not allow monitoring of the impact of mining on biodiversity)
IR 2.1.1. Number of municipal planning instruments (POTS) that incorporate priority areas of conservation and zoning to address the direct and indirect impacts of mining on BD and ecosystem services.	5 (Baseline 0)	APPROVED MARCH 2018: Number of documents to mainstream biodiversity into territorial planning that contribute to the new “modern POTs”.	APPROVED DECEMBER 2015 BY SC: 8 POTs that cover 2’000’000 ha (Baseline 0). APPROVED MARCH 2018: 8 documents for 8 modern POTs (Baseline 0).

Initial indicator	PRODOC target	Revised indicator	Revised target
IR 2.3.1. Number of new multiple-use protected areas created	2 (Baseline 0) / 70.000 ha	No modifications	No modifications
IR 2.4.1. Four (4) protected areas with better control and surveillance in the control of access/resource use measured by METT	Las Orquídeas NP: 3 – Protection systems are largely or totally effective in controlling the use of Access/resource. Tatamá NP: 3 - Protection systems are largely or fully effective in controlling the use of access/resource Farallones de Cali NP: 3 - Protection systems are largely or fully effective in controlling the use of access/resource Munchique NP: 3 - Protection systems are largely or fully effective in controlling the use of access/resource	No modifications	No modifications
IR 2.4.2. Change in the capacity to articulate management and monitoring to generate, use and share the geographical, socio-economic and bio-physical information necessary for land use planning with the UNDP Skills Development Scorecard (200 trained persons: Regional Autonomous Corporation officials, coordinators of protected areas at the national level, Municipal authorities, supervisory bodies and public prosecutors and representatives of community	Number of people trained: 200 "Total trained people: 200 Goal: 20% increase in current capacity Local level - Espavé (a=2,4; b=1,6; c=0,9; d=1,2; e=1,2) - ASOCASAN (a=2,2; b=2,1; c=1,65; d=1,2; e=1,6) - COCOMACIA (a=1,6; b=1,0; c=0,9; d=1,2; e=1,6) Nivel regional: - IIAP (a=2,4; b=1,8; c=2,1; d=1,6; e=2,0)	No modifications	No modifications

Initial indicator	PRODOC target	Revised indicator	Revised target
organizations) a. Engagement capacities b. Capacities to generate, manage and use information and knowledge c. Capacities for the design of strategies, policies and regulations d. Management and implementation capacities e. Monitoring and evaluation capacities	- CODECHOCO (a=2,0; b=2,6; c=1,2; d=1,6; e=2,4) - Munchique NP (a=2,8; b=1,0; c=0,9; d=0,8; e=1,2) - Farallones NP (a=3,2; b=1,0; c=1,2; d=0,8; e=2,0) - Las Orquídeas NP (a=2,4; b=1,6; c=1,8; d=1,6; e=2,4) Nivel nacional: - ANLA (a=2,0; b=1,2; c=1,5; d=0,8; e=0,8) - ANM (a=1,6; b=2,0; c=1,8; d=0,8; e=1,6) - MME (a=2,4; b=2,4; c=2,1; d=2,4; e=2,4)- MADS (a=3,0; b=1,8; c=0,9; d=1,2; e=2,0)"		
IR 2.5.1. Avoided emissions (tCO2-e) due to tropical rainforest deforestation at the end of the project	610,649 tCO2-e (Baseline 0)	No modifications	No modifications
IR 2.5.2 Avoided deforestation (ha) at the end of the project	2,034.80 ha (Baseline 0)	No modifications	No modifications
IR 2.5.3. Number of initiatives for the sustainable use of BD in phase of commercialization	Two Non-timber forest products (2) NTFP: Naidí – açai palm (*Euterpe oleracea*) and jagua (*Genipa americana*)	No modifications	APPROVED DECEMBER 2015: Products do not have to be specifically naidí and jagua, they can be any NTFP.
IR 2.5.4. Change in the average annual income of members of the local community (including men and women) from the sale of açai (*Euterpe oleracea*) and jagua (*Genipa americana*)	Women: X * Men: X * The objective will be estimated during the first 6 months of the project's implementation	APPROVED DIC. 2015: Change in average annual income of members of the local community (including men and women) from the sale of NTFP. APPROVED JULY 2017: Change in average annual sales revenue from initiatives with direct project support (4 initiatives) from the sale of NTFP and biodiversity services (baseline	APPROVED JULY 2017: Revenue increase target by end-of-project initiatives: 10% - Goal in increased income from men at the end of the project: 7% - Goal in increased income from women at the end of the project: 7%

Initial indicator	PRODOC target	Revised indicator	Revised target
		total sales revenue in 2016 of 4 initiatives: $ 210.950.051 Colombian pesos). And change in the average annual income of people in the community related to the same initiatives and/or (disaggregated between men and women) from the sale of NTFP and biodiversity services (baseline will correspond to the data obtained in December 2017).	
IR 2.5.5. Area (ha) of degraded mining land in short- and medium-term restoration processes (protocol) in key biodiversity areas	100 ha (Baseline 0)	No modifications	No modifications